



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