



# **Science with and for Society NCP Info Day**

**Brussels, 25 November 2019**

**Proposal submission and evaluation**

**Niamh DELANEY,  
REA.B5**

**Spreading Excellence, Widening Participation,  
Science with and for Society**

# Outline



- *DG RTD & REA*
- *Call overview*
- *Evaluation process*
- *Tips*
- *Ethics*





**European Commission  
DG Research&Innovation**

- **Definition of policies**
- **Drafting of Work Programme**

**Research  
Executive Agency**

- **Implementation of calls for proposals**
- **Management of funded projects**

## Mission: Bridging the Gap

REA unit B5 *Bridges the Gap:*

**Between countries** by increasing their research capacity and participation in international networks.

**Between Science & Society** by improving their interaction and thus the lives of European citizens.



# Call overview



**SwafS-2020**  
**Single submission**

*12 SwafS topics*

**55.7 M€**

**SwafS-2020**  
**Two-stage**

*2 science education topics*

**7.5 M€**

Opening: **10 December 2019**  
Deadline: **15 April 2020,**  
**17:00 CET**

Opening: **10 December 2019**  
Deadline:  
**15 April 2020, 17:00 CET stage 1**  
**17 Nov 2020, 17:00 CET stage 2**

# Call overview



All other SwafS topics (single submission)	Type of Action
SwafS-08-2019-2020: Research innovation needs & <b>skills training</b> in PhD programmes	CSA
SwafS-09-2018-2019-2020: Supporting research organisations to implement <b>gender</b> equality plans	CSA
SwafS-25-2020: <b>Gender</b> -based violence in research organisations and universities	RIA
SwafS-26-2020: Innovators of the future: bridging the <b>gender</b> gap	CSA
SwafS-28-2020: The <b>ethics</b> of organoids	CSA
SwafS-29-2020: The <b>ethics</b> of technologies with high socio-economic impact	CSA
SwafS-30-2020: Responsible <b>Open Science</b> : an <b>ethics</b> and <b>integrity</b> perspective	CSA
SwafS-14-2018-2019-2020: Supporting the development of territorial <b>RRI</b>	CSA
SwafS-19-2018-2019-2020: Taking stock and re examining the role of <b>science communication</b>	RIA
SwafS-23-2020: Grounding RRI in society with a focus on <b>citizen science</b>	CSA
SwafS-27-2020: Hands-on <b>citizen science</b> and frugal innovation (2 sub-topics)	RIA
SwafS-31-2020: Bottom-up approach to build <b>SwafS knowledge base</b>	RIA

2-stage topics	Type of Action
SwafS-01-2018-2019-2020: Open schooling and collaboration on <b>science education</b>	CSA
SwafS-24-2020: <b>Science education</b> outside the classroom	RIA

## Research & Innovation Action (RIA)

- Action consisting of activities aiming at establishing **new knowledge** and/or to explore the feasibility of a **new or improved** technology, product, process, service or solution
- 3 entities in a different EU MS or H2020 associated country
- Page limit 70 pages

## Coordination & Support Action (CSA)

- Action consisting primarily of **accompanying measures** (i.e. not focused on research) such as:
  - standardisation, dissemination, awareness-raising and communication, networking, coordination and 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
- Minimum 1 entity in an EU MS or H2020 associated country
- Page limit 50 pages

# Call overview

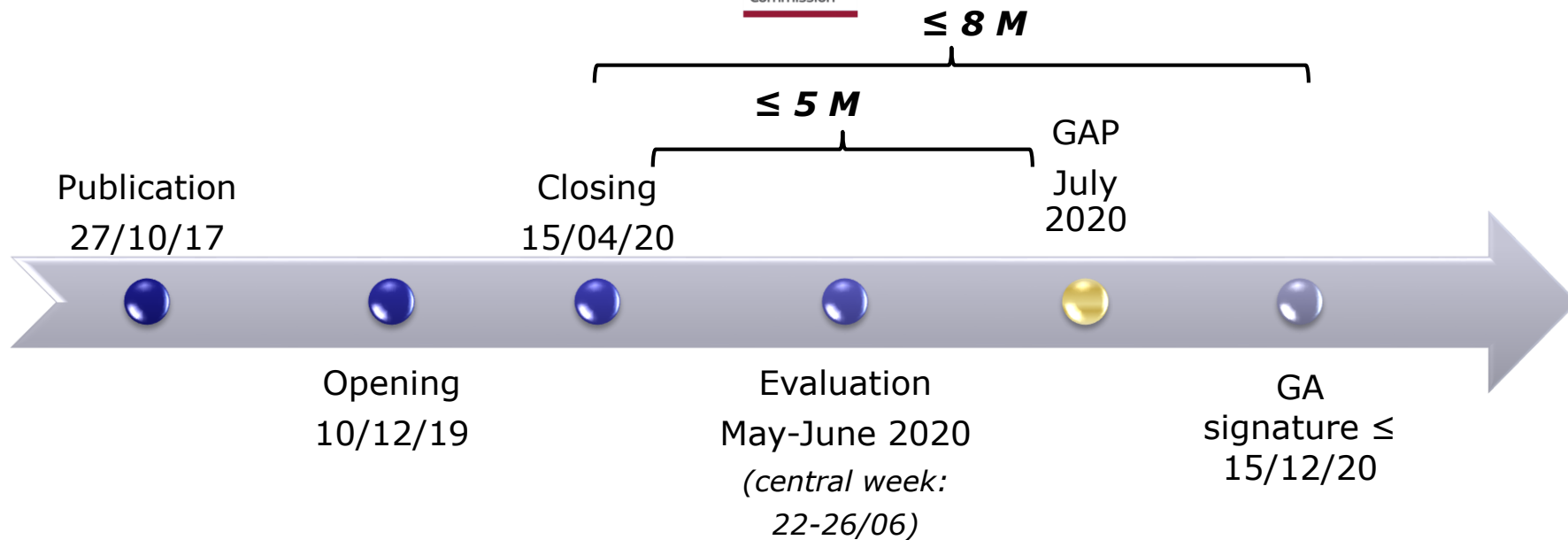


## H2020 Cross-cutting issues integrated in SwafS WP

RRI	Gender	Open Science	SSH	International co-operation
SwafS-08	SwafS-08	SwafS-08	SwafS-19	SwafS-27
SwafS-09	SwafS-14	SwafS-27	SwafS-27	SwafS-28
SwafS-14	SwafS-19	SwafS-28		SwafS-29
SwafS-19	SwafS-28	SwafS-29		SwafS-30
SwafS-23	SwafS-29			
SwafS-25	SwafS-01 (2S)			
SwafS-26	SwafS-24 (2S)			
SwafS-27				
SwafS-28				
SwafS-29				
SwafS-30				
SwafS-31				
SwafS-01 (2S)				

- Applicants need to consider these elements in their proposals  
[RRI](#), [gender](#), [open science](#), [SSH](#), [international cooperation](#)
- **FAQs** available on how to address these cross cutting priorities and see also the [Online Manual](#)
- As stated in the general introduction of the WP, all SwafS topics are expected to support one or more of the [Sustainable Development Goals](#)

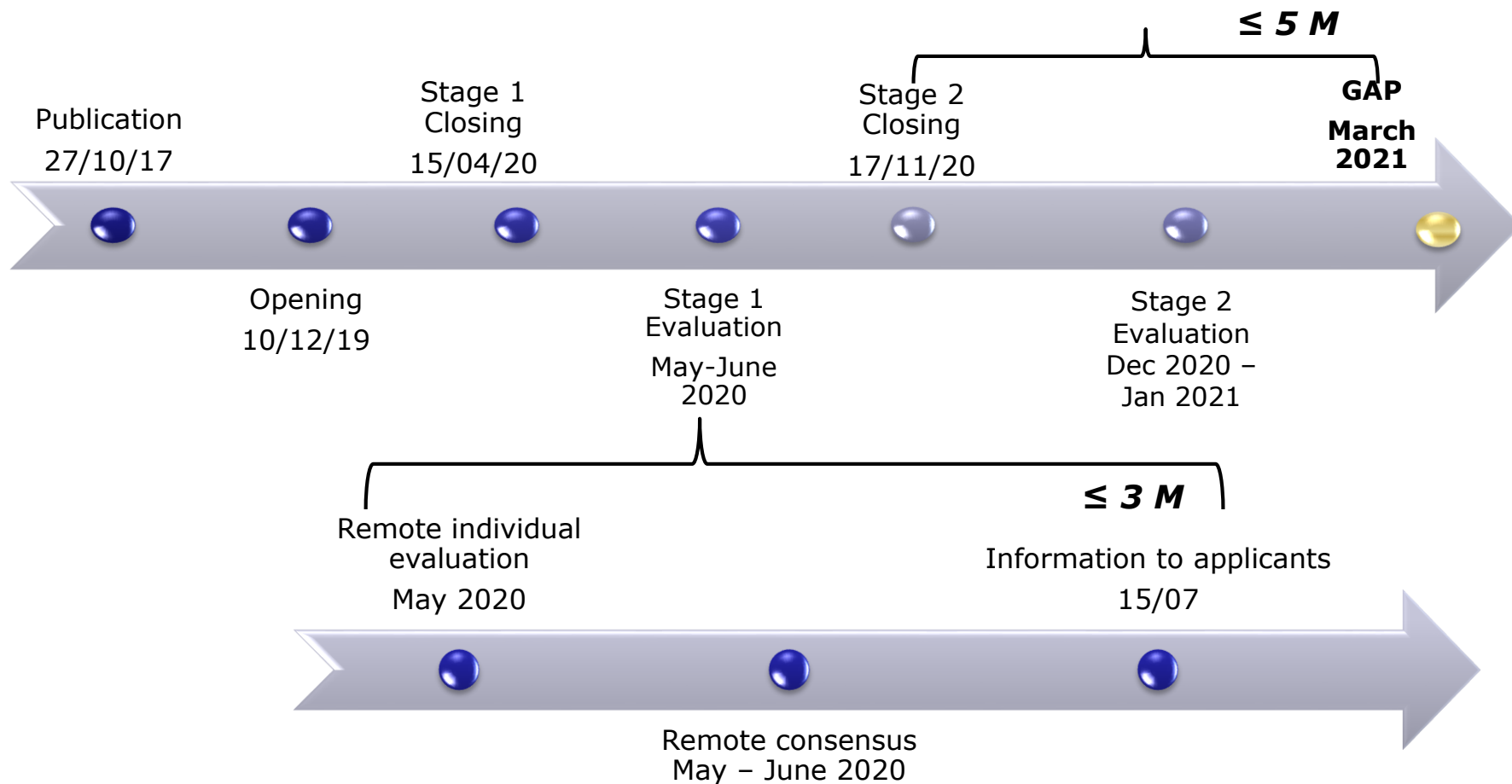




# Call overview



*Two-stage*



# Evaluation process



- Based on a **peer-review process**
- Commission/Agency does not evaluate proposals & **assigns independent external experts** to **assess** them
- Evaluation outcome is based on **consensus**
- All evaluated proposals receive **written feedback** (ESRs)
- Proposals are **evaluated as submitted** (not on their potential if certain changes were to be made):
  - Identified **shortcomings are reflected** in lower score
  - **No recommendations** are given
  - There is **no negotiation phase** for successful proposals

# Evaluation process



## ■ Part A

- General Information – Abstract
- Participants and contacts
- Budget
- Ethics
- Call specific question(s): Open Research Data Pilot & stage 2 consistency with stage 1 proposal

## ■ Part B

- Section 1: Excellence (objectives; relation to WP; concept & approach; etc.)
- Section 2: Impact (expected impacts; measures to maximise impact which include dissemination & exploitation of results and communication activities)
- Section 3: Implementation (work plan; management structure & procedures; consortium; resources)
- Section 4: Members of the consortium
- Section 5: Ethics and security

**Proposals  
have 2 parts**

**Both parts need  
to be assessed**

**Page limitation for  
Part B sections 1-3:  
50 (CSA) or 70 pgs  
(RIA)**

*(excess pages not  
visible to experts)*

**No page limit  
sections 4-5**

# Evaluation process



## Evaluators

- ☐ Evaluate proposals in a fair and independent way
- ☐ Submit individual evaluation reports
- ☐ Participate in Consensus meetings / Approve Consensus Reports
- ☐ Participate in panel review

## Rapporteurs

- ☐ Draft consensus reports (*do not evaluate proposals*)
- ☐ Observe the panel review

## Vice-chairs

- ☐ Moderate consensus meetings (*do not evaluate proposals*)
- ☐ Quality check individual / consensus / evaluation summary reports
- ☐ Observe the panel review

## Independent Observer

- ☐ Observes the overall evaluation process
- ☐ Provides advice / improvement suggestions to the REA



## How do we brief experts

- Experts receive the same information as applicants
- Focus on **topic specifics**
  - Work Programme topic description
  - Note cross-cutting issues published in Portal
  - FAQs published on topic
  - Proposal template
  - Evaluation criteria
  - Policy briefing
- Only evaluate what's in the proposal
- Reminder of H2020 'no negotiation' principle : proposal becomes the project
- Process ensures best proposals come out on top

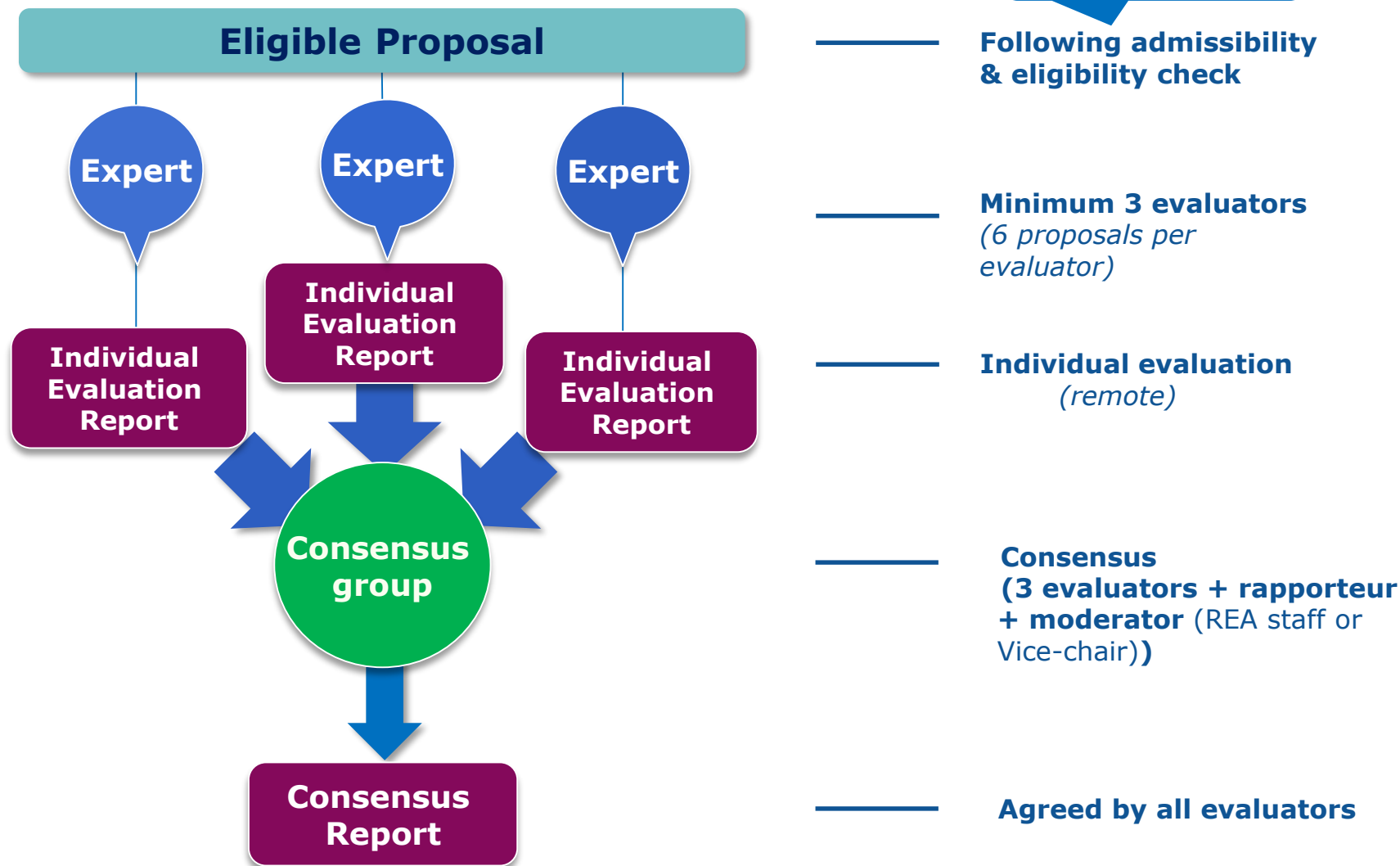
**NB: see policy briefing to be published on Portal in December**



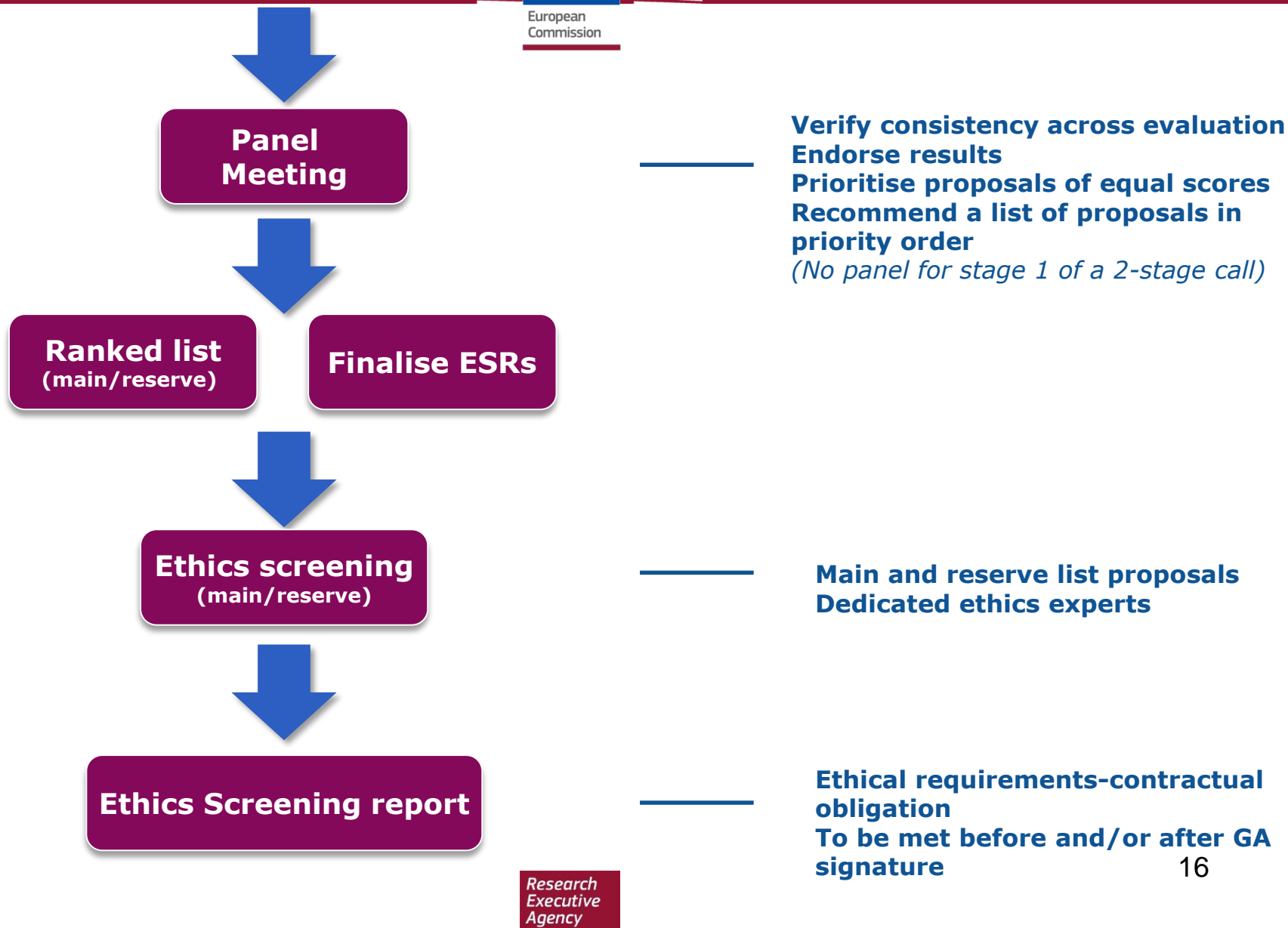
# Evaluation process



Based on criteria set out in WP General Annexes



# Evaluation process



# Evaluation process



## Research & Innovation Actions

### Excellence

*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 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.

### Impact

- The expected impacts listed in the work programme under the relevant topic
- Any substantial impacts not mentioned in the WP, 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 proposed measures to exploit and disseminate project results (including IPR, manage data research where relevant);communicate the project activities to different target audiences

### Implementation

- Quality and effectiveness of the work plan, including extent to which resources assigned in work packages are in line with objectives/deliverables
- Appropriateness of management structures and procedures, including risk and innovation management
- Complementarity of the participants which the consortium as a whole brings together expertise
- Appropriateness of allocation of tasks, ensuring that al participants have a valid role and adequate resources in the project to fulfill that role

# Evaluation process



## Coordination & Support Actions

### Excellence

*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
- Quality of the proposed coordination and/or support measures

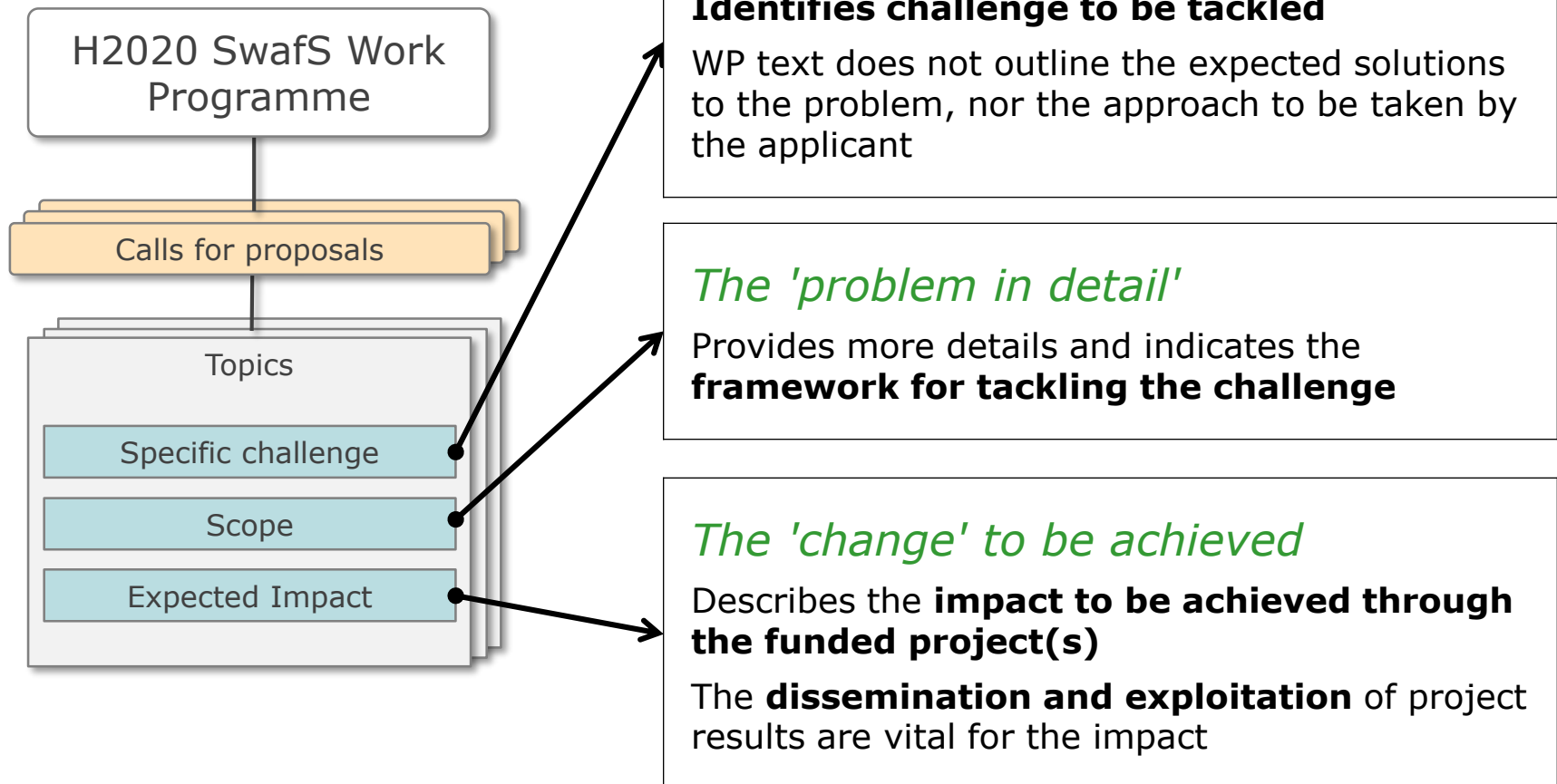
### Impact

- 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
- Quality of proposed measures to:
  - Exploit and disseminate project results (including management of IPR) and to manage research data where relevant;
  - Communicate the project activities to different target audiences

### Implementation

- Quality and effectiveness of the work plan, including extent to which resources assigned to work packages are in line with objectives/deliverables
- Appropriateness of management structures and procedures, including risk and innovation management
- Complementarity of the participants and extent to which the consortium as a whole brings together the necessary expertise
- Appropriateness of allocation of tasks, ensuring that all participants have a valid role and adequate resources in the project to fulfill that role

- **Carefully read WP topic:** proposal should answer **scope & expected impacts**



# Tips



- **Partner search: via a general partner search** (e.g. to check previous successful participants)

European Commission | Funding & tender opportunities  
Single Electronic Data Interchange Area (SEDIA)

SEARCH FUNDING & TENDERS | **HOW TO PARTICIPATE** | PROJECTS & RESULTS | WORK AS AN EXPERT | SUPPORT

Horizon 2020 Framework Programme (H2020)

Search by  
Involvement in EU funded programmes

**Keyword**  
Type your Keywords

**Topic**  
Swafs-09-2018-2019-2020

**Call**  
Select a call ...

**Programme**  
Horizon 2020 Framework Programme (H2020)

Search by  
Organisation details

**Organisation name**  
Type an organisation name ...

**Organisation type**

**Partner Search**

Any use of the Funding and Tenders Portal for a commercial purpose is forbidden. Any misuse of it will lead to the refusal of access to

Find partners for your project ideas among the participants in past EU projects.

- Enter a keyword or a topic of a past call for proposals for finding related organisations.
- Search by geographical criteria or by types of organisation.
- For more specialised partner search service see Online Manual.

Results: 30

Download excel

**ORGANISATION NAME**

AGENCE NATIONALE DE LA RECHERCHE
CENTRE DE COOPERATION INTERNATIONALE EN RECHERCHE AGRONOMIQUE POUR LE DEVELOPPEMENT - C.I.R.A.D. EPIC
CENTRO DE INVESTIGACIONES CIENTIFICAS Y TECNOLOGICAS DE EXTREMADURA
CENTRO INTERNAZIONALE DI ALTISTUDI AGRONOMICI MEDITERRANEI
EUROPA MEDIA SZOLGALTATO NON PROFITKOZHASZNU KFT
FUNDACION DEUSTO
FUNDACION ESPANOLA PARA LA CIENCIA Y LA TECNOLOGIA - F.S.D. TECNOL



- **Partner search: via the call page** (e.g. to check those looking for partners for open topic)



Topic description

Conditions and documents

**Partner Search**

Submission service

Get support

Call information

Call Updates

Go back to search results

Topic conditions and documents

**1. Eligible countries:** described in Annex A of the Work Programme.  
A number of non-EU/non-Associated Countries that are not automatically eligible for funding have made specific provisions for making funding available for their participants in Horizon 2020 proj

**2. Eligibility and admissibility conditions:** described in Annex B and Annex C of the Work Programme.

1. The applicant organisation (coordinator) where a defined field of research aims to be strengthened as a result of the Twinning action should be established in a Member State or Associated Co

show more...

Go to top

**Partner Search**

**18** Organisations are looking for collaborating partners for this topic

View / Edit

LEARs, Account Administrators or self-registrants can publish partner requests for open and forthcoming topics after logging into this Portal.



- **Subscribe** for updates in **Funding & Tenders Portal**
- **Policy briefings** will be made available in **December** on the **topic page** under '**Conditions and documents**' – **Section 8**
- Keep **Work Programme topic** text in mind throughout
- Ensure **cross-cutting priorities** are addressed
- Read carefully **proposal template** and follow template **structure** and guidance to ensure you address each evaluation sub-criteria



- **General Annexes of the WP** (general admissibility, eligibility conditions, general evaluation criteria & rules)
- **Completeness**: one section missing -> proposal inadmissible
- **Page limit**: 70 pages for RIA / 50 pages for CSA
- **Partnerships**: check eligibility criteria
- **Resubmissions**: (declared in part A) **make sure that proposal fits the topic**
- **Financial support to third parties in form of grants** (no prizes!) and for **dedicated topics only (topics 1, 14, 23, 27, 28) Annex K of the WP!**
- **Additional dissemination obligations for certain topics (topics 19, 23, 27, 28, 29, 30)**



- **Part A:** fill in **mandatory fields**, validate feature to **highlight issues**
- **One contact person per organisation is mandatory**
- **LEARs immediately notified**, if PIC is used in a proposal
- Access to **IT Help** via the 'IT HOW To' button on each process page





- For **2-stage calls (Topics 1 & 24)**, Part B template is **different, page limit only 10 pages!**
- **Download Part B template from Submission system!**  

Topics with financial support to third parties part B template includes section 4.3
- **Excess pages will not be visible to evaluators** (*could results in proposal being incomplete/inadmissible*)
- **Consistency between Part A and Parts B of proposal**
- **When submitting proposal, check correct section uploaded in respective place-holders: 1-3 and 4-5**
- **Call deadline 15 April 2020 17:00:00 CET:** prepare proposal well in advance - **don't leave it to last day to submit!**

Quality = key to success

Demonstrate WHAT – WHY – HOW !

An **excellent** idea is the basis for a successful proposal but is not sufficient....

See expected impacts section of WP

Proposal becomes project 'no negotiation' principle

The expected **impacts** and **implementation** aspects are as important

The proposal should excel in each of the 3 criterion !



## Ethics Legal Basis

### Rules for Participation Horizon 2020

**Article 13** – Proposals

**Article 14** – Ethics Review

**Article 18** – Grant Agreement

**Article 23** – Implementation of Actions



### Grant Agreement Horizon 2020

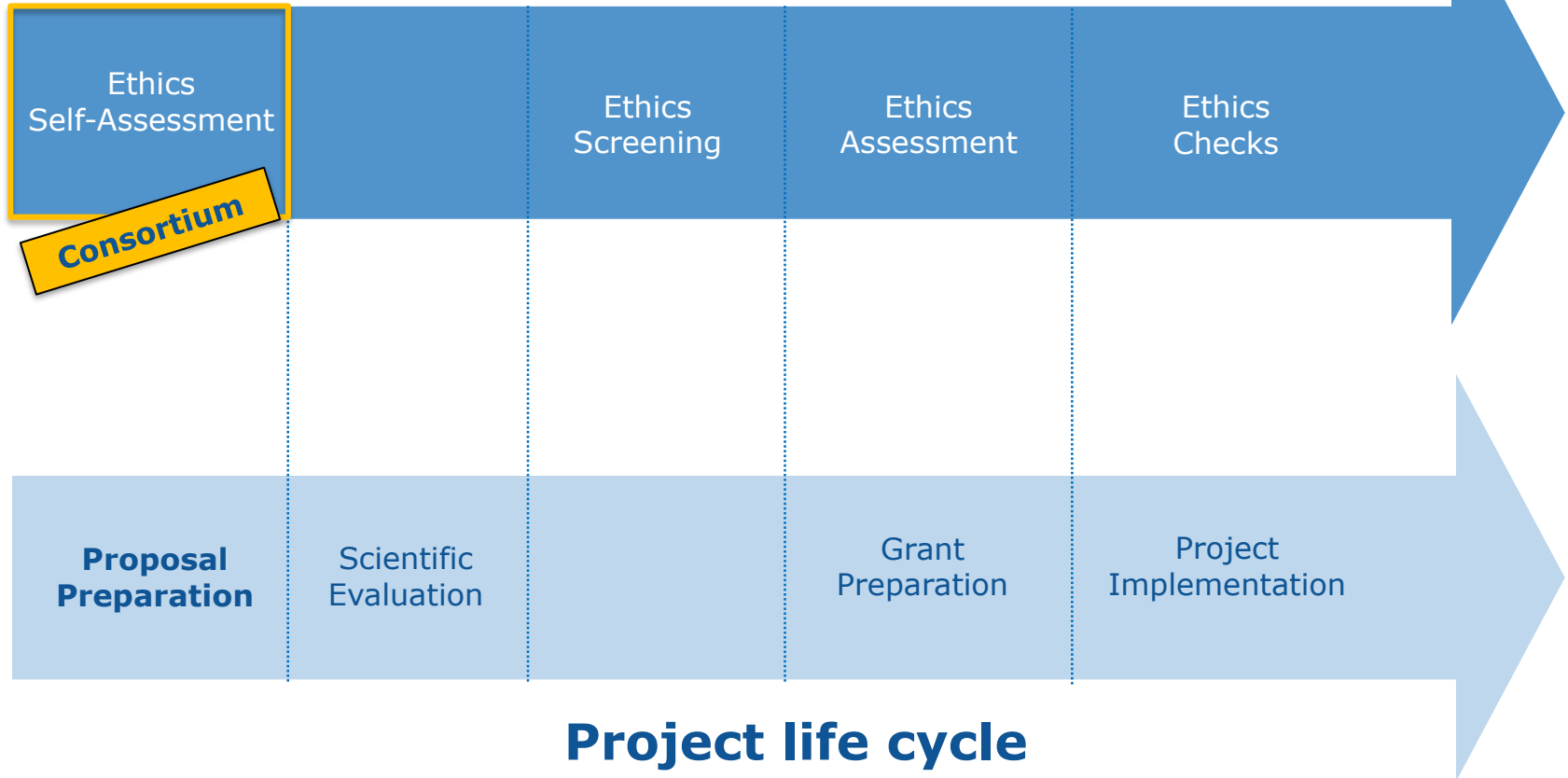
**Article 34** – Ethics

- **34.1** – Obligation to comply with ethical principles
- **34.2** – **Activities raising ethical issues**
- **34.3** – Activities involving human embryos or hESC

**Article 39** – Processing of Personal Data\*

\**The new General Data Protection Regulation entered into force on 25 May 2018.*

## Ethics appraisal



## Fill-in the Ethics issues table in Part A in SEP

2. HUMANS		Page
Does your research involve human participants?	<input checked="" type="radio"/> Yes <input type="radio"/> No	
Are they volunteers for social or human sciences research?	<input checked="" type="radio"/> Yes <input type="radio"/> No	36
Are they persons unable to give informed consent?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Are they vulnerable individuals or groups?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Are they children/minors?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Are they patients?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Are they healthy volunteers for medical studies?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Does your research involve physical interventions on the study participants?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
3. HUMAN CELLS / TISSUES		Page
Does your research involve human cells or tissues (other than from Human Embryos/ Foetuses, i.e. section 1)?	<input type="radio"/> Yes <input checked="" type="radio"/> No	

Read the document 'How to complete your ethics self-assessment':

[http://ec.europa.eu/research/participants/data/ref/h2020/grants\\_manual/hi/ethics/h2020\\_hi\\_ethics-self-assess\\_en.pdf](http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/ethics/h2020_hi_ethics-self-assess_en.pdf)

## For each ethics issue:

If answer is **YES**, update **Section 5.1, part B of proposal**:

Include detailed **description** of the identified issue

Describe **related project activities**

Describe **how you plan to address the ethics issue**

## Examples:

### **Does research involve human participants?**

If YES in part A, then in Part B Section 5.1:

#### Typical information to be provided:

Details on recruitment procedures, inclusion and exclusion criteria and informed consent procedures

### **Does your research involve further processing of previously collected personal data (secondary use)?**

If YES in part A, then in Part B Section 5.1

#### Typical information to be provided:

Details of database used or source of data;

Permissions from the owner/manager of data sets;

Confirmation of open public access to the data

## What researchers should do....

- Actively **seek advice from colleagues with expertise in ethics of research** to cater for specific needs/legal environment
- **Start thinking** (and discussing) about **ethics** while **designing research protocols**
- **Consider** that **ethics issues arise in many areas of research** beyond obvious medical field e.g. personal data
- **Create an ethics-compliant research environment to protect all researchers**

As NCPs your role is to **raise awareness** about ethics and encourage applicants to follow the guidance "**how-to complete your ethics self-assessment**" (no need for long essays)





## ***'How to complete your ethics self-assessment':***

[http://ec.europa.eu/research/participants/data/ref/h2020/grants\\_manual/hi/ethics/h2020\\_hi\\_ethics-self-assess\\_en.pdf](http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/ethics/h2020_hi_ethics-self-assess_en.pdf)

## ***Ethics and data protection***

[http://ec.europa.eu/research/participants/data/ref/h2020/grants\\_manual/hi/ethics/h2020\\_hi\\_ethics-data-protection\\_en.pdf](http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/ethics/h2020_hi_ethics-data-protection_en.pdf)

# References



- **References**

Read carefully introduction to  
WP + topic description

- **Work Programme 2018-2020**

- **Policy briefings**

To be published in December in Portal

- **FAQs SwafS (topic specific)**

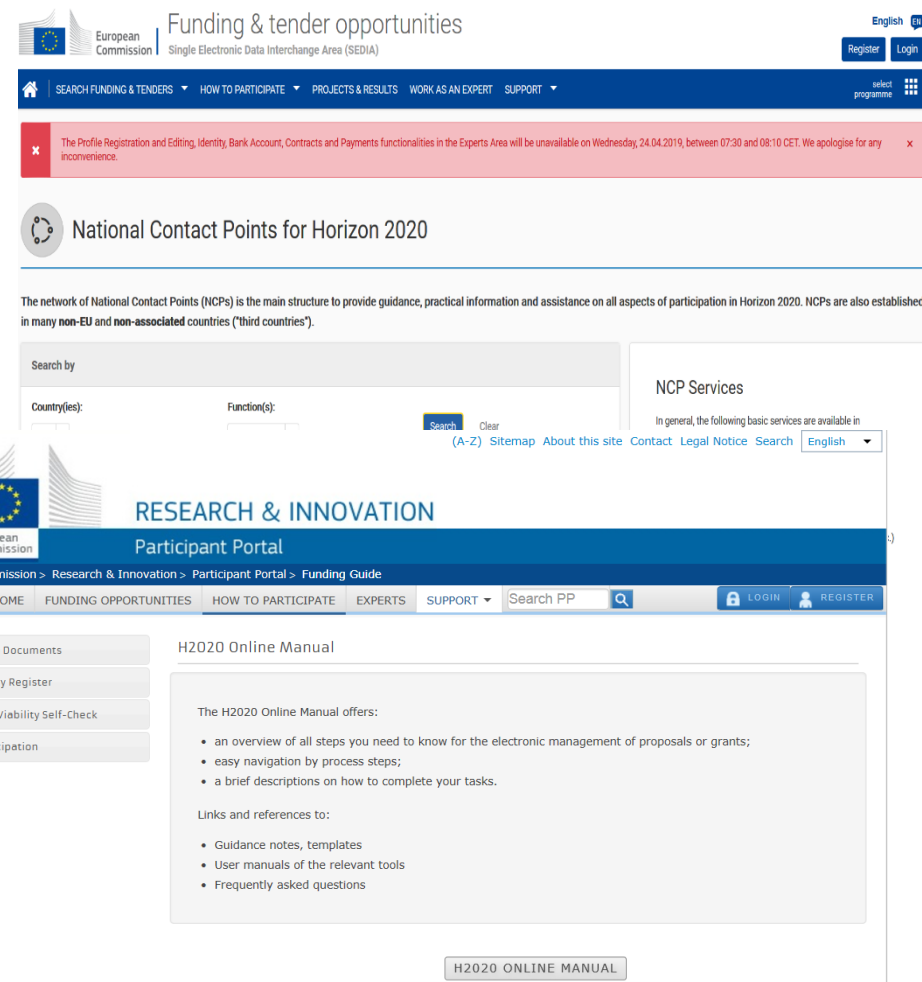
- **Proposal template**

- [CSA](#)

- [RIA](#)

- **Your NCP**

- **H2020 online manual**





**Thank you  
for your attention...**

**Any questions?**

***[REA-SWAFS@ec.europa.eu](mailto:REA-SWAFS@ec.europa.eu)***