

Fuel cells and hydrogen


Joint undertaking

FCH2 JU under Horizon2020 rules



Mirela Atanasiu
Project Manager & Call Coordinator

- **H2020-JTI-FCH-2014-1 call conditions**
- **H2020 Rules for Participation, incl Horizontal issues (International Coop, Ethics, Open Access)**
- **Proposal submission and evaluation**
- **IT landscape**



H2020-JTI-FCH-2014-1 call conditions

Call identifier: H2020-JTI-FCH-2014-1

Total budget : EUR 93 million

Publication date: 09 July 2014

Deadline: 06 November 2014

General Annexes to the Work-Plan 2014 *(based on H2020 RfP**)*

- *Eligibility and admissibility conditions (Annexes B and C)*
- *Types of action and funding rates (Annex D)*
- *Technology readiness level (TRL) (Annex E)*
- *Evaluation criteria, scoring and threshold (Annex F)*

| | No. of topics | Type of action* | Indicative budget (mill EUR) |
|----------------------|---------------|-----------------|---------------------------------|
| TRANSPORT PILLAR | 6 | RIA/IA | 10 |
| | 1 | IA | 32 |
| ENERGY PILLAR | 8 | RIA | 16 |
| | 3 | IA | 25,5 |
| OVERARCHING PROJECTS | 1 | IA | 5 |
| CROSS-CUTTING ISSUES | 3 | CSA/RIA | 4,5 |
| Total call | | | 93 |

Additional condition for participation in some topics:
at least one constituent entity of the Industry Grouping or Research Grouping should be among the participants

Proposals are required to provide a
draft plan for exploitation and dissemination of results!

*RIA= Research and Innovation Action; IA= Innovation Action; CSA= Coordination and Support Action

** RfP= Rules for Participation



H2020 Rules for Participation



Three main objectives:

Innovation, Simplification and Coherence

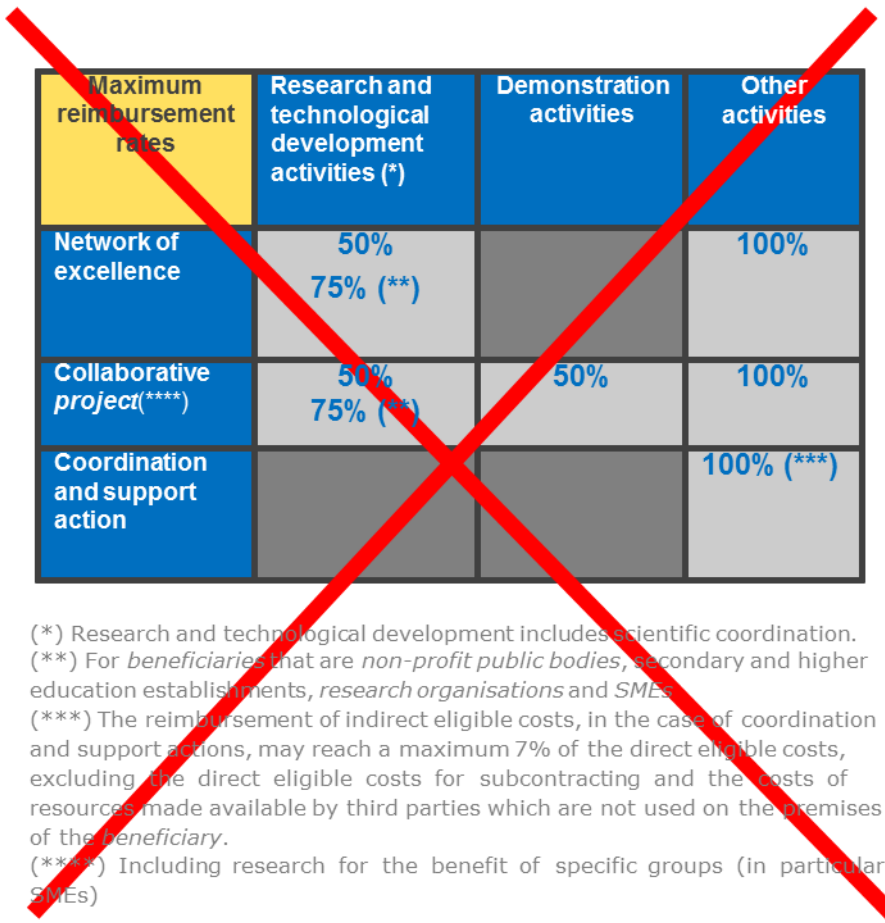
(single set of rules, funding rates, indirect cost model etc)



Single set of rules

- Covering all H2020 research and innovation actions
- Keeping flexibility where needed

FP7



| Maximum reimbursement rates | Research and technological development activities (*) | Demonstration activities | Other activities |
|---------------------------------|---|--------------------------|------------------|
| Network of excellence | 50% 75% (**) | | 100% |
| Collaborative project(****) | 50% 75% (**) | 50% | 100% |
| Coordination and support action | | | 100% (***) |

(*) Research and technological development includes scientific coordination.

(**) For beneficiaries that are non-profit public bodies, secondary and higher education establishments, research organisations and SMEs

(***) The reimbursement of indirect eligible costs, in the case of coordination and support actions, may reach a maximum 7% of the direct eligible costs, excluding the direct eligible costs for subcontracting and the costs of resources made available by third parties which are not used on the premises of the beneficiary.

(****) Including research for the benefit of specific groups (in particular SMEs)



HORIZON 2020

One project = One rate

- For all beneficiaries and all activities in the grant
- Defined in the Work Programme / Work Plan:
 - Up to 100 % of the eligible costs
 - but limited to a maximum of 70 % for innovation projects (exception for non-profit organisations – maximum of 100%)

Single Indirect Cost Model

New funding model – what impact on EU contribution?

HORIZON 2020

FP7

60% ?

20% ?

Real ?

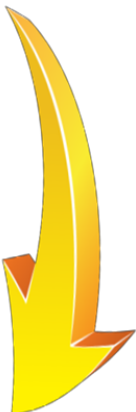
Simplified?

Single model:
25 % Flat Rate

An example

| FP7 <i>Majority of HES & RTOs</i> | Direct costs | Indirect costs | Total costs | % EU contribution | EU contribution |
|---|-----------------|-------------------|----------------|----------------------|--------------------|
| Flat-rate (60%) | 100 | 60 | 160 | 75% | € 120 |

| HORIZON 2020 | Direct costs | Indirect costs | Total costs | % EU contribution | EU contribution |
|----------------|-----------------|-------------------|----------------|----------------------|--------------------|
| 100/25 Funding | 100 | 25 | 125 | 100% | € 125 |



Time to Grant

Speeding up the process

A maximum TTG of 8 months

5 months
for informing all applicants
on scientific evaluation

3 months
for signature of GA

Some **exceptions** apply, including complex actions or where requested by applicants

Grant Preparation rather than negotiation:

- Each proposal evaluated 'as it is', not as 'what could be'
- Final GA based to maximum extent possible on Part B of the proposal (and annexes, if applicable)

Legal entity validated in parallel

No more paper:

e-communication & e-signature of grants

Other Simplification Efforts

Similar evaluation criteria with FP7

- Excellence – Impact – Quality and efficiency of the action

Simpler time-recording requirements

- No time-sheets for personnel working full time on a single project

Fewer Certificates on Financial Statements and fewer but targeted audits

- CFS only if total amount of the grant for the beneficiary as reimbursement of actual costs or average personnel costs is \geq EUR 325.000 at the time of the payment of the balance
- Audit strategy focused on risk and fraud prevention

Financial viability

- Restricted to coordinators for projects \geq €500 k€

Audit certificates

- Only for final payments/per beneficiary /for actual costs \geq €325 000 €
- Optional Certificates on average personnel costs

Ex-post audits

- Provisions in **Horizon 2020 Regulations!**
- Commission's audits up to two years after payment of the balance
- Audit strategy focused on risk and fraud prevention

Guarantee Fund

- Continuity with FP7

Minimum conditions:

Standard 'collaborative' actions (RIA/IA)

At least three legal entities each established in a different Member State or an Associated Country*

Coordination and support actions

One legal entity established in a Member State or in an Associated Country

Additional Conditions:

In the work plan: Number of participants, nature of participants etc

Forms of Funding:

We keep the Grant Agreements !

**See Annex A of the General Annexes for list of countries eligible for funding*



Research and Innovation Actions, RIA – NO RfP definition but description in the WP annexes

actions with Research and Development activities at the core of the project intending to establish new scientific and technical knowledge and/or explore the feasibility of a new or improved technology, product, process, service or solution

- *may include basic and applied research, technology development and integration, testing and validation on a small-scale prototype in a laboratory or simulated environment*
- *may contain closely connected but limited demonstration or pilot activities aiming to show technical feasibility in a near to operational environment*

•up to 100% funding rate

"Pure" Innovation Actions, IA – RfP definition

"Innovation action" means an action primarily consisting of activities directly aiming at producing plans and arrangements or designs for new, altered or improved products, processes or services. For this purpose they may include prototyping, testing, demonstrating, piloting, large-scale product validation and market replication"

•up to 70% funding rate (100% for non-profit legal entities)

Overlaps

'prototyping', 'testing', 'demonstrating' and 'piloting' not necessarily specific to innovation activities; they could be used to describe research and development activities (100% funding);

•In the case of a **Research and Innovation action**, these activities are undertaken on a small scale prototype, in a laboratory or simulated environment

•**Innovation projects** may include limited research and development activities.

Type of project expected, funding and Technology Readiness Level scale indicated in the WP topics

Coordination and Support Action

Actions consisting primarily of accompanying measures such as standardisation, dissemination, awareness-raising and communication, networking, coordination or support services, policy dialogues and mutual learning exercises and studies, including design studies for new infrastructure and may also include complementary activities of strategic planning, networking and coordination between programmes in different countries.

- up to 100% funding rate

Specific types of action - *rules should be exhaustively set in the Work Plan*

Programme co-fund: *an action funded through a grant, the main purpose of which is supplementing individual calls or programmes funded by entities, other than Union bodies, managing research and innovation programmes; may also include complementary activities of networking and coordination between programmes in different countries (**ERA-NET, European Joint Programme actions**).*

Inducement and recognition prizes:

Three main aims:

- Stimulate groundbreaking technologies
- Mobilize private research and innovation investments
- Generate public enthusiasm for new technologies

Subject to contests:

- Directly foreseen in the Work Programme
- Organized by a beneficiary of a CSA

Technology readiness levels (TRL)

According to MAWP: mainly above TRL=3 (basic research under other EU programmes)

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; or in space*)

The importance of the Annual Work Plan

Annual Work Plan, AWP may:

Restrict eligibility of participants from third countries (e.g. security concerns, reciprocity)

Introduce additional eligibility criteria

- *Number of participants, type of participant (IG/RG members) and place of establishment*

Lay down further details for the application of the award criteria, and specify weighting and thresholds – normally in general annexes

Specify third countries that are eligible for funding

Specify the funding rate for an action

Identify beneficiaries for grants without a call for proposals

Participation

Open for all legal entities established in third countries and for international organisations

Restrictions only possible if:

introduced in the annual work plan (for reciprocity reasons and/or for security reasons)

Funding (to be assessed by experts during evaluation)

Third country identified already in the Annual Work Plan or

Participation deemed by the FCH2 JU essential in the action or

When provided under a bilateral scientific and technological agreement



Intellectual Property Rights, IPR

We keep:

Ownership

- for the participant who generates results,
- joint-ownership only in specific circumstances

Protection

where appropriate

Exploitation

General obligation to exploit the results

Dissemination

principle maintained

Transfer and exclusive licences outside the EU/Associated Countries

the grant agreement may foresee right to object if a participant has received funding

Access rights

for implementation and for exploitation purposes
(also for affiliated entities established in MS/AC)



What is **NEW:**

Additional exploitation/dissemination obligations

(as a [separate document](#) requested by the Annual work plan, AWP)

Open access (OA): obligatory for [scientific publications](#)

Each beneficiary must ensure OA to all peer-reviewed scientific publications relating to its results:

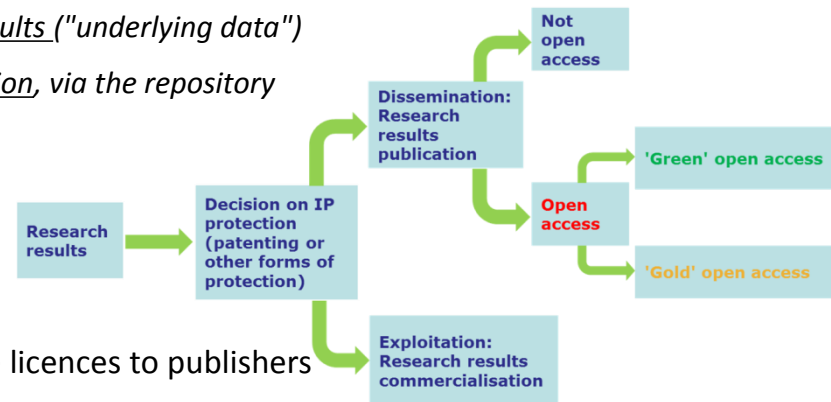
- Deposit a machine-readable copy of the published version or final peer-reviewed manuscript accepted for publication in a repository of the researchers choice (possibly OpenAIRE compliant)
- Ensure OA on publication or at the latest within 6 months
- Aim to deposit at the same time the research data needed to validate the results ("underlying data")
- Ensure OA to the bibliographic metadata that identify the deposited publication, via the repository

Costs for OA publishing:

Eligibility of OA publishing costs during the grant (as in FP7)

Licencing:

Encouragement to authors to retain their copyright and grant adequate licences to publishers



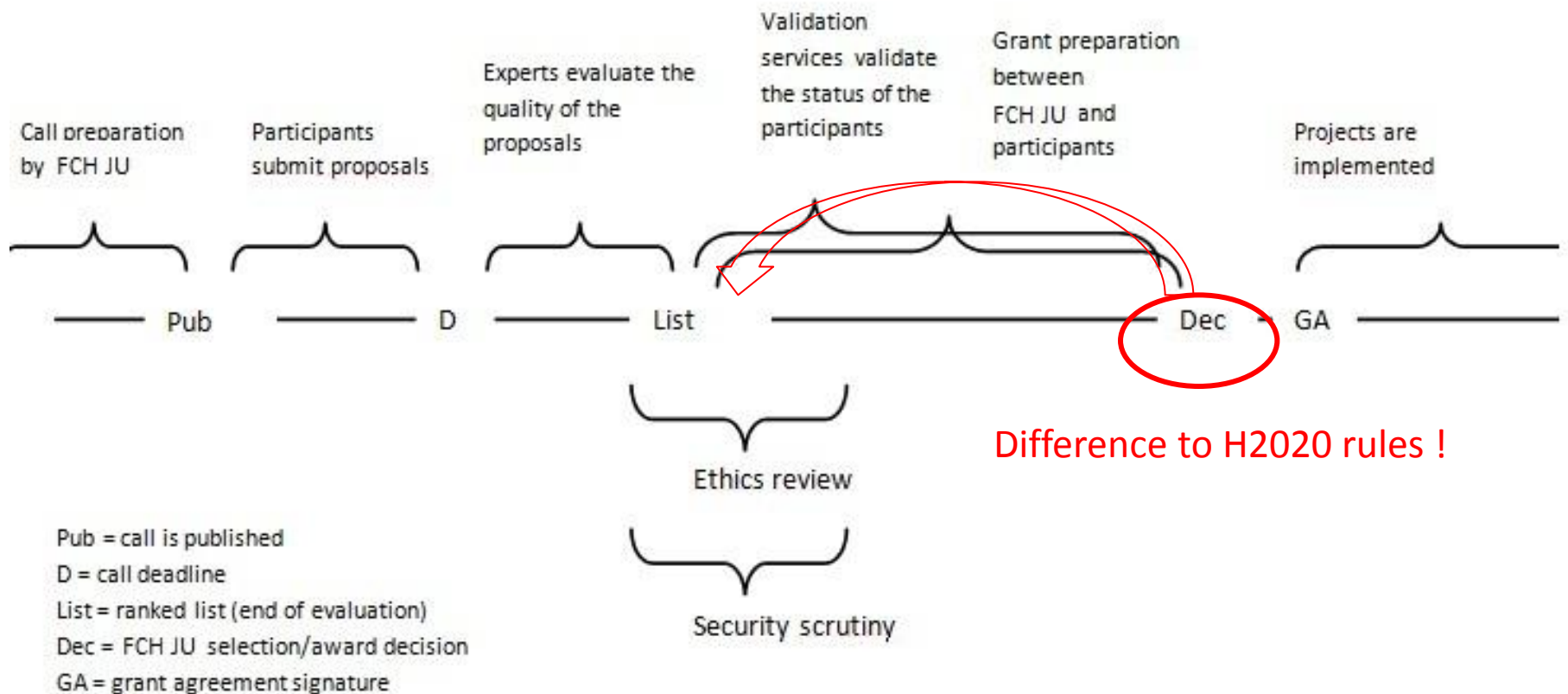
Pilot on Open Research Data – FCH2 JU is not part of it !

FCH JU projects can participate on a voluntary basis...



Proposal submission

Overview of process



Participant Portal

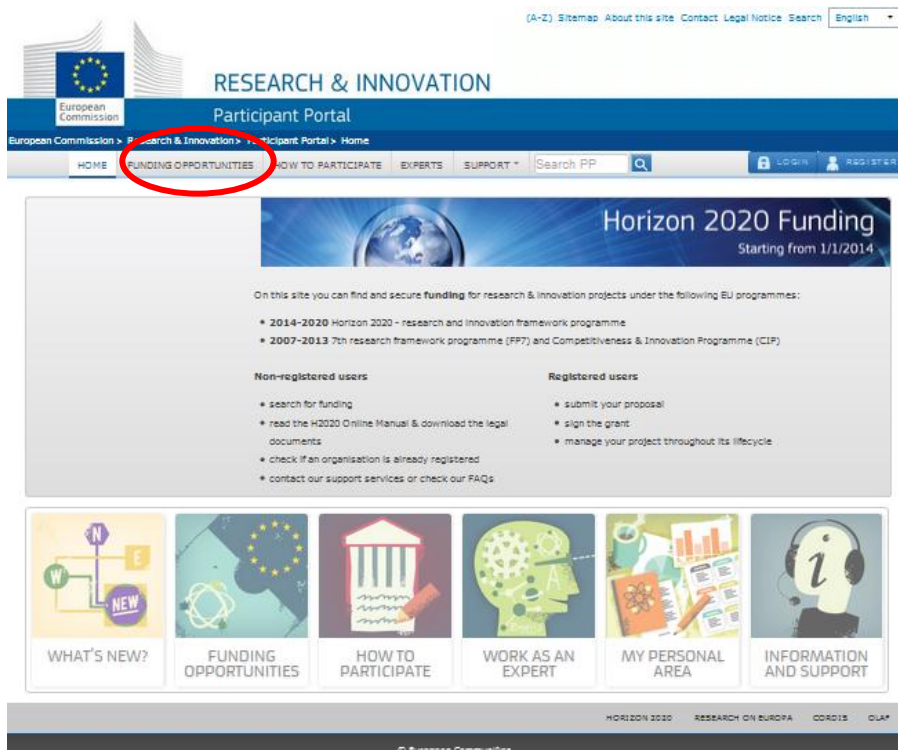
Funding Opportunities

NEW more ergonomic and user-friendly Participant Portal

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

Funding Opportunities page gives a short overview of the information and some **priority highlights** of H2020

- left hand menu: go directly to the **calls** of specific parts of H2020 or click on "Search topics" and **search** funding opportunities just with free **keywords**, **without having to know the structure of the programme**



Participant Portal

Calls

Calls are presented as clickable "cards" that lead to the call details.

When landing on the page the user will see all the open calls in the order of their publishing dates (possibility to see forthcoming and open calls when filtering accordingly) The user can also filter calls by programmes and themes)

Newcomers:

searching for call topics by **free keywords** without having to know the structure of the programme

RESEARCH & INNOVATION Participant Portal

European Commission > Research & Innovation > Participant Portal > Calls

HOME FUNDING OPPORTUNITIES HOW TO PARTICIPATE EXPERTS SUPPORT Search PP LOGIN REGISTER

Horizon 2020

Search Topics

Calls

Call Updates

Keyword Search: hydrogen

Results: 0

Status: ☒ Open ☐ Closed ☐ Forthcoming

Other EU Programmes 2014-2020

Research Fund for Coal & Steel

COSME

3rd Health Programme

Consumer Programme

FP7 & CIP Programmes 2007-2013

Calls

Call Updates

Other Funding Opportunities

Hydrogen Infrastructures

- Hydrogen territories
- Hydrogen explosion
- Hydrogen underground storage
- Hydrogen
- Hydrogen storage and distribution
- Hydrogen quality
- Hydrogen compression
- Hydrogen purification
- Hydrogen distribution
- Hydrogen refuelling station HRS
- Hydrogen from renewable energy sources
- Hydrogen storage
- Hydrogen pathways
- Hydrogen pipelines

RESEARCH & INNOVATION Participant Portal

European Commission > Research & Innovation > Participant Portal > Calls

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Horizon 2020

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Calls

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Research Fund for Coal & Steel

COSME

3rd Health Programme

Consumer Programme

FP7 & CIP Programmes 2007-2013

Calls

Call Updates

Other Funding Opportunities

Excellent Science

- ☐ European Research Council
- ☐ Future and Emerging Technologies
- ☐ Marie Skłodowska-Curie actions
- ☐ Research infrastructures

Industrial Leadership

- ☐ Leadership in enabling and industrial technologies (LEIT)
- ☐ Access to risk finance
- ☐ Innovation in SMEs

Type: ☒ Proposal ☐ Tender

Status: ☒ Open ☐ Closed ☐ Forthcoming

Filter a call

Filters only programme and call titles and IDs, for extended search go to the [Search Topics page](#).

Sort by: ☐ Title ☐ Call Id ☒ Publication Date ☐ Deadline Date

Societal Challenges

Clean Sky 2 Call for Core Partners Wave 1

H2020-CS2-CPW01-2014-01

Deadlines: 15/10/2014

Pub. Date: 09/07/2014

Societal Challenges

FCH2 JU call for proposals 2014

H2020-JTI-FCH-2014-1

Deadlines: 06/11/2014

Pub. Date: 09/07/2014

Societal Challenges

IMI2 1st Call for Proposals 2014

H2020-JTI-IMI2-2014-01

Deadlines: 12/11/2014

Pub. Date: 09/07/2014

Industrial Leadership

ECSEL Call 2014-2 Innovation Actions

ECSEL-2014-2

Deadlines: 17/09/2014

Pub. Date: 09/07/2014

Industrial Leadership

ECSEL Call 2014-1 Research and Innovation Actions

ECSEL-2014-1

Deadlines: 17/09/2014

Pub. Date: 09/07/2014

Societal Challenges

BIO BASED INDUSTRIES PPP

H2020-BBI-PPP-2014-1

Deadlines: 15/10/2014

Pub. Date: 09/07/2014

- A call is a list of distinct, separate topics
- A proposal is submitted to one and only one topic
- A topic is linked to one and only one call (the same topic applicable in two years will be considered as two distinct topics)
- A topic can have only one action type ("funding schemes"; e.g. R&I actions, CSA)
- A topic can have only one deadline

The screenshot displays the European Commission Research & Innovation Participant Portal. The main header includes the European Commission logo and the text "RESEARCH & INNOVATION Participant Portal". Below this, there are navigation tabs: HOME, FUNDING OPPORTUNITIES, HOW TO PARTICIPATE, EXPERTS, SUPPORT, and a search bar. The "FUNDING OPPORTUNITIES" tab is selected.

The main content area is titled "FCH2 JU CALL FOR PROPOSALS 2014". It includes a table with the following information:

| Publication date | Deadline Date |
|------------------|---|
| 09-07-2014 | 06-11-2014 17:00:00 (Brussels local time) |

Below the table, there is a "Status" section with a "Open" button. The "Cell description" tab is selected, showing a list of topics and submission service. The topics listed include:

- FCH-01.1-2014: Standardisation of components for cost-efficient fuel cell systems for transportation applications
- FCH-01.2-2014: Cell and stack components, stack and system manufacturing technologies and quality assurance
- FCH-01.3-2014: Development of advanced fuel cell systems and system components
- FCH-01.4-2014: Hydrogen storage standardisation and components optimisation for mass production
- FCH-01.5-2014: Development of cost effective and reliable hydrogen refuelling station components and systems for fuel cell vehicles
- FCH-01.6-2014: Engineering studies for large scale bus refuelling
- FCH-01.7-2014: Large scale demonstration of refuelling infrastructure for road vehicles
- FCH-02.1-2014: Research in electrolysis for cost effective hydrogen production
- FCH-02.2-2014: Decentralised hydrogen production from clean CO2-containing biogas
- FCH-02.3-2014: Stationary fuel cell system diagnosis: development of online monitoring and diagnosis systems for reliable and durable fuel cell system operation
- FCH-02.4-2014: Robust manufacturing of stationary fuel cells with reduced quality control costs
- FCH-02.5-2014: Innovative fuel cell systems at intermediate power range for distributed combined heat and power generation
- FCH-02.6-2014: Development of centrifugal hydrogen compressor technology
- FCH-02.7-2014: Stand-alone hydrogen purification systems for new hydrogen pathways
- FCH-02.8-2014: Improvement of electrolyser design for grid integration
- FCH-02.9-2014: Significant improvement of installation and service for fuel cell systems by Design-to-Service
- FCH-03.10-2014: Demonstrating the feasibility of central large scale electrolysers in providing grid services and hydrogen distribution and supply to multiple high value markets
- FCH-03.11-2014: Large scale fuel cell power plant demonstration in industrial/commercial market segments
- FCH-04.1-2014: Hydrogen territories
- FCH-04.2-2014: Blue hydrogen initiatives
- FCH-04.3-2014: Develop strategies to raise public awareness of fuel cell and hydrogen technologies
- FCH-04.4-2014: Pre-normative research on vented deflagration in containers and endusers for hydrogen energy applications

The footer of the page includes the text "© European Communities" and a navigation bar with links to HORIZON 2020, RESEARCH ON EUROPE, COORDIS, and OLAF.

First access to the system from each Topic's page

Draft and submitted proposals to be accessed later from the "My Proposals" page

RESEARCH & INNOVATION Participant Portal

European Commission

HOME FUNDING OPPORTUNITIES HOW TO PARTICIPATE EXPERTS SUPPORT

Search PP LOGIN REGISTER

Horizon 2020 Search Topics Calls Call Updates

Other EU Programmes 2014-2020 Research Fund for Coal & Steel COSMC 3rd Health Programme Consumer Programme

FP7 & CIP Programmes 2007-2013 Calls Call Updates

Other Funding Opportunities

FCH2 JU call for proposals 2014 H2020-JTI-FCH-2014-1

Publication date: 09-07-2014 Deadline Date: 08-11-2014 17:00:00 (Brussels local time)
Total Call Budget: €93,000,000 Main Pillar: Societal Challenges
Status: Open OJ reference: OJ C315 of 9 July 2014

Topic: Standardization of components for cost-efficient fuel cell systems for transportation applications FCH-01.1-2014

Topic Description Topic Conditions & Documents Submission Service

Specific challenge: Fuel cell system technology has already demonstrated its maturity for automotive application, but still does not meet the cost requirements for a broad market introduction. The reasons are proprietary system architectures and component concepts, too low volume and lack of a competitive chain of suppliers. Therefore a standardization of interfaces and components may be an efficient path to reduce cost and consequently accelerate market introduction of automotive fuel cell technology including qualification of a capable supplier base.

Whereas standardization of refuelling infrastructure is approaching maturity, on the fuel cell system component level the variance is still very high and needs more development. Each manufacturer of a fuel cell system develops and uses its own components and interfaces, mainly based on proprietary requirements, whereas the similarity of requirements appears to be potentially high (e.g. compare with "Auto Stack" specification). Components suitable for OEM-wide standardization include components of air supply, fuel supply, valves, sensors, cooling, water management, DC/DC converters, current connectors, etc. Alignment of requirements and standardization of these Balance of Plant components can help keep production costs low. In addition, some of these components affect safety classification (ASIL) of fuel cell systems and must be qualified and tested in order to comply with ASIL standards. In contrast, differentiation is expected to focus on fuel cell system architecture, fuel cell stack and system controls and therefore, these components should not be the focus of the targeted standardisation.

Current RCS are particularly based on manufacturing specification and should be simplified and adapted to performance oriented specifications.

Scope: The objectives of this action are to:

- Identify and select components or subsystems suitable for standardization of TRL 6 and higher
- Differentiate between power class dependent and power class independent components
- Benchmark concepts of components and subsystems respectively in conjunction with their operating range and higher
- Align specifications and interfaces for each component and subsystem, respectively
- Define and agree on standardized verification, validation and qualification test protocols
- Select, modify and adapt components complying with the agreed specifications
- Generate inputs for further development of selected fuel cell system components in order to

Additional documents

This call addresses the entire community, all areas and all countries.

RESEARCH & INNOVATION Participant Portal

European Commission

European Commission > Research & Innovation > Participant Portal > Opportunities

HOME FUNDING OPPORTUNITIES HOW TO PARTICIPATE EXPERTS SUPPORT

Search PP LOGIN REGISTER

Horizon 2020 Search Topics Calls Call Updates

Other EU Programmes 2014-2020 Research Fund for Coal & Steel COSMC 3rd Health Programme Consumer Programme

FP7 & CIP Programmes 2007-2013 Calls Call Updates

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Wizard Flow

Access Rights

Enhanced access rights,
enabling the read-only rights to proposals

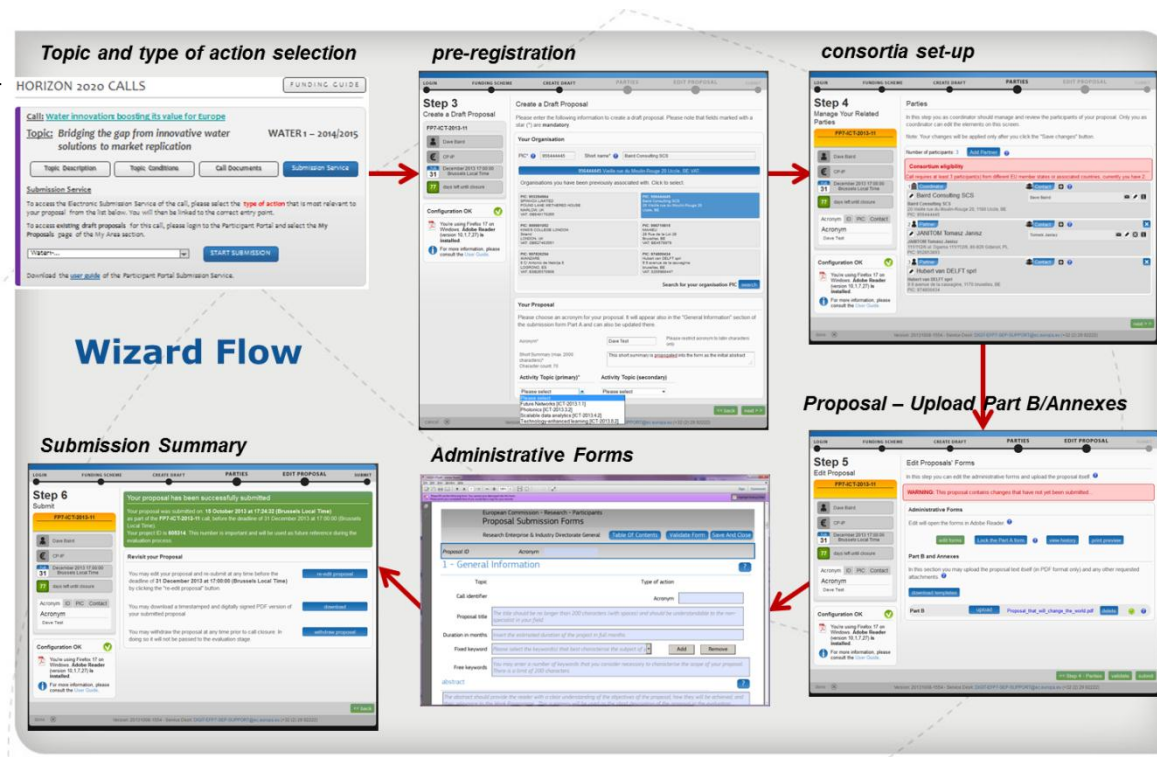
Full access (= coordinator contact or participant contact) or read-only rights (= team member) for any contact person of the proposal.

Rights to be managed in the Submission tool until call closure, after that in the Participant Portal

All contact persons receive access rights and are listed in Part A:

Main contact persons with full details;
other contacts with minimum data;

Authorized representative data
is not required in the proposals !



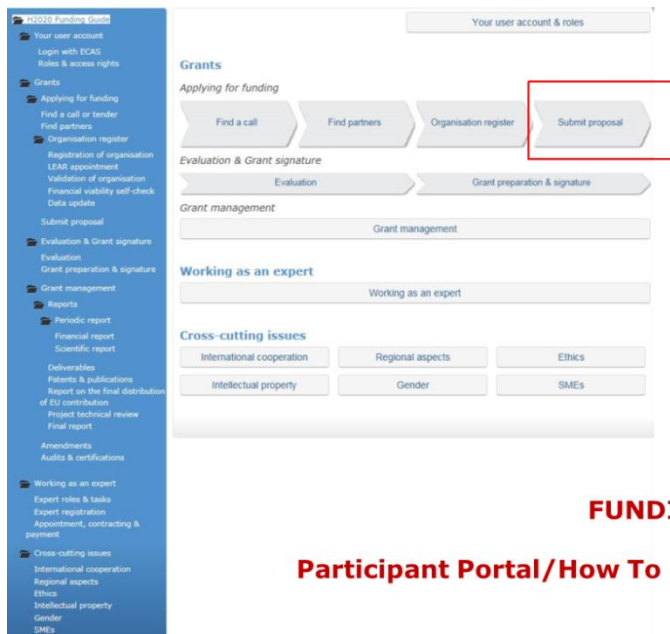
Part A

- General information
Abstract, panel and fixed keyword (if relevant),
New: declarations, checklist questions
- Participants and contact persons: data is read-only from the Organisation Registry (URF/PDM)
- Budget table – specific per action types
- **New:** Ethics Issues Table: structured, reference to Part B
- **Call specific questions:** limited set of specific questions related to the call **(IG/RG membership!)**
- The system offers validation checks & any problems are listed at the end of the administrative part.

Part B and Annexes

- Templates per calls/topics – downloadable from the system!
- Page limit may apply per attachments. The check is based on pages of the pdf document.
- Watermark to be applied to mark the pages above the limit
- General constraints: 10 MB, PDF
- The complete proposal package receives an e-receipt upon submission.
- **New:** Separate template for the **'Plan for exploitation and dissemination of results'!**
(if applicable, possibility to include additional activities and/or investments along the project to increase impact of results, as part of beneficiaries' business plans)

- Call and Topic-related official documents are available from the call/topic page of the Participant Portal
- Additional H2020 reference documents !
- Online help: H2020 Funding Guide on the Participant Portal
- Embedded guidance text in the forms: ghost text or fixed guidance behind the question marks; hyperlinks



FUNDING GUIDE

Participant Portal/How To Participate





Proposal evaluation

New 'types' of calls and proposals



- Calls are **challenged-based**, and therefore more open to innovative proposals
 - *Calls are less prescriptive - they do not outline the expected solutions to the problem, nor the approach to be taken to solve it*
 - *Calls/topics descriptions allow plenty of scope for applicants to propose innovative solutions of their own choice*
- There is a **greater emphasis on impact**, in particular through each call/topic impact statements
 - *Applicants are asked to explain how their work will contribute to bringing about the described impacts (separate plan for exploitation of results!)*
 - *During the evaluation, the experts are asked to assess this potential contribution.*
 - *Bigger weighting of the criteria in the Innovation Actions !*

More emphasis on innovation*



- **Substantial support to activities** such as prototyping and testing, demonstrating and piloting, first market replication - establishing technical and economic viability in (near) operational environments
- **Piloting new forms and sources of innovation**
extending beyond technological and research-based innovation
- **Leveraging and boosting engagement of industry**
- When the experts evaluate a proposal, they need to take into account **innovation activities** in the targeted innovation actions as well as in research and innovation actions
- **Cross-cutting issues** are fully integrated in the work plan (WP):
 - *Gender dimension in the content of R&I - a standard question on 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 & the experts should check requests for 'exceptional funding'**)*
 - *Other cross-cutting issues such as science education, **open access to scientific publications**, ethics, standardisation ... may also be included in the WP*

*

The definitions of the terms used are available in the [Horizon 2020 Glossary](#) on the Participant Portal

Impact of grant preparation on evaluation

new

- **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)

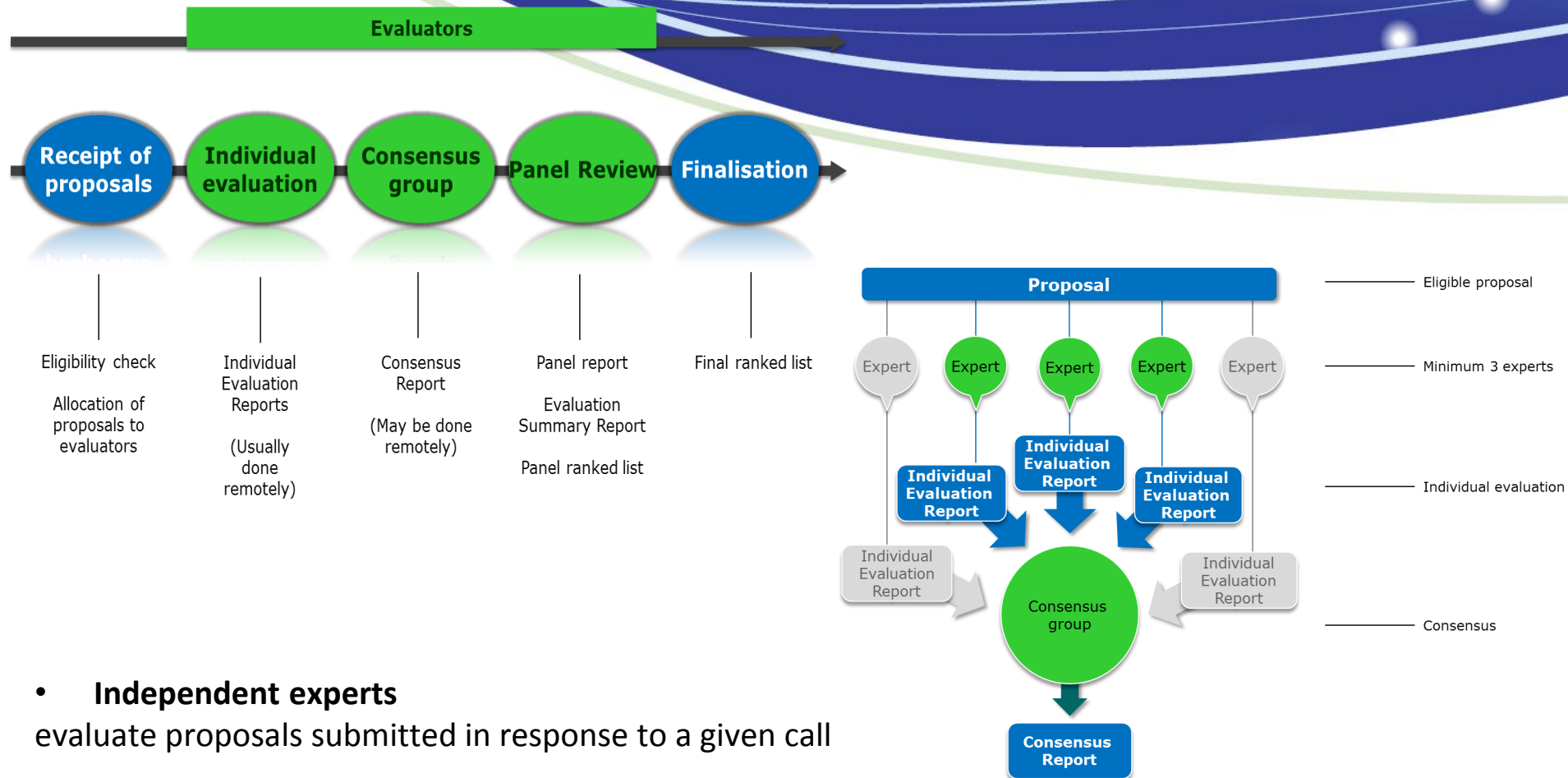
- What does this mean for the evaluation of proposal?

- **The experts evaluate each proposal as submitted**
not on its potential if certain changes were to be made
- **The experts do not recommend substantial modifications**
such as change of partners, additional work packages, significant budget or resources cut, additional scientific activities to strengthen the concept, trans-disciplinary aspects not appropriately covered...
- **If the experts identify significant shortcomings, they must reflect those in a lower score for the relevant criterion**
Proposals requiring substantial modifications are not expected to pass the relevant thresholds

- Is there a margin for making some recommendations?

- Minor and specific corrections to be implemented without negotiation, e.g. timing of work package...
- Obvious clerical errors

Overview of the Evaluation Process & Role of independent experts



- **Independent experts**

evaluate proposals submitted in response to a given call

- They are responsible for carrying out the evaluation of the proposals themselves
The experts are not allowed to delegate the work to another person!

- Significant funding decisions will be made on the basis of their advice !

Guiding principles

- **Independence**

- The experts evaluate in a personal capacity
- The experts represent neither their employer, nor their country!

- **Impartiality**

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

- **Objectivity**

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

- **Accuracy**

- The experts make their judgment against the official evaluation criteria and the [call/topic] the proposal addresses, and nothing else

- **Consistency**

- The experts apply the same standard of judgment to all proposals

Admissibility and eligibility checks

- **Admissibility is checked by the FCH JU:**

- Readable, accessible and printable
- Completeness of proposal presence of all requested forms
- **Plan for exploitation and dissemination of results**

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Page limits: Clearly set out in electronic system; excess page marked with a watermark

- **Eligibility should already have been checked by the FCH JU:**

- Minimum number of partners as set out in the call conditions
- “Out of scope” - a proposal will only be deemed ineligible in clear-cut cases
- Other criteria may apply on a call-by-call basis **(IG/RG membership!)**

- **However, if the experts spot an issue relating to eligibility when evaluating a proposal, they should inform the FCH JU**

- There are **three evaluation criteria**:
 - Excellence (relevant to the topic of the call)
 - Impact
 - Quality and efficiency of the implementation
 - Applicants are only required to provide summary of staff effort in each WPs and breakdown of 'Other direct cost' items (travel, equipment, other goods and services, large research infrastructures) in case their total exceeds 15% of the personnel costs !
 - Methodology to declare 'large research infrastructure' costs should be previously assessed (and accepted) by the Commission services
- The criteria are adapted to each type of action, as specified in the WP

Evaluation criteria

Research and Innovation/Innovation Actions (RIA/IA)

Excellence

Clarity and pertinence of the objectives

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)

Credibility of the proposed approach

Impact

The expected impacts listed in the work plan 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 (not already covered above)

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

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

Evaluation criteria

Coordination & Support Actions (CSA)

Excellence

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

Impact

- The expected impacts listed in the work plan 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

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

Elements to be reflected in the evaluation



If a proposal

- is only **marginally relevant** in terms of its scientific, technological or innovation content relating to the [call/topic] addressed, the experts must reflect this in a lower score for the Excellence criterion
 - No matter how excellent the science!
- does **not significantly contribute to the expected impacts** as specified in the WP for that [call/topic], the experts must reflect this in a lower score for the Impact criterion
- would **require substantial modifications in terms of implementation** (i.e. change of partners, additional work packages, significant budget or resources cut...), the experts must reflect this in a lower score for the “Quality and efficiency of the implementation” criterion
- *If cross-cutting issues are explicitly mentioned in the scope of the [call/topic], and not properly addressed (or their non-relevance justified), the experts must reflect this in a lower score for the relevant criterion*
 - *Proposals addressing cross-cutting issues which are not explicitly mentioned in the scope of the [call/topic] can also be evaluated positively*

The experts disregard excess pages which are marked with a watermark !

- **The experts give a score of between 0 and 5 to each criterion based on their comments**
 - Half-marks can be used
 - The whole range of scores should be used
 - Scores must pass *thresholds* if a proposal is to be considered for funding
- **Thresholds apply to individual criteria...**

The default threshold is 3 (unless specified otherwise in the WP)
- **...and to the total score**

The default overall threshold is 10 (unless specified otherwise in the WP)
- **For Innovation Actions (IA), the criterion Impact is given a weight of 1.5 to determine the ranking**
- **If an applicant lacks basic operational capacity, the experts make comments and score the proposal without taking into account this partner and its associated activity(ies)**

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Interpretation of the scores

0

The proposal fails to address the criterion or cannot be judged due to missing or incomplete information

1

Poor. The criterion is inadequately addressed, or there are serious inherent weaknesses.

2

Fair. While the proposal broadly addresses the criterion, there are significant weaknesses.

3

Good. The proposal addresses the criterion well, although **a number of shortcomings** are present.

4

Very Good. The proposal addresses the criterion very well, although **a small number of shortcomings** are present.

5

Excellent. The proposal successfully addresses all relevant aspects of the criterion. Any **shortcomings are minor**.

Proposals with identical total scores

- 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 Excellence,
 - and second, their score for Impact
 - [for Innovation actions, first their score for Impact and second 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

- Only proposals that comply with the ethical principles and legislation may receive funding
- For proposals above threshold and considered for funding, an **ethics screening** and, if necessary, an **ethics assessment** is carried out by independent ethics experts in parallel with the scientific evaluation or soon after
- For those proposals in which one or more ethical issues have been identified, the experts will assess whether the ethics issues are adequately addressed
- The ethics experts will produce an ethics report and give an opinion on the proposal, including:
 - granting ethics clearance (or not)
 - recommending the inclusion of 'ethics requirements' in the grant agreement, or
 - recommending a further Ethics Assessment and/or an Ethics Check or Audit

- **Maximum 5 months from the call deadline !** *(includes necessary time for Board decision)*
- **Complaints** *(request for evaluation review)*: within **30 days** of receiving the proposal rejection letter (through Participant Portal)
- **Flash Info** on Participant Portal *(eventually on FCH JU website too)*:
 - Publishing number of proposals submitted per budget/list of topics, after the call deadline;
 - Publishing basic statistics on the outcome of the call (e.g. total proposals, ineligible, above/below-thresholds) at the same time with the feedback/evaluation results to all applicants

Budget flexibility

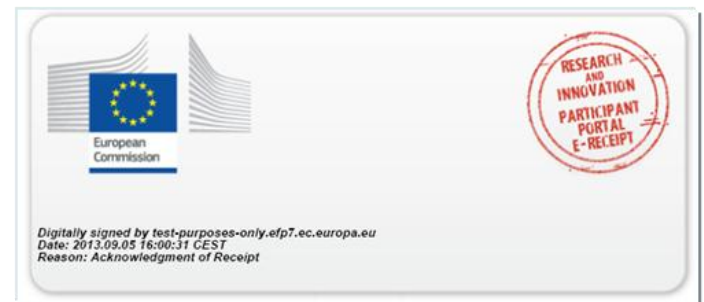
Budgetary figures given in the work plan are indicative. Unless otherwise stated, final budgets may vary by up to 20%, following the evaluation of proposals for:

- Total expenditure for call for proposals;
- Any repartition of the call budget within a call, up to 20% of the total expenditure of the call



IT landscape to support H2020

Electronic signature (experts and grants)/
Electronic cost statements for experts
electronic FEL/BA creation for experts



Common back-office
for Grant
Management



Common back-office for experts



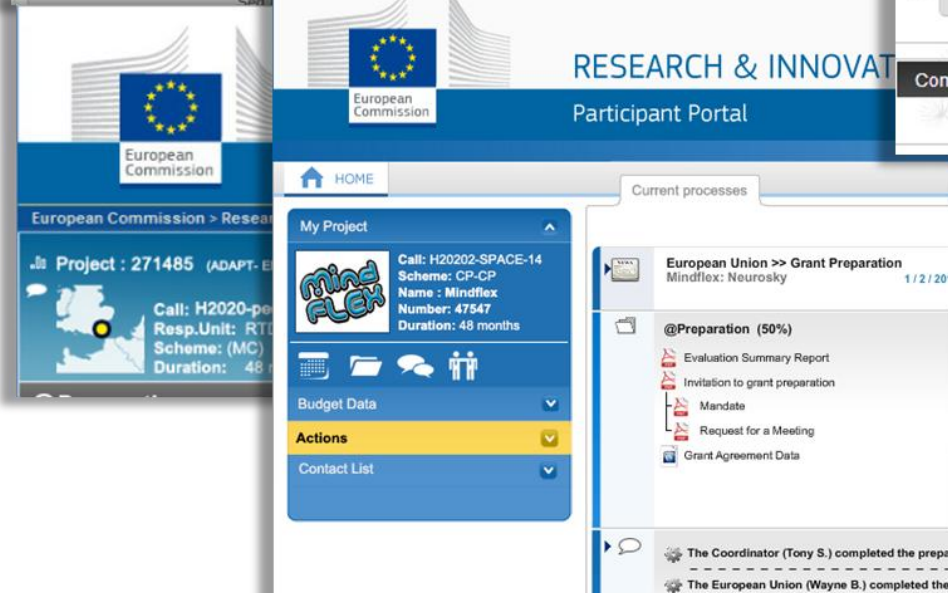
Electronic workflow tool



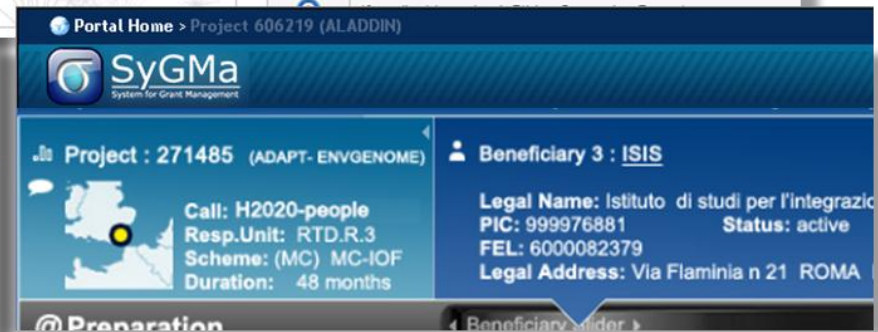
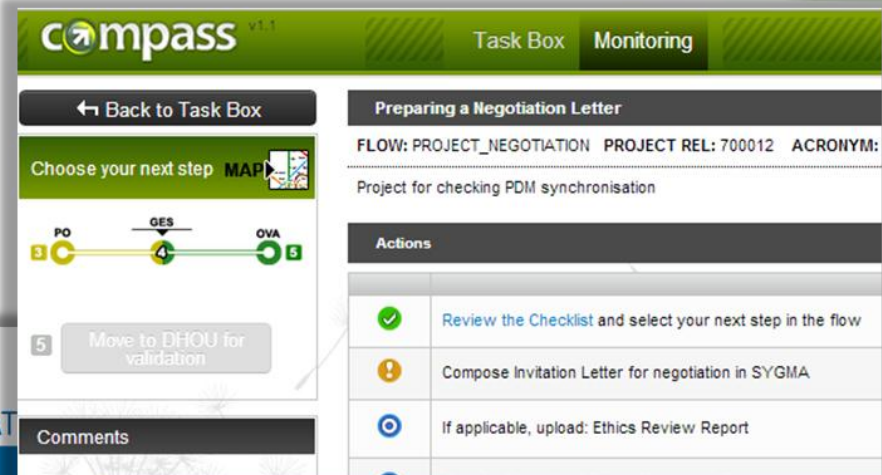
Common back-office for
management of audits



- *Front Office*



- *Back Office*



Horizon 2020



Participant Portal integrated services



✗ No e-mail



✗ No mail



✗ No blue ink signature

- +** Coherent
- +** Transparent
- +** Integrated
- +** Improved services

Proposal

Legal entity data

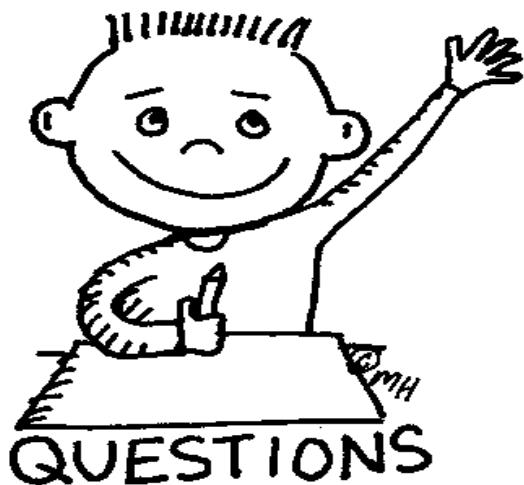
Grant Preparation

Financial reporting

Scientific reporting



Thank you for your attention !



further info
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