



# Rules for Participation, Call conditions and Evaluation

Lionel Boillot



[www.fch.europa.eu](http://www.fch.europa.eu)

**Call identifier:** H2020-JTI-FCH-2017-1

**Total budget :** EUR 116 million

**Publication date:** 17 January 2017

**Deadline:** 20 April 2017

## General Annexes to H2020

- List of countries eligible and rules for funding (Annex A)
- Admissibility and eligibility conditions (Annexes B and C)
- Types of action and funding rates (Annex D)
- Technology readiness level (TRL) (Annex G)
- Evaluation rules (Annex H)
- Open Access to research data (Annex L)

## + Annual Work Plan ***AWP 2017***

AWP may introduce additional eligibility criteria:

- Type of participant - IG/RG members
- Budget limit

# List of countries and rules for funding – Annex A

## Participation “Open to the World”

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



## Funding is provided for legal entities established in:

- Member States and countries associated to H2020
- A list of countries: Afghanistan, Algeria, ... , Zambia, Zimbabwe
- Any other country:
  - **If** third country identified already in the Annual Work Plan
  - **Or if** provided under a bilateral scientific and technological agreement
  - **Or if** participation deemed by the FCH2 JU essential in the action

International  
cooperation – IPHE,  
EU13

Assessed by  
experts during  
evaluation !

# Admissibility and eligibility conditions - Annexes B-C

## A proposal is ....

### Admissible when:

- Submitted in the electronic submission system “SEP” in time
- Readable, accessible and printable
- Complete:
  - Evidence of **operational capacity**
  - Include **draft plan** for the exploitation and dissemination of the results

Respect page limit !

### Eligible when:

- In line with the topic
- Complies with:

+ Additional Conditions in the AWP

RIA and IA →	<u>At least three legal entities</u> each established in a different Member State or Associated Country. All three legal entities shall be independent of each other.
CSA →	<u>At least one legal entity</u> established in a Member State or in an Associated Country

# Types of Actions – Annex D

## ■ RIA - Research and Innovation Actions

Actions primarily consisting of activities aiming to establish new knowledge and/or to explore the **feasibility of a new or improved technology**, product, process, service or solution. For this purpose they may include **basic and applied research**, technology development and integration, testing and validation on a **small-scale** prototype in a laboratory or simulated environment.

funding rate  
max. **100%**

## ■ IA- Innovation Actions

Actions 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.

funding rate  
max. **70%\***

\*Funding 100% for non-profit legal entities

## ■ CSA - Coordination and Support Action

Actions consisting primarily of **accompanying measures** such as **standardization, 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.

funding rate  
max. **100%**

# Technology readiness levels (TRL) – Annex G

According to MAWP: mainly  $TRL \geq 3$

*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

TRL 6 – technology demonstrated in relevant environment

TRL 7 – system prototype demonstration in operational environment

TRL 8 – system complete and qualified

TRL 9 – actual system proven in operational environment

**RIA**

**IA**

- **Selection criteria**

- **Financial Capacity:**

Coordinator completes a self-assessment at the proposal stage

- **Operational capacity:**

Indicated by  
the experts

Based on the information available at the time of the evaluation of the proposal, do all the partners in this proposal possess the basic operational capacity to carry out the proposed work?

→ If No, please list the concerned partner(s), the reasons for the rejection, and the requested amount

- **Award criteria, scores and weighting**

- **Evaluation procedure**



Later in the presentation

# Open Access to research data – Annex L

**NEW !**

## ▪ **Open Access**

Access, mine, exploit, reproduce and disseminate, free of charge for any user:

- Underlying data
- Data Management Plan, which provides:
  - Data the research will generate
  - How to ensure its curation, preservation and sustainability
  - What parts of that data will be open (and how)

Costs covered by the grant

## ▪ **“Opt-out” possible**

- Before or after GA signature
- When justified

Does not influence the scores given by the evaluators

**As open as possible, as closed as necessary**

**FAIR Data:**

- Findable
- Accessible
- Interoperable
- Re-usable



# FCH2 JU – Call 2017 – Call conditions

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## General Annexes to H2020



## Annual Work Plan *AWP* 2017

Additional eligibility criteria:

- IG/RG membership (relevant for 3 topics)  
*“Involvement of at least one member of Hydrogen Europe or N.ERGHY”*
- Max. Funding (relevant for 9 topics)  
*“The maximum FCH 2 JU contribution .... proposals requesting FCH 2 JU contribution above this amount will not be evaluated”*

There is no derogation from the  
H2020 Rules for Participation !

# Evaluation is part of a bigger process



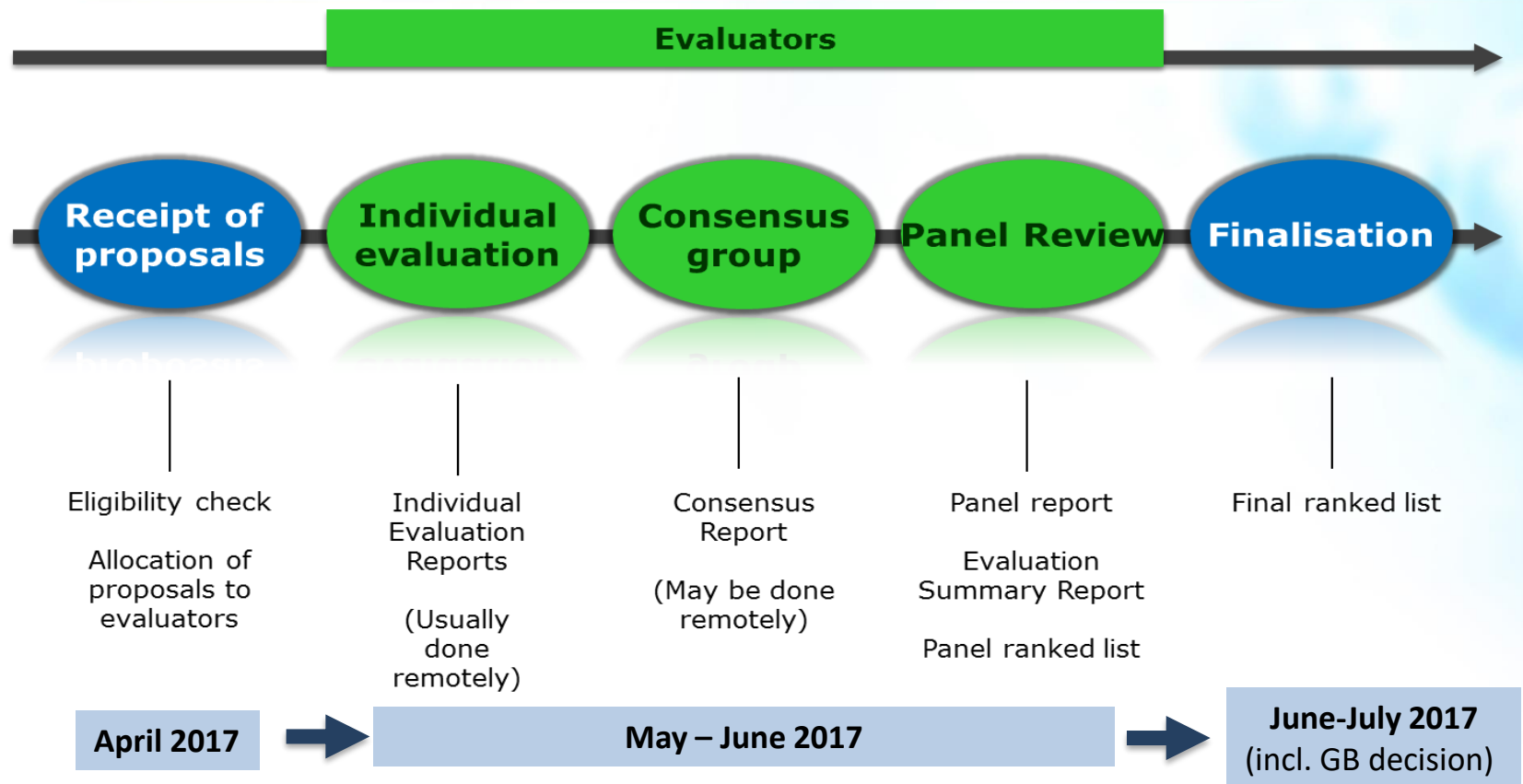
# 8 months for Time-To-Grant



## Quality of the proposal is key !

- The experts evaluate each proposal as submitted
- The experts do not recommend substantial modifications
- If the experts identify significant shortcomings, they must reflect those in a lower score for the relevant criterion

# Overview of the Evaluation Process



FCH JU will evaluate the proposals with the help of independent external experts (**'evaluators'**)

# Evaluation by independent experts

## How are the evaluators selected?

We appoint independent evaluators for each call from the **European Commission database of experts**

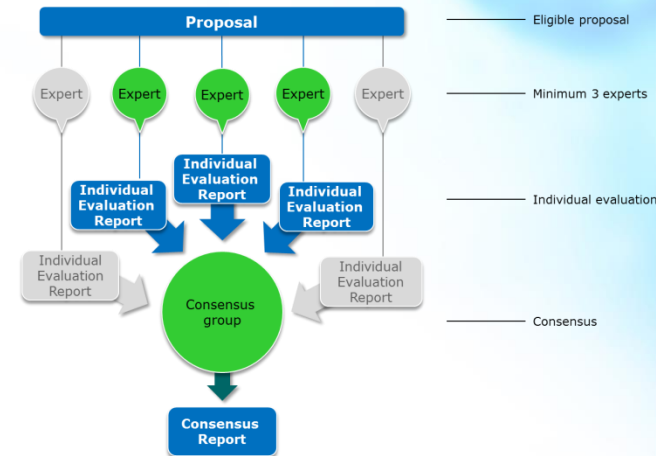
<http://ec.europa.eu/research/participants/portal/desktop/en/experts/index.html>

FCH JU look for:

A high level of skill, experience and knowledge in the relevant areas (e.g. project management, innovation, exploitation, dissemination and communication)

and, provided the above condition can be satisfied, **a balance** in terms of:

- skills, experience and knowledge
- geographical diversity
- gender
- where appropriate, the private and public sectors, and
- an appropriate 'rotation' from year to year.



In principle, **each proposal will be examined by at least three experts** (in many cases, five).

In addition, the evaluation process may be followed by **one or more independent observers**

Experts that have a **conflict of interests** will be excluded by us !

REGISTER AS EXPERT

*European Commission publishes on the Participant Portal at least once a year the list of experts who have assisted all programmes (incl. FCH2 JU) together with their area of expertise.*

# Award criteria, scores and weighting

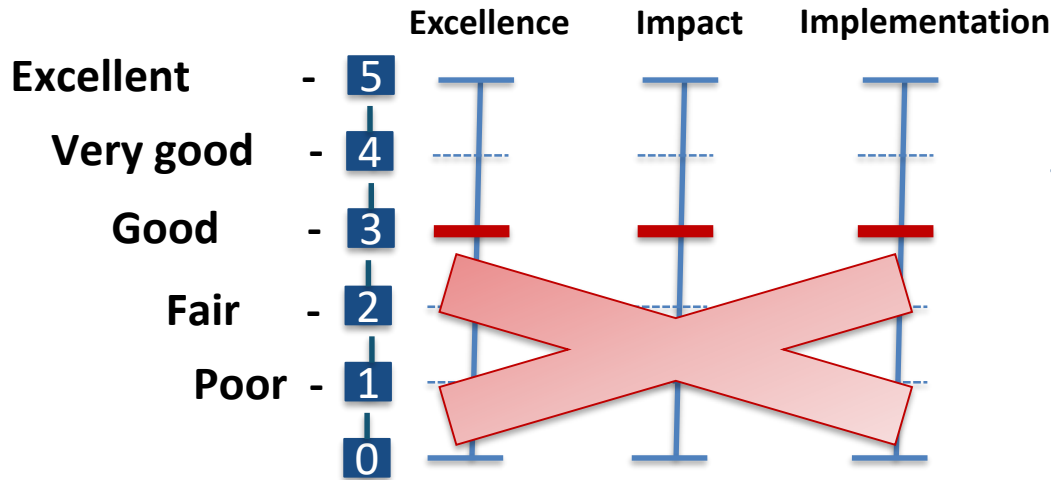
The proposals will be evaluated against the following **award criteria**:

- **Excellence**
- **Impact**
- Quality and efficiency of the **implementation**

Evaluation grid available in  
Annexe H

The criteria are **adapted to each type of action (RIA/IA and CSA)**

## Weighting and thresholds



Thresholds apply to:

- Individual criterion, score must be  $\geq 3$
- Overall score must be  $\geq 10$

## Proposals are ranked according to their score (0-15)

### Proposals with identical total scores

- For each “group of proposals” with identical total scores, the panel considers **first proposals that address topics which are not already covered by more highly-ranked proposals**
- If there are ties, 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 still 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

Coverage

Criterion  
order

SME,  
gender

# Feedback to applicants

- **Maximum 5 months from the call deadline:** Evaluation Results Letter (through Participant Portal)
- **Complaints** (*request for evaluation review*): within **30 days** of receiving the Evaluation Results Letter (through Participant Portal)
- **Flash Info** on Participant Portal (*similarly on FCH2 JU website*):
  - 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**



- **Need to add in Proposal: work package for communication**  
(or included in another work package)
- **Comprehensive communication plan**
- **Address the "public policy perspective"**
- **Communication proportionate to the action**

Communication	Dissemination
About the <b>project</b> and <b>results</b>	About <b>results only</b>
<b>Multiple audiences</b> <i>Beyond the project's own community (include the media and the public)</i>	<b>Audiences that may use the results</b> in their own work <i>e.g. peers (scientific or the project's own community), industry and other commercial actors, professional organisations, policymakers</i>
<b>Inform</b> and <b>reach out to society</b> , show the benefits of research	<b>Enable use and uptake of results</b>

- FCH Website

<http://www.fch.europa.eu>

- Research Enquiry Service

<http://ec.europa.eu/research/index.cfm?pg=enquiries>

- H2020 documents in Participant Portal

[http://ec.europa.eu/research/participants/portal/desktop/en/funding/reference\\_docs.html](http://ec.europa.eu/research/participants/portal/desktop/en/funding/reference_docs.html)

- H2020 on-line manual

[http://ec.europa.eu/research/participants/docs/h2020-funding-guide/index\\_en.htm](http://ec.europa.eu/research/participants/docs/h2020-funding-guide/index_en.htm)

- H2020 Communicating EU Research & Innovation

[http://ec.europa.eu/research/participants/data/ref/h2020/other/gm/h2020-guide-comm\\_en.pdf](http://ec.europa.eu/research/participants/data/ref/h2020/other/gm/h2020-guide-comm_en.pdf)