Research infrastructures – WP 2016-2017

Two-stage submission

Two-stage submission scheme

➢ Applicants submit a 'short outline proposal' for stage 1 which will be checked for eligibility and evaluated on 'excellence' and 'impact'.

➢ Proposals passing the stage 1-evaluation will be invited to submit their 'full proposal' for stage 2 within a given deadline

➢ The full proposal must be consistent with the short outline proposal and may NOT differ substantially *consistency assessed on a case-by-case basis, based on the justifications that applicants must give for any changes at stage 2*

Consistency between two-stage submissions

➢ Stage 1-evaluation only on *excellence* and *impact*. It does not cover the make-up of the consortium (except for the minimum number of partners needed for eligibility), nor the detailed work plan.

➢ Examples

  o *no substantial difference: the absence of one or two of the partners that had been mentioned at stage one; the change of a coordinator*

  o *substantial difference: complete change of conceptual basis or methodology; objectives of the work significantly altered (especially if the degree of innovation/advance beyond the state-of-the-art is greatly reduced); expected impact no longer corresponds at all to that set out at stage 1*

Success rates

Average Horizon 2020 success rates (c.14%) are down on FP7 (c.20%)

As under FP7, there is considerable variation across the calls

This is a cause of concern in the stakeholder community, particularly in areas where rates have been especially low

More use of two-stage procedure may help address these concerns

WP part	% success rate in WP 14/15 (per proposal, excluding SME instrument - eCORDA)	% topics using 2-stage in WP 16/17 (budget-wise)	% topics using 2-stage in WP 16/17 (number of topics)
FET	7	0	0
Infrastructures	23	6	7
ICT	14	0	0
NMPB	13	68	50
Health	6	20 (2017)	10
Food	11	54	60
Energy	12	0	0
Transport	24	63	50
Climate	19	41	14
Society	9	0	0
Security	9	0	0

Why two stage procedure?

Welcomed by most stakeholders (esp. academic):

- Reduces burden for (unsuccessful) applicants – making the programme more attractive for newcomers

    An important aspect when faced with over-subscription

- Full evaluation can focus on the best proposals

But:

Overall procedure is lengthened

Improvements in 2-stage for the new calls

➢ Standardised page limit at stage 1 (10 pages)*

➢ Consortium members to be listed in "part A" (ie. structured part of proposal)

- Allows streamlined selection of experts (e.g. checking conflicts of interest)

➢ Threshold at stage 1 will regulate success rate at stage 2

- Stage 2 proposals will account for 3X the available budget

➢ "Generalised" feedback to successful stage 1 applicants

- Ensures level playing field, while benefiting from experts' comments
- Unsuccessful applicants continue to get a full ESR

*Note: Standard limit for full RIA/IA proposals=70 pages; with certain exceptions: FET (7,15,35); Smart Cities(150); RI (20/100)

Two-stage Calls in RI WP

Topic INFRAIA-02 follows a two-stage scheme

First-stage submission

The page limit for a first stage proposal is 20 pages and only the following section of the proposal have to be prepared and will be evaluated:

1. Excellence
1.1. Objectives
1.2 Relation to the work programme
1.3 Concept and approach
1.4 Ambition
2. Impact
2.1 Expected Impact

    Description of how the project will contribute to:
- The expected impact set out in the work programme, under the relevant topic

Two-stage Calls in RI WP

Second-stage submission

Only projects that pass the first stage evaluation will be invited to submit in the second stage a full proposal (100 pages).

In the second stage proposals should address the following additional sections:

2.1 Expected Impact

   Description of how the project will contribute to:

   • improving innovation capacity and the integration of new knowledge

   • any other environmental and socially important impacts

   Description of any barriers/obstacles, and any framework conditions (such as regulation and standards), that may determine whether and to what extent the expected impacts will be achieved.

2.2. Measures to maximise impact

a) Dissemination and exploitation of results

b) Communication activities

3. Implementation

3.1 Work plan — Work packages, deliverables and milestones

3.2 Management structure and procedures

3.3 Consortium as a whole

3.4 Resources to be committed