#InvestEUresearch

Horizon 2020 Work Programme for Research & Innovation 2018-2020

Rules for participation, proposal submission, evaluation procedure

Warsaw
13 November, 2019

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Head of Unit.B1 Space Research

European Commission
Research Executive Agency

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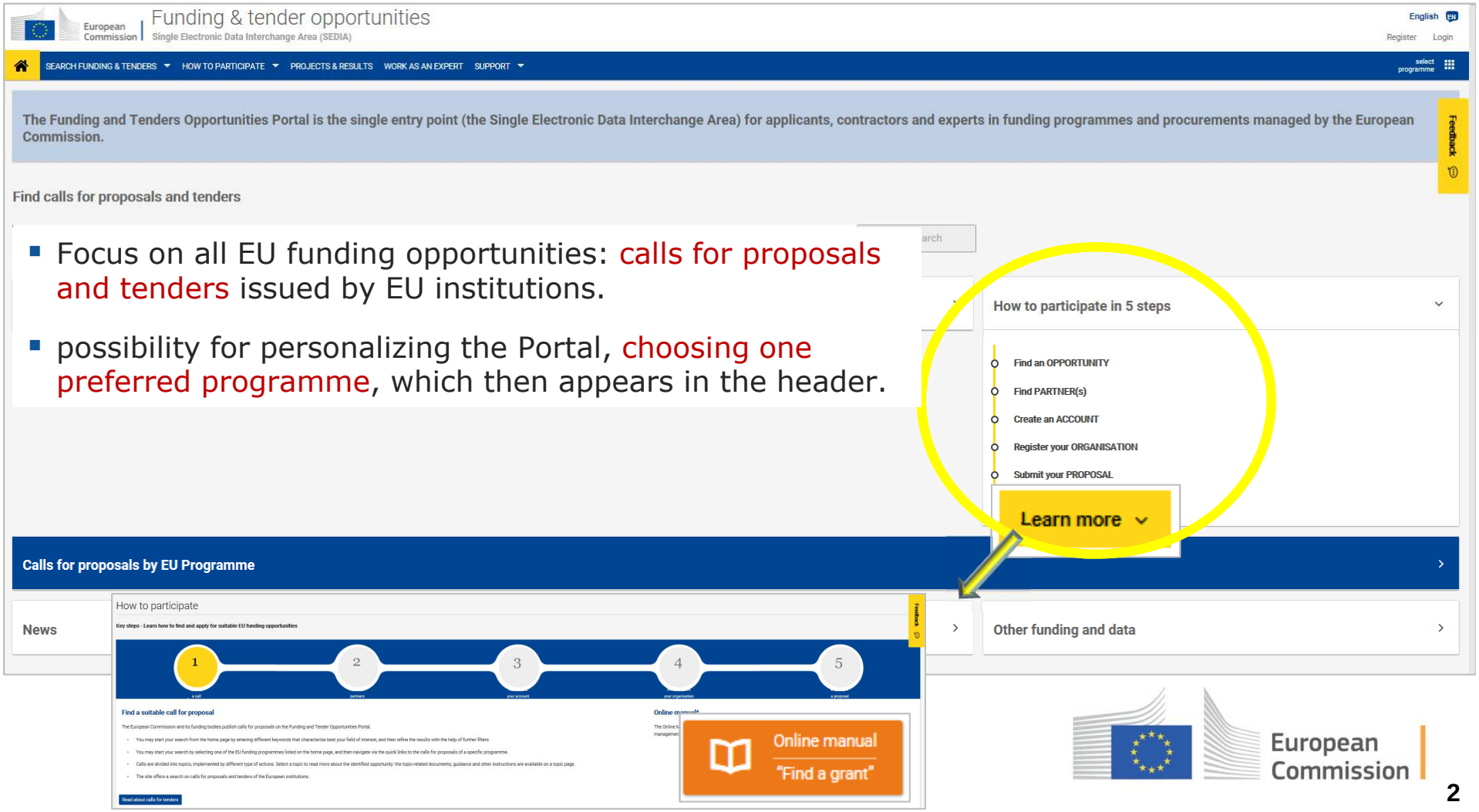
Funding and Tender portal

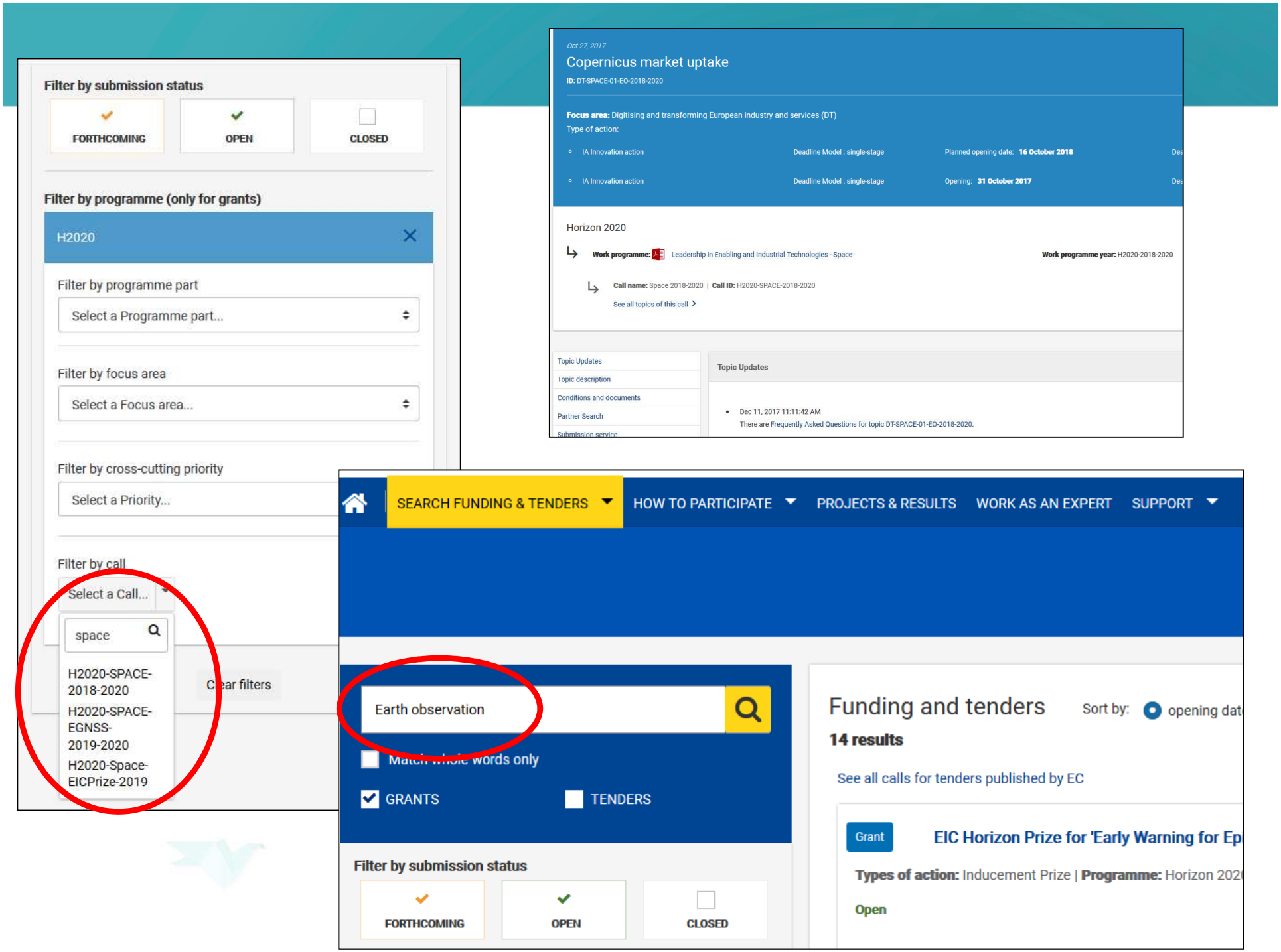
SINGLE ELECTRONIC DATA INTERCHANGE AREA **SEDIA**

https://ec.europa.eu/info/funding-tenders/opportunities/portal/screen/home



- Focus on all EU funding opportunities: calls for proposals and tenders issued by EU institutions.
- possibility for personalizing the Portal, choosing one preferred programme, which then appears in the header.

European Commission


Filter by submission status
FORTHCOMING
OPEN
CLOSED
Filter by programme (only for grants)
H2020
Filter by programme part
Select a Programme part...
Filter by focus area
Select a Focus area...
Filter by cross-cutting priority
Select a Priority...
Filter by call
Select a Call...
space
H2020-SPACE-2018-2020
H2020-SPACE-EGNSS-2019-2020
H2020-Space-EICPrize-2019
Clear filters
Oct 27, 2017
Copernicus market uptake
ID: DT-SPACE-01-EO-2018-2020
Focus area: Digitising and transforming European industry and services (DT)
Type of action:
IA Innovation action
Deadline Model : single-stage
Planned opening date: 16 October 2018
IA Innovation action
Deadline Model : single-stage
Opening: 31 October 2017
Horizon 2020
Work programme: Leadership in Enabling and Industrial Technologies - Space
Work programme year: H2020-2018-2020
Call name: Space 2018-2020 | Call ID: H2020-SPACE-2018-2020
See all topics of this call
Topic Updates
Topic description
Conditions and documents
Partner Search
Submission service
Topic Updates
Dec 11, 2017 11:11:42 AM
There are Frequently Asked Questions for topic DT-SPACE-01-EO-2018-2020.
SEARCH FUNDING & TENDERS
HOW TO PARTICIPATE
PROJECTS & RESULTS
WORK AS AN EXPERT
SUPPORT
Earth observation
Match whole words only
GRANTS
TENDERS
Filter by submission status
FORTHCOMING
OPEN
CLOSED
Funding and tenders
Sort by:
14 results
See all calls for tenders published by EC
Grant
EIC Horizon Prize for 'Early Warning for Ep
Types of action: Inducement Prize | Programme: Horizon 202
Open

Funding and Tender portal

Continuous updates on the Portal

8. Additional documents:

Critical Space Technologies: guidance document for Horizon 2020 Work Programme 2018-2020

Call updates

- **07 August 2018 12:32**

The update of the call published on 24/07/2018 includes two new topics: SU-SP
SEC-2019: Advanced research in Near Earth Objects (NEOs) and new payload te
planetary defence, and SU-SPACE-31-SEC-2019: Research and innovation netwo

Topic Updates

- **11 December 2017 11:11**

There are Frequently Asked Questions for topic DT-SPACE-01-EO-2018-2020.

ACTIVE

Q. **Under call H2020-SPACE-2018-2020, topic SPACE-10-TEC-2018-2020, should applicants include roadmaps in the proposal or is it a task?**

A. The scope of the call requires including in the proposal analysis of relevant available roadmaps. This is to be understood as a task in the project, not something to be included in t...

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Types of action in 2020 and co-funding rates

- **Innovation Action (IA) – EO – EGNSS**

  Up to 70% of eligible costs

  (exception: up to 100% for non-profit organisations)

- **Research and Innovation Action (RIA) – EO-SEC-SCI**

  Up to 100% of eligible costs

- **Coordination and Support Action (CSA) – EO-BIZ-SEC – EGNSS**

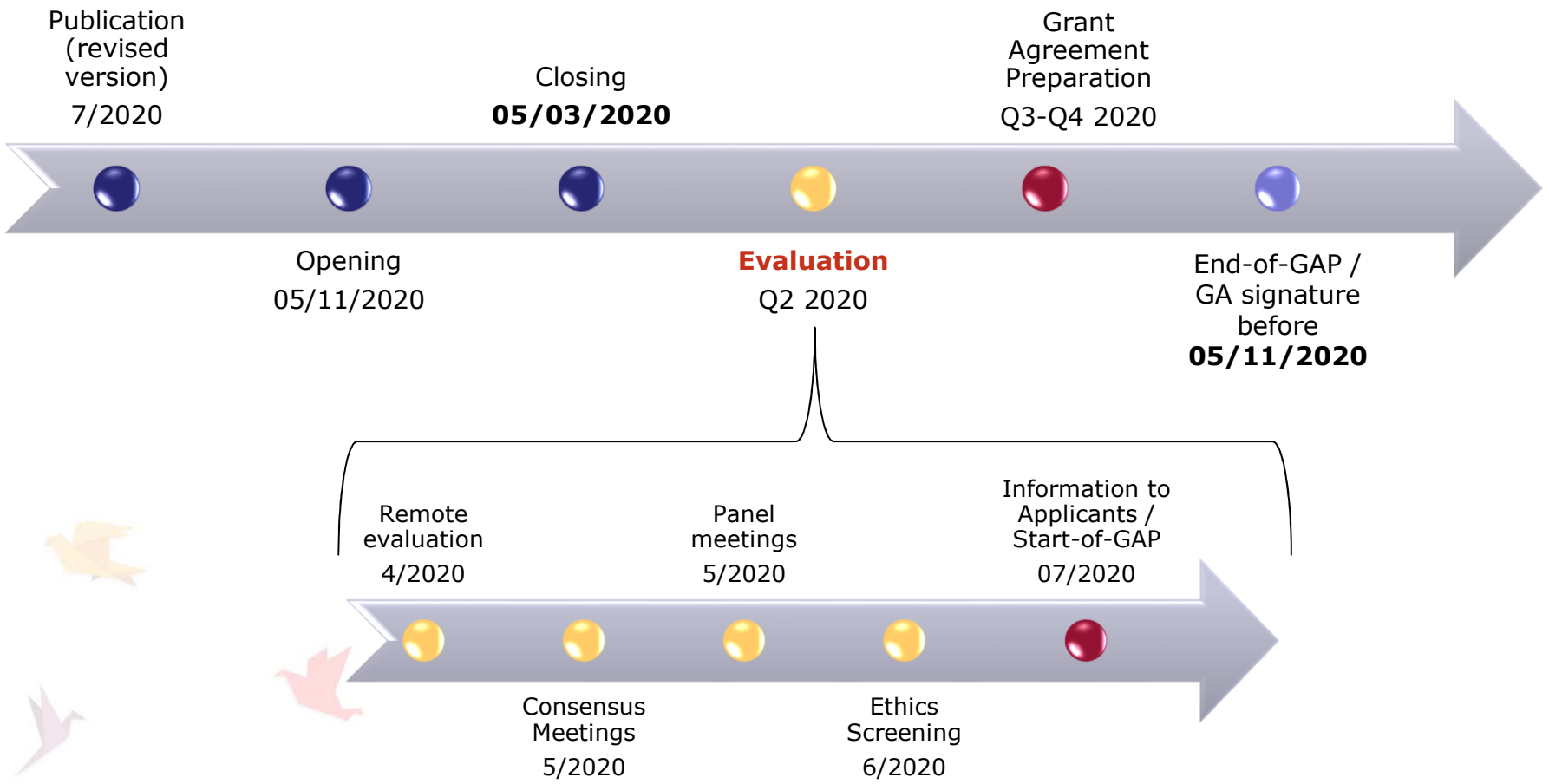
  Up to 100% of eligible costs

- **Pre-Commercial Procurement (PCP) - EGNSS**

European Commission

Timeline of the call

H2020-Space-2020: 5 March 2020



European Commission

Admissibility & Eligibility

Standard admissibility criteria

1) **Submitted in the electronic submission system before the deadline** → Acknowledgement of Receipt
2) **Readable, accessible and printable**
3) **Complete** (requested administrative forms + proposal description + supporting documents)
4) Include a **draft plan for the exploitation and dissemination of the results**

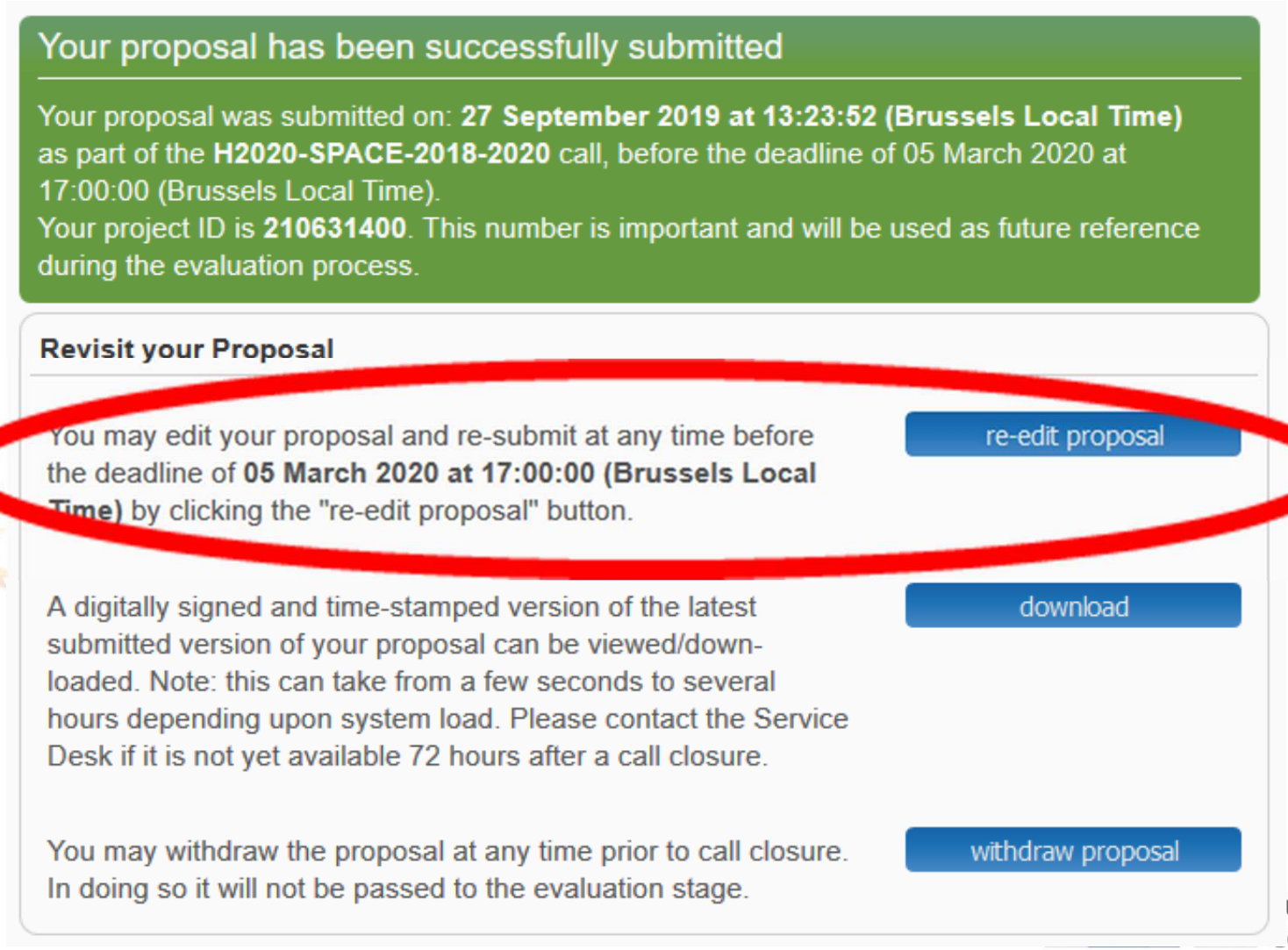
Page limit (RIA/IA: 70 pages; CSA:50 pages)

- **Outside the limit:**
  - **participating organisations** (operational capacity check)
    - CV or profile description of staff carrying out the work
    - **A list of up to 5 publications and/or other research or innovation products**
    - **A list of up to 5 relevant previous projects/activities**
    - **Relevant available infrastructure/equipment description**
    - **Description of additional third parties contributing to the work**
  - **Ethics self assessment, Security**

European Commission

Admissibility & Eligibility

Better submit early than risk submitting late !



uropean
ommission

Admissibility & Eligibility

Standard eligibility criteria

1) Content corresponds, **wholly or in part**, to the topic description against which it is submitted

2) Proposal complies with the minimum participation and any other eligibility conditions set out for the type of action:

Research & innovation action	a. **Three legal entities.** b. Each of the three shall be established in **a different Member State or associated country**. c. All three legal entities shall be **independent of each other.**
Innovation action	
Coordination & support action	**One legal entity** established a Member State or associated country.

Can be supplemented or modified in the call conditions

Non-eligibility can also be discovered during/after evaluation

Admissibility & Eligibility

Eligibility conditions: Countries
Work Programme General Annex C

EU-Member States

Horizon 2020 associated countries

Iceland, Norway, Albania, Bosnia and Herzegovina, North Macedonia, Montenegro, Serbia, Turkey, Israel, Moldova, Switzerland, Faroe Islands, Ukraine, Tunisia, Georgia, Armenia

European Commission

Admissibility & Eligibility

Countries eligible to receive funding: Work Programme General Annex A

EU-Member States

The Overseas Countries and Territories (OCT) linked to the MS:

Anguilla, Aruba, Bermuda, Bonaire, British Virgin Islands, Cayman Islands, Curaçao, Falkland Islands, French Polynesia, Greenland, Montserrat, New Caledonia, Pitcairn Islands, Saba, Saint Barthélémy, Saint Helena, Saint Pierre and Miquelon, Sint Eustatius, Sint Maarten, Turks and Caicos Islands, Wallis and Futuna .

Horizon 2020 associated countries

Third countries listed in General Annex A

International organisation of <u>European interest*</u>

*International organisation not of European interest can be eligible for funding only exceptionally

European Commission

Admissibility & Eligibility

BREXIT

"**Until the UK leaves the EU, EU law continues to apply to and within the UK**, when it comes to rights and obligations; this includes the eligibility of UK legal entities to fully participate and receive funding in Horizon 2020 actions such as those called for in this work programme. Please be aware however that **the eligibility criteria must be complied with for the entire duration of the grant**. If the UK withdraws from the EU during the grant period without concluding an agreement with the EU ensuring in particular that British applicants continue to be eligible, they will no longer be eligible to receive EU funding and their participation may be terminated on the basis of Article 50 of the grant agreement."

The UK announced in August and October 2016 that the UK government will guarantee funding for competitively bid for EU projects submitted before we leave the EU, including Horizon 2020 projects.

European Commission

Admissibility & Eligibility

Other countries eligible to receive funding

Legal entities established in countries not listed in Annex A and international organisations will only be eligible for funding:

- **if explicitly mentioned in the call text, or**
- **when funding for such participants is provided for under a bilateral scientific and technological agreement** or any other arrangement between the Union and an international organisation or a third country, or
- **when the Commission deems participation of an entity essential for carrying out the action**

Admissibility & Eligibility

Additional eligibility and admissibility conditions

- **DT-SPACE-01-EO-2018-2020**

  The **Business Plan** shall be submitted as a part of Part B of the proposal. It should be based on a template provided by the European Commission and available in the Participants Portal and in the submission service.

  At least **one industrial partner** is mandatory.

- **SPACE-27-TEC-2020**

  No beneficiaries of the grant agreement PERASPERA (640026) or its follow-up grant will participate in consortia of proposals submitted under this topic of the call for proposals, with the exception of the DLR research institutes.

- **SPACE-28-TEC-2020**

  No beneficiaries of the grant agreement EPIC (640199) will participate in consortia of proposals submitted under this topic of the call for proposals, with the exception of the DLR research institutes, Eurospace and SME4Space VZW.

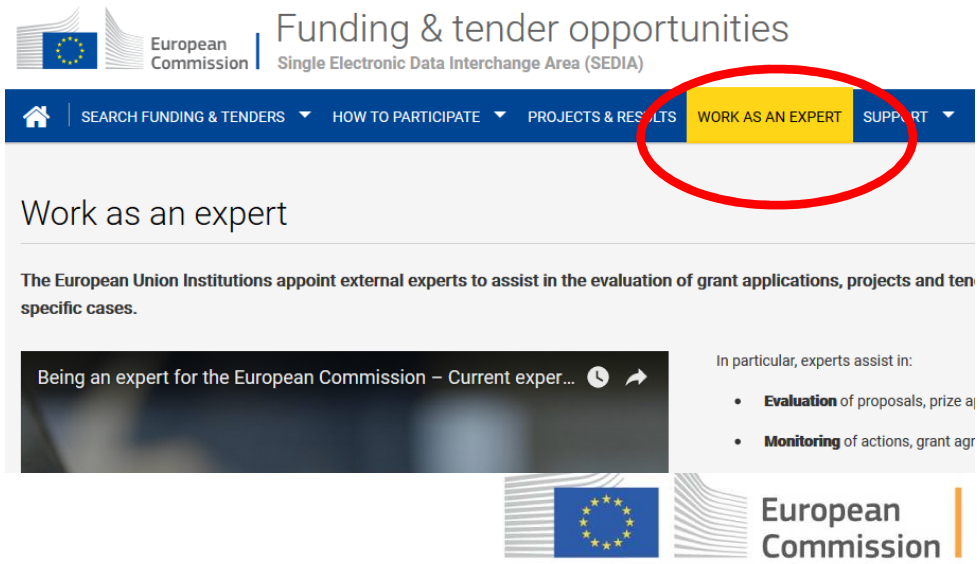
European Commission

Evaluation

Who evaluates the proposals?

- Independent experts contracted through joint research expert database
- Covering the in depth the technology and application possibilities
- Some topics may require a mix of expertise, including business aspects, users, experts more aware of the framework conditions or with a "helicopter"-view.

Register as an expert at https://ec.europa.eu/info/funding-tenders/opportunities/portal/screen/work-as-an-expert



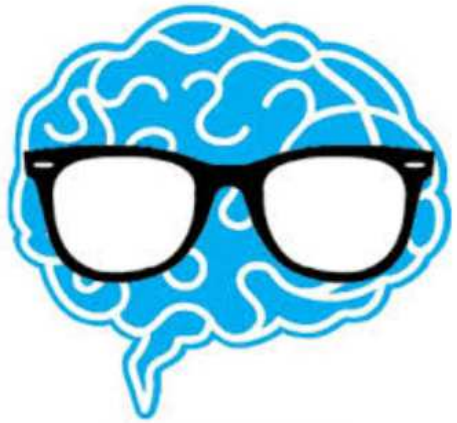
Evaluation

Expert allocation

- Each proposal has minimum 3 evaluating experts and 1 rapporteur
- No conflict of interest with any proposal in the topic
- Balance in terms of

    1. Skills, experience and knowledge
    2. Other factors

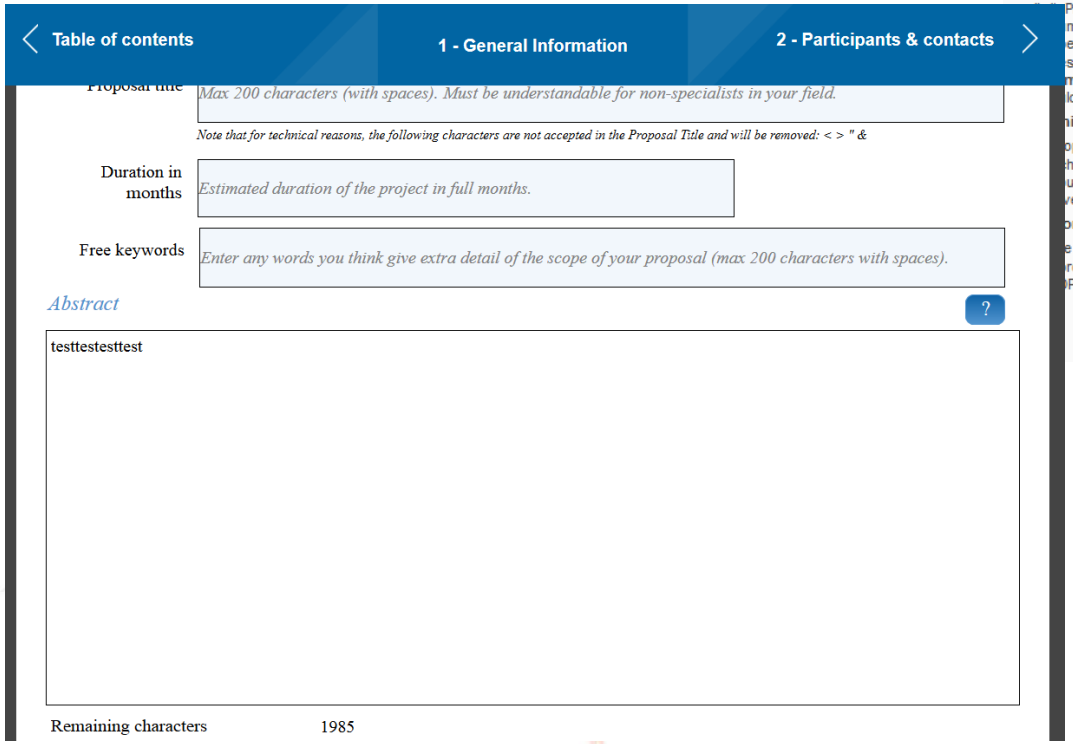
  - geographical diversity
  - gender
  - where appropriate, the private and public sectors
  - an appropriate turnover from year to year

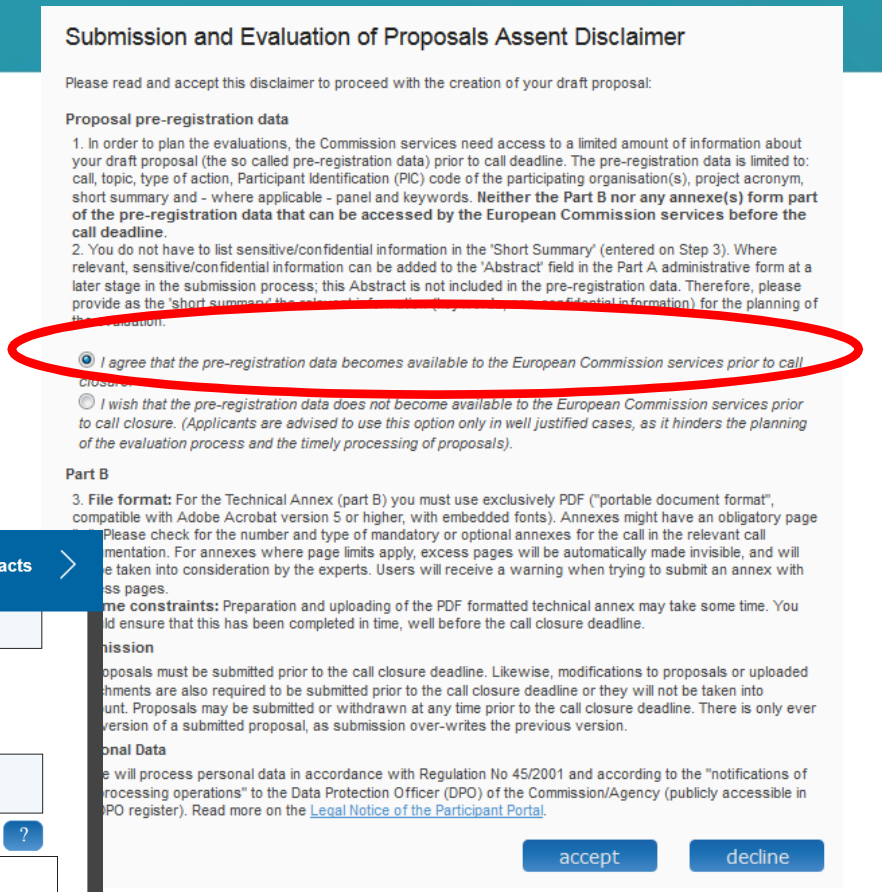


European Commission

Evaluation

More precise proposal information leads to more precise expert identification





European Commission

Evaluation

Evaluation of proposals

- Each expert prepares an individual evaluation report remotely
- Experts gather to Brussels for consensus meetings facilitated by REA staff
- Resulting in a consensus report

European Commission

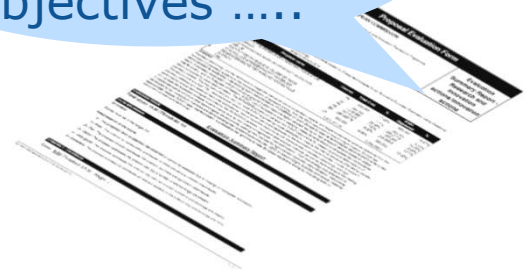
Evaluation

Proposal scoring

Excellence:
"The objectives ….."

Impact:
"The innovation capacity….."

Multiplied by 1,5 for Innovation actions



Quality and efficiency of the implementation:
"The management ….."

- Maximum score: 15.0
- **Individual criteria threshold: 3.0**
- **Total score threshold: 10.0**

European Commission

Evaluation

Proposal scoring

- **0 - 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, 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

European Commission

Evaluation

Rules for the ranking

- **By total score**
- **Ranking ties:**

1. In case of sub-topics: Priority for the proposal addressing a sub-topic not yet covered by higher-ranked proposals
2. Using priority criteria: RIA – 1) excellence 2) impact ; IA – 1) impact 2) excellence
3. Using other criteria such as:
   - SMEs (budget)
   - Gender in consortium (% and role)

SME self-declared status..... unknown

SME self-assessment ..... unknown

SME validation sme..... unknown

Based on the above details of the Beneficiary Registry the organisation is not an SME (small- and medium-sized enterprise) for the call.

European Commission

Evaluation

Rules for the ranking

Additional rules for selection specified in the WP:

- **SPACE-10-TEC-2020**: A maximum of one proposal per subtopic shall be selected for funding.
- **LC-SPACE-18-EO-2020:** A maximum of one proposal per subtopic shall be selected for funding.
- **SPACE-27-TEC-2020:** A maximum of two proposals for sub-topic (a) and at least one proposal for sub-topic (b) shall be selected for funding.
- **SPACE-28-TEC-2020**:

a)Low power electric propulsion: at least three proposals with a at least one proposal per technology line (HET, GIE, HEMPT),

b) Medium power electric propulsion: at least two proposals with a maximum of one proposal per technology line (HET, GIE, HEMPT),

c) c) High power electric propulsion: at least one proposals for one of the technology lines (HET, GIE, HEMPT).

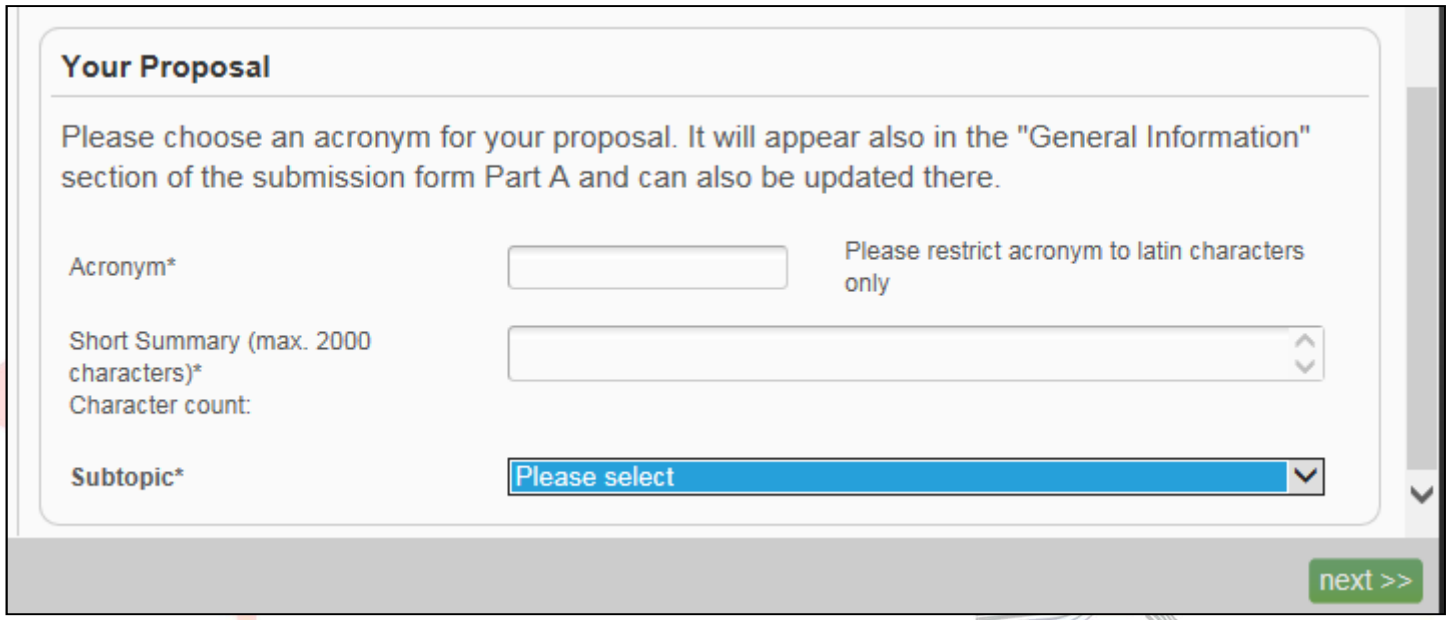
- **SPACE-29-TEC-2020:** A maximum of one proposal per subtopic shall be selected for funding.

European Commission

Evaluation

Sub-topic selection in proposal format

- **LC-SPACE-18-EO** Copernicus evolution: Research activities in support of the evolution of the Copernicus services
- **SPACE-10-TEC** Technologies for European non-dependence and competitiveness
- **SPACE-27-TEC** Space robotics technologies
- **SPACE-28-TEC** SRC - In-space electrical propulsion and station keeping - Incremental technologies
- **SPACE-29-TEC** Satellite communication technologies



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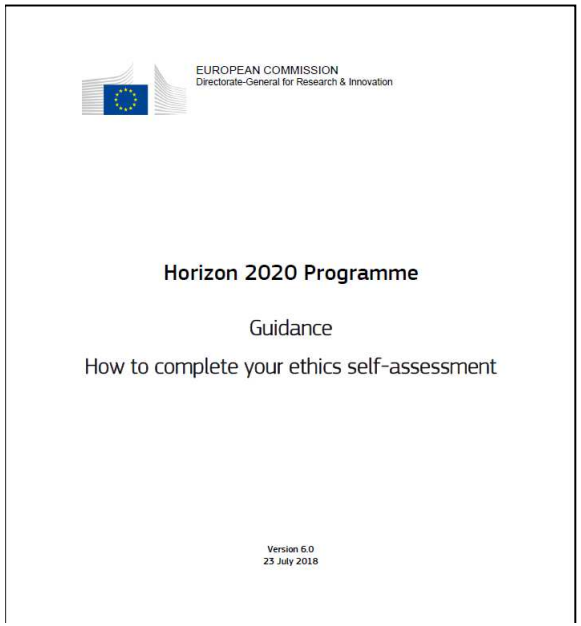
Evaluation

Ethics screening and security scrutiny

After evaluation, funding and reserve list proposals subject to ethics screening by a separate set of experts

- To identify and to recommend how to address any ethics issues
- dual-use, data protection, third countries etc.


EUROPEAN COMMISSION
Directorate-General for Research & Innovation

Horizon 2020 Programme

Guidance

How to complete your ethics self-assessment

Version 6.0
23 July 2018

The agency may also send security sensitive proposals to a security scrutiny before they can be selected for funding

Information to applicants and Evaluation review

- **Applicants informed of results max 5 months from the call closure**
- If an applicant considers that the evaluation of a proposal was not carried out in accordance with the Rules for Participation, the work programme/call, or the relevant Manual s/he may file **a request for evaluation review on the Participant Portal within 30 days** of being informed **of the evaluation results**.
- **The scope of the evaluation review procedure will cover only the procedural aspects of the evaluation**. Its role is not to call into question the judgment of appropriately qualified experts.
- Applicants must **base their complaint on the information contained in the Evaluation Summary Report (ESR),** possibly with reference, as the case may be, to the conditions of the call for proposals, work programme, evaluation rules, etc.

Grant Agreement Preparation

After the evaluation…

- Grant Agreements signed within 8 months from call closure
- Grant preparation in close interaction with beneficiaries:
  - Minor modifications in content, only if necessary
  - Administrative procedure (e.g., validations, financial viability check, if needed) with minimised administrative burden for applicants and high reliance on electronic submissions
- Internal procedure: award decision, budgetary commitment
- Grant Agreement signature
- Pre-financing to consortium

QUALITY = key to success

Demonstrate WHAT – WHY – HOW !

An excellent idea is the basis of a good proposal
but is not sufficient….

The expected impacts and implementation aspects
are as important !

The proposal should excel in each single criterion !

Be specific in your objectives and expected impacts
and clearly demonstrate how you aim to implement
and sustain them

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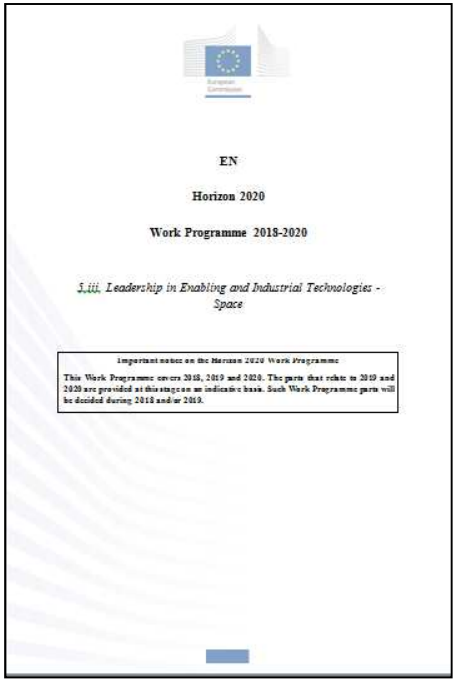
QUALITY = key to success

Call Content

- Open or top-down Topics
- Budget availability



EN

Horizon 2020

Work Programme 2018-2020

5.iii. Leadership in Enabling and Industrial Technologies - Space

Important notice on the Horizon 2020 Work Programme

This Work Programme covers 2018, 2019 and 2020. The parts that relate to 2019 and 2020 are provided at this stage on an indicative basis. Such Work Programme parts will be decided during 2018 and/or 2019.

H2020 Rules

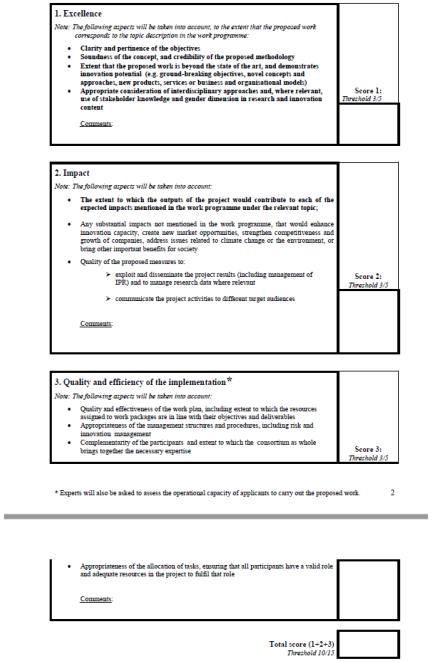
- Eligibility
- Admissibility

EUROPEAN COMMISSION
Directorate-General for Research & Innovation

Grants Manual - Section on:
Proposal submission and evaluation
(sections II-5, II-6, IV.1, IV.2)

Version 1.4
28 May 2015

Evaluation criteria



1. Excellence

Note: The following aspects will be taken into account, 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 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 and gender dimension in research and innovation content

Comments:

Score 1: *Threshold 3/5*

2. Impact

Note: The following aspects will be taken into account:

- 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

Comments:

Score 2: *Threshold 3/5*

3. Quality and efficiency of the implementation*

Note: The following aspects will be taken into account:

- 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

Score 3: *Threshold 3/5*

* Experts will also be asked to assess the operational capacity of applicants to carry out the proposed work. 2

- Appropriateness of the allocation of tasks, ensuring that all participants have a valid role and adequate resources in the project to fulfil that role

Comments:

Total score (1+2+3) *Threshold 10/15*

The EU Framework Programme for Research and Innovation

HORIZON 2020

H2020 Programme

Proposal template 2018-2020

Administrative forms (Part A)
Project proposal (Part B)

Research and Innovation Actions (RIA)
Innovation Actions (IA)

Version 5.4
1 February 2018

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.

The EU Framework Programme for Research and Innovation

HORIZON 2020

H2020 Programme

Proposal template 2018-2020

Administrative forms (Part A)
Project proposal (Part B)

Coordination and Support Actions (CSA)

Version 5.4
1 February 2018

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Proposal structure

European Commission

Topic – Proposal – Evaluation Criteria

Topics

- **Specific challenge**
- **Scope**
- **Expected Impact**

PART B

1. Excellence

1.1 Objectives
1.2 Relation to the work programme
1.3 Concept and methodology
1.4 Ambition

2. Impact

2.1 Expected impacts
2.2 Measures to maximise impact
a) Dissemination and exploitation of results
b) Communication activities

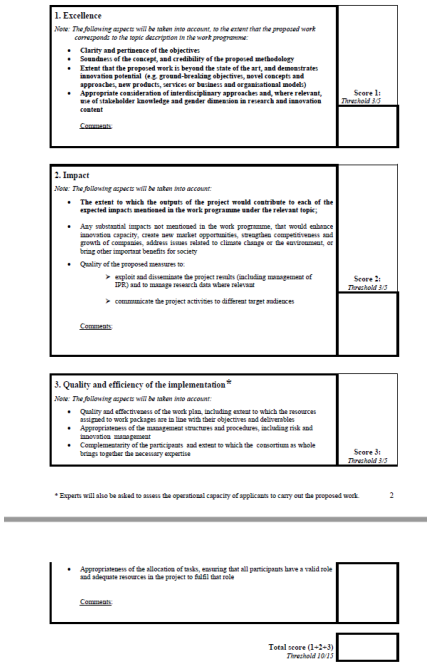
3. Implementation

3.1 Work plan, Work packages, deliverables
3.2 Management structure, milestones and procedures
3.3 Consortium as a whole
3.4 Resources to be committed

4. Members of the consortium

4.1. Participants (applicants)
4.2. Third parties involved in the project (including use of third party resources)

5. Ethics and Security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Comments:
Score 1: Threshold 3/5

2. Impact
Note: The following aspects will be taken into account:
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- 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

Comments:
Score 2: Threshold 3/5

3. Quality and efficiency of the implementation*
Note: The following aspects will be taken into account:
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- Appropriateness of the allocation of tasks, ensuring that all participants have a valid role and adequate resources in the project to fulfil that role

Comments:

Total score (1+2+3) Threshold 10/15

European Commission

Optimise your chances to success

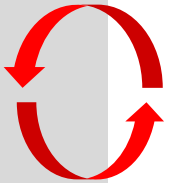
Understand the domain and its challenges
R&D but also market, IPR and regulations, competition

Be clear and explicit
Evaluators must judge only what they read and not on the proposal potential.
They have limited time

Do a mock evaluation
Ask a colleague to conduct a self-assessment of the proposal against each evaluation sub-criterion. If you don't find the right answer easily in the text, the evaluators won't find it either!

Optimise available time to prepare your proposal
- Last minute preparations are often reflected in a lower quality which largely reduces the changes in success;
- Start a draft early + Submit on time
- Incomplete submission is not an Obvious Clerical Error
- Late submission in IT system = inadmissible proposal. Deadlines are strict!

Resubmission
- Check carefully the call topic as it may have slightly changed from previous call
- See if your proposal is still up to date as 2-3 years is a long time in science / technology



<u>Do not be afraid of letting the Commission see the abstract of your proposal in order to help us identify the best possible expert.</u>

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ssion

Thank you!

#InvestEUresearch

www.ec.europa.eu/research

Participant Portal www

European Commission