



UNIMORE
UNIVERSITÀ DEGLI STUDI DI
MODENA E REGGIO EMILIA

Direzione Ricerca e
Trasferimento tecnologico

La partecipazione di UNIMORE al programma Horizon 2020

Modena, 29 Novembre 2016

I contributi odierni e i report di valutazione di progetto evidenziano:

- quanto i progetti debbano essere sempre più sia **inter-disciplinari che cross-settoriali** in modo da rispondere alle sfide specifiche che si ritrovano nei programmi di lavoro e garantire che si abbia l'impatto atteso.
- che rispetto all'FP7 c'è maggiore enfasi sul «processo» di Innovazione (si richiede ad esempio di tenere conto di innovazione non – tecnologica e di innovazione sociale)
- quanto gli esperti abbiano un rilevante valore aggiunto per l'Ateneo;
- come tradurre i principi alla base della valutazione in consigli e suggerimenti utili sia in fase di progettazione che di gestione dei progetti di ricerca.

Innovation

-
- not only limited to the development of new products and services on the basis of scientific and technological breakthroughs
- but also incorporating aspects such as **the use of existing technologies in novel applications** and continuous improvements
- **activities closer to the market emphasise** the widest possible use of knowledge generated by the supported activities up to the commercial exploitation of that knowledge
- **activities operating close to the end-users and the market, such as demonstration**
- include support to social innovation, and support to demand side approaches (i.e.: standardisation)

Horizon 2020 Glossary:

http://ec.europa.eu/research/participants/portal/desktop/en/support/reference_terms.html

Cross-cutting issues

- rilevanza delle scienze sociali in moltissimi settori di Horizon 2020
- rilevanza dell'approccio di genere
- rilevanza della cooperazione internazionale con paesi non-EU, anche con tradizionali competitor commerciali dell'Europa

(Accordi Commissione Europea con USA, Giappone, India; Protocollo Canada – Unione Europea che incoraggia la partecipazione di ricercatori canadesi ai bandi ERC).

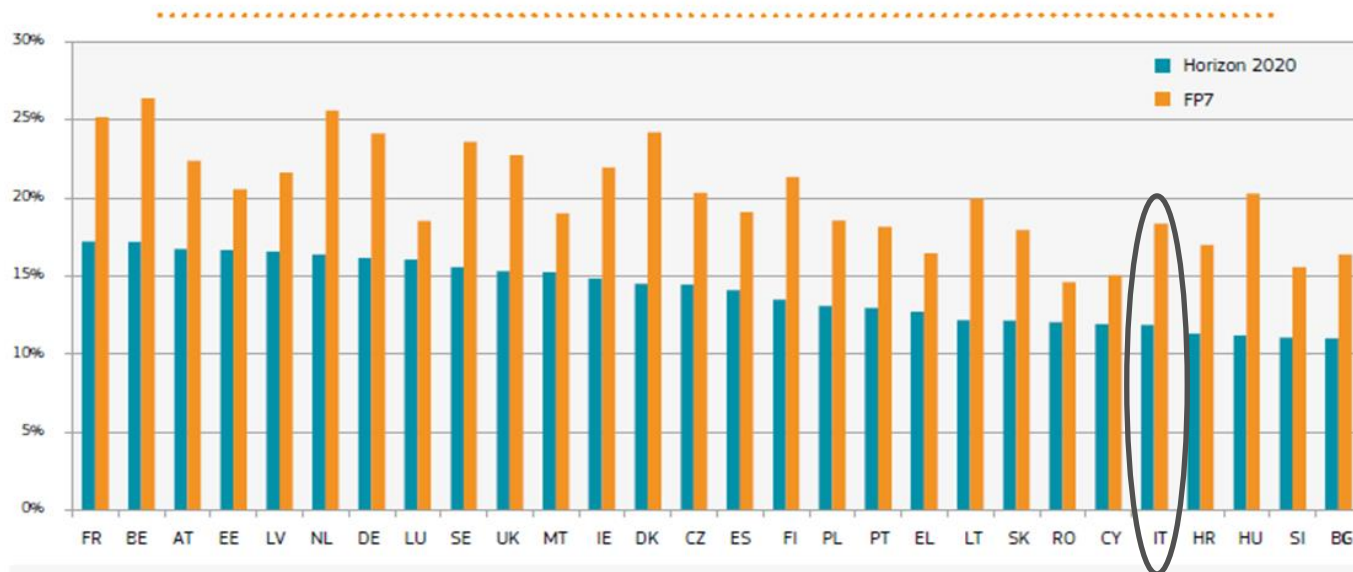
Come si posiziona UNIMORE in Horizon 2020

H2020 Success Rate

15

How does each Member State's success rate compare with FP7?

Success rate as percentage of eligible applications: Horizon 2020 compared with FP7



The chart shows the success rates for each of the 28 Member States under Horizon 2020 and the Seventh Framework Programme (FP7). Taking all applications from all Member States together, the overall success rate is approximately 16%. The equivalent success rate under FP7 was approximately 22%. Please note that an organisation can submit multiple applications for funding if it is involved in more than one proposal, therefore the success rate for proposals (around 14%) differs from the rate for applications. It should be noted that less funding was available in 2014, the first year of Horizon 2020, compared with 2013, the last year of FP7. At the same time, in large part due to efforts to ensure that Horizon 2020 is more accessible and attractive, there was increased interest from potential applicants to the programme, particularly newcomers, who made up 38% of successful applicants.

SUCCESS RATES

Success rate del Programma Horizon 2020 rispetto ad FP7 pari al **14%**

Fonte: Directorate-General for Research and Innovation, *Horizon 2020 First results*, 2015

Unimore e H2020

Work Programme 2014 - 2015

- 170 proposte presentate
- 17 approvate
- Success rate 10% (Italian Success rate 12%)

Work programme 2016-2017

- 70 proposte presentate
- poco più di 40 proposte non approvate
- 20 in valutazione e 7 approvati

Criticità riscontrate: Azioni Marie Curie

Sia per le Individual Fellowship che per gli ITN le maggiori criticità riguardano:

- track record del ricercatore (IF)
- lista delle pubblicazioni non contenente le informazioni necessarie (IF)
- descrizione del programma di ricerca e training previsto non chiara (IF ed ITN)
- attività di comunicazione e disseminazione non definite in maniera chiara e precisa (IF ed ITN)
- descrizione carente di aspetti inerenti la implementazione e risk management (ITN).

Criticità riscontrate: progetti collaborativi

- Chiarezza espositiva
- Ambition e Innovation potential beyond the state of the art poco chiare
- Implementazione di alcuni aspetti del proposal inerenti *risk management plan, innovation management*, strutture di governance di progetto carente
- **2 stage submission:** *Ambition e Innovation potential beyond the state of the art* poco chiare.

Conclusioni

In via generale i dati presentano una costante partecipazione di Dipartimenti da sempre coinvolti in progetti europei quali i Dipartimenti di ingegneria e di Scienze della Vita nonché i dipartimenti di area medica.

Si rilevano interessanti punte di eccellenza per i Dipartimenti di scienze sociali e umanistiche.



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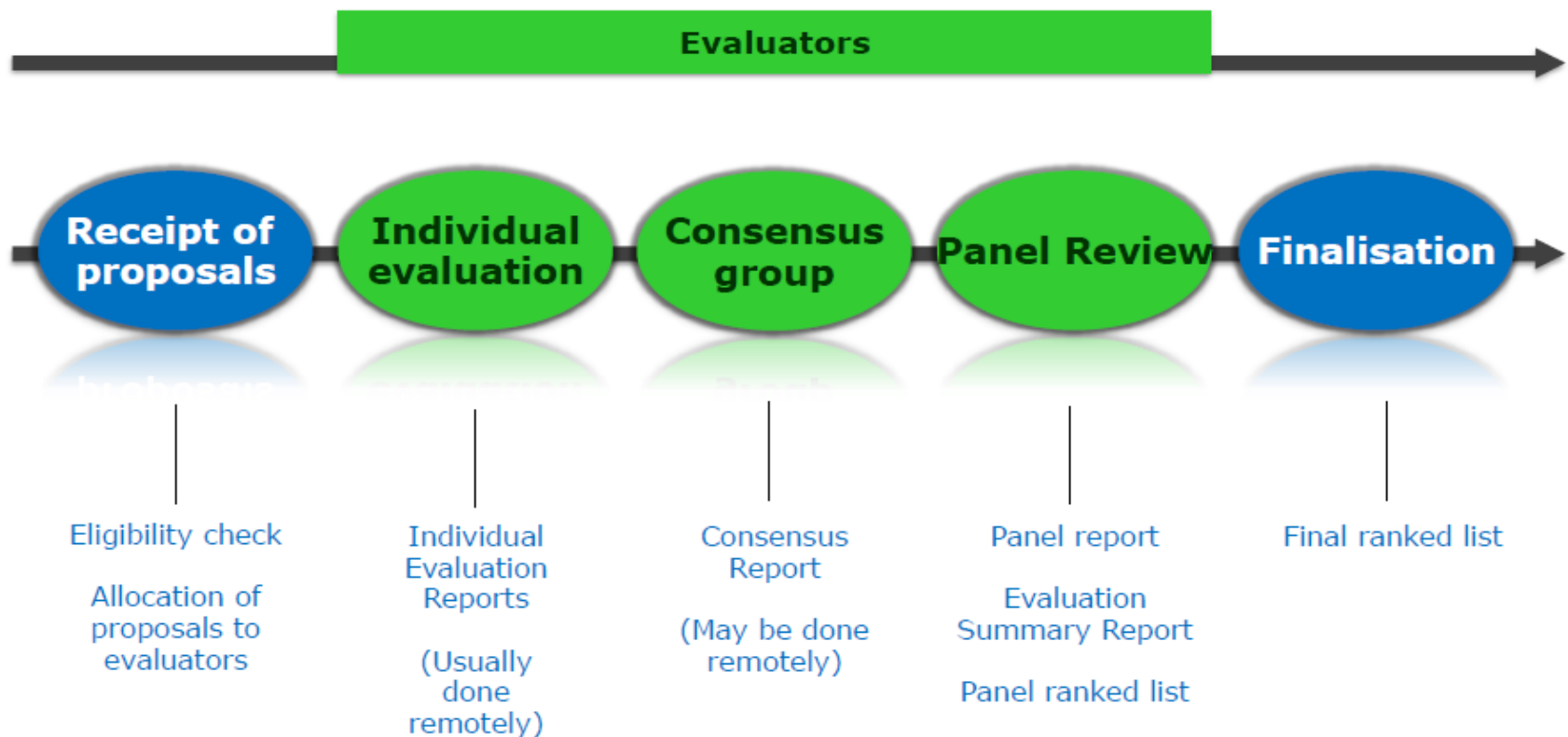
Direzione Ricerca e
Trasferimento tecnologico

Grazie

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Come si svolge il processo di valutazione

Overview of the Evaluation Process



HORIZON 2020



Ammissibilità verificata dalla Commissione/Agenzia esecutiva

PROPOSALS

Admissibility:

- Readable, accessible and printable (Page limits!)
- Completeness of proposal presence of all requested forms
- Plan for exploitation and dissemination of results (unless otherwise specified in the WP)

Eligibility

- Contents in line with the topic description in the call
- Minimum number of partners as set out in the call conditions
- Other criteria may apply on a call-by-call basis as set out in the call conditions

Proposals are evaluated and scored against Selection and Award criteria...

- **Annex H, Horizon 2020 Grant Agreement**
- Selection criteria:
 - *Financial capacity:*
 - self-assessed at proposal stage
 - *Operational capacity:*
 - carried out during the evaluation of the award criterion
Quality and efficiency of the implementation

Award criteria

Three Award criteria:

- Excellence (relevant to the topic of the call)
- Impact
- Quality and efficiency of the implementation

Criteri di valutazione per Research and Innovation Actions/Innovation Actions/ SME instrument

✓ For the first stage of a two-stage procedure, only the aspects of the criteria in yellow are evaluated

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 programme 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

Criteri di valutazione per Coordination and Supporting Actions

- ✓ For the first stage of a two-stage procedure, only the aspects of the criteria in yellow are evaluated

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 programme 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

I Punteggi

0 Proposal fails to address the criterion or cannot be assessed due to missing or incomplete information

1 **Poor** – criterion is inadequately addressed or there are serious inherent weaknesses

2 **Fair** – proposal broadly addresses the criterion, but there are significant weaknesses

3 **Good** – proposal addresses the criterion well, but a number of shortcomings are present

4 **Very good** – proposal addresses the criterion very well, but a small number of shortcomings are present

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

I Punteggi

- Punteggio da 0 a 5
 - *Scores must pass thresholds if a proposal is to be considered for funding*
- Per ognuno dei 3 criteri di valutazione il threshold è 3
- Il punteggio totale deve essere almeno pari a 10 affinché il progetto superi la fase di valutazione
 - *For above-threshold proposal, impact is multiplied by 1.5, giving a total score out of 17.5.*
 - *For Innovation actions and the SME instrument, the criterion Impact is given a weight of 1.5 to determine the ranking*

Two stage procedure

Proposals at first stage:

- Criteria 'excellence' and 'impact'
- The threshold for both individual criteria will be 4.
 - threshold is expected to normally be set at 8 or 8.5.
- Overall threshold set at the level such that the total requested budget of proposals admitted to stage 2 is as close as possible to three times the available budget, and in any case, not less than two and a half times the available budget.

Consensus Group and Panel Review

- Expert join other experts who have evaluated the same proposal in a Consensus Group, to agree on a common position, including comments and scores.
- The Panel review the scores and comments for all proposals within a call to check for consistency across the evaluations
- if necessary, propose a new set of marks or revise comments, and resolve cases where evaluators were unable to agree
- The Panel may comprise experts from consensus groups, new experts, or a combination of the two.

Final Rankings

The Commission:

- produces a ranked list of proposals, including all proposals with scores above the qualifying score
- draws up a list of proposals for possible funding from that list.

Link utili

Horizon 2020 Online Manual – Sezione «From evaluation to grant signature»

- http://ec.europa.eu/research/participants/docs/h2020-funding-guide/index_en.htm