



FROM INNOVATION TO SOLUTION

SESAR 2020 EXPLORATORY RESEARCH

INFO DAY

PROPOSALS SUBMISSION & EVALUATION
& PROGRAMME MANAGEMENT REQUIREMENTS

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EUROPEAN UNION



EUROCONTROL

List of topics covered

- **Call Conditions**
- **Proposals Submission and Evaluation**
 - **Proposal Template**
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ER Call Conditions



Horizon 2020 Types of Actions

3 types of actions under H2020:

- **Research & Innovation Actions ('RIAs')**
- **'Pure' Innovation Actions ('IAs')**
- **Coordination & Support Actions ('CSAs')**



Definition of RIAs

- **Research & Innovation Actions ('RIAs'):**

Actions primarily consisting of activities aiming to:



Establish new knowledge; and/or



Explore the feasibility of a new or improved technology, product, process, service or solution



May include basic and applied research, technology development and integration, testing and validation on a small-scale prototype in a laboratory or simulated environment



May contain closely connected but limited demonstration or pilot activities aiming to show technical feasibility in a near to operational environment

Co-financing rate for RIAs: up to 100% of the eligible costs



If the 100% rate is applied, some RIAs costs will have to be fully borne by the beneficiary(ies)



ER Call Timeline

Milestone	Deadline
Closing date for submission of Proposals	25 June 2015
Information on outcome of evaluation	Maximum 5 months from closing date
Indicative date for the signing of the grant agreement	Maximum 3 months from the date of informing the selected applicants on the positive outcome of the evaluation



Limitations on Co-financing Budget & Project Duration

Work Areas	Indicative Maximum Co-financing Budget per ER Proposal	Overall Maximum Co-financing Budget for this Call
Work Area 1: ATM Excellent Science & Outreach research	up to 600 K Euros	20,6 M Euros
Work Area 2: ATM Applications oriented research	up to 1 M Euros	

Projects will be limited in duration to an indicative period of 24 Months



Maximum co-financing Rate of Eligible Costs

- **As indicated in Section VIII of the SESAR 2020 ER Financing Decision, the rate of SJU co-financing for RIAs is 100 % of the eligible costs.**
- **Indirect costs are subject to a flat-rate scheme of 25 % of the direct eligible costs.**



Proposal Submission and Evaluation



Structure of Proposal for a selected Topic (1/)

Part A (Administrative Forms)

- General information
- Declarations
- Participants and contact persons
- Administrative data of participating organizations
- Coordinator's data
- Budget table
- Ethics Issues Table making reference to Part B

Part B (Technical Annex)

- Word file downloadable from Participant Portal (PP)
- Page limit : **cover page + sections 1, 2 & 3 must not exceed 50 pages**
- Loaded in PP as a PDF file

Consult the Grants Manual “Proposal submission and Evaluation”



Structure of Technical Annex (1/3)

1) Excellence

1.1) Objectives of the project

1.2) Relation to the Work Programme

- Specific challenges and scope

1.3) Concept and approach

- Overall concept underpinning the project
- Overall approach and methodology

1.4) Ambition

- Innovation potential

2) Impact

2.1) Expected impacts

- Maturing concepts & solutions moving towards Applied & Industrial Research

2.2) Measures to maximise impact

- Dissemination and Exploitation of results
- Communication activities for promoting the project



Structure of Technical Annex (2/3)

3) Implementation

3.1) Work plan : Work packages, Deliverables and Milestones

3.2) Project Schedule

3.3) List of meetings and missions

3.4) IPR Management

3.5) Management structure and procedures, in particular:

- Legal, financial and administrative management
- Quality management
- Production, review and approval of deliverables
- Schedule management
- Risks and Issues management
- Communication management
- Handling of sensitive/confidential data

3.6) Consortium individual members

3.7) Resources to be committed



Structure of Technical Annex (3/3)

4) Members of the consortium

4.1) Participants

- main tasks per participant
- CVS, publications, relevant previous projects

4.2) Third parties involved

- indicating foreseen tasks

5) Ethics and Security

5.1) Ethics

- Submit an ethics self-assessment (if Ethics issues flagged in Part A)

5.2) Security

- If project could raise security issues
- In case of 'EU-classified information' as background or results



Evaluation Criteria

Research and Innovation Actions Evaluation Criteria adapted for the ER Call

Excellence

1. Clarity of targeted breakthrough & specific science and technology contributions
2. Scientific interest, including a clear and complete description of the research questions
3. Degree of innovation.
4. Data, tools, equipment and additional expertise identified
5. Clear explanation of possible outcomes and next steps towards implementation

Impact

1. Alignment with the work areas under this call.
2. The potential for the Project to contribute the SESAR sand bring SESAR benefits
3. Importance of the new ideas/concepts and technologies & transformational impact
4. Quality of measures for achieving impact on science, technology & future evolution of the European ATM system

Implementation

1. The work breakdown is clear and consistent with the needs of the project and clarity of intermediate targets
2. Relevant expertise in the consortium
3. Appropriate allocation and justification of resources (person-months, equipment, budget)

“Excellence” Criteria

Excellence

1. Clarity of targeted breakthrough and its specific science and technology contributions towards a long-term vision for the future evolution of the European ATM system.
2. Scientific interest, including a clear and complete description of the research questions to be addressed together with any relevant assumptions and the potential benefits to be derived from the Project.
3. Scientific quality and appropriateness of the proposed methodology.
4. Degree of innovation. Previous and current research is fully taken into account. Projects may propose research that follows on from existing projects, in this case bidders must carefully explain their assumptions, how they will access previous results etc.
5. Data, tools, equipment and additional expertise have been identified and plausible ways and means to obtain these are explained.
6. Clear explanation of possible outcomes and next steps towards implementation, especially with regard to industry links and the relationship to the SESAR Work Programme. In particular scientific excellence (key personnel, publications,.) and link with educational programmes.

“Impact” Criteria

Impact

1. Alignment with the work areas under this call.
2. The potential for the Project to contribute the SESAR state-of-the-art and bring
3. SESAR benefits (safety, capacity, environment, cost-effectiveness)
4. Importance of the new ideas/concepts and technologies outcome with regards to its transformational impact on technology and/or society
5. Quality of measures for achieving impact on science, technology on the future evolution of the European ATM system, including quality of measures for linking with educational programmes

“Quality & Efficiency of the Implementation” Criteria

Implementation

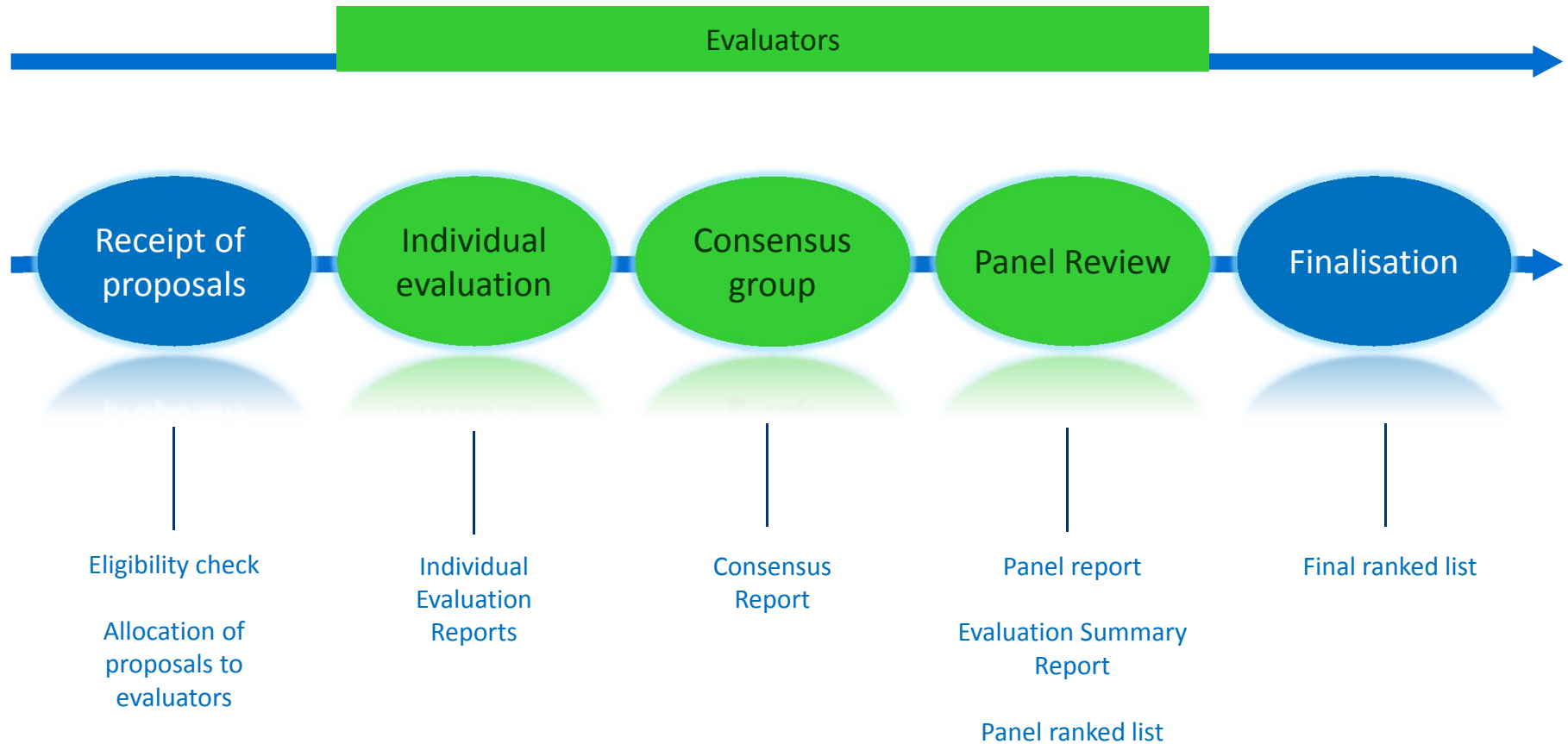
1. The work breakdown is clear and consistent with the needs of the project and clarity of intermediate targets
2. Relevant expertise in the consortium
3. Appropriate allocation and justification of resources (person-months, equipment, budget)

Weight/ Threshold per Evaluation Criteria

	Excellence	Impact	Quality & efficiency of the implementation
Weight	60%	20%	20%
Maximum Scoring	60/100	20/100	20/100
Threshold	30/60	10/20	10/20



Overview of the Evaluation Process



- 0 The proposal **fails to address the criterion** or cannot be assessed due to missing or incomplete information.
- 1 **Poor.** The criterion is inadequately addressed, or there are serious inherent weaknesses.
- 2 **Fair.** The proposal broadly addresses the criterion, but there are significant weaknesses.
- 3 **Good.** The proposal addresses the criterion well, but a number of shortcomings are present.
- 4 **Very Good.** The proposal addresses the criterion very well, but a small number of shortcomings are present.
- 5 **Excellent.** The proposal successfully addresses all relevant aspects of the criterion. Any shortcomings are minor.



Admissibility and Eligibility checks

- Admissibility is checked by the SJU:
 - Readable, accessible and printable
 - Completeness of proposal
 - Consistent with Proposal Template
- Eligibility checked by the SJU
 - Minimum number of partners as set out in the call conditions
 - Other criteria as set out in the call conditions
- “Out of scope” – experts will check the scope of proposals
 - A proposal will be deemed ineligible in clear-cut cases

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Ethics review

- **Only proposals that comply with the ethical principles and legislation may receive funding**
- **For proposals above threshold and considered for funding, an ethics screening and, if necessary, an ethics assessment is carried out by independent ethics experts in parallel with the scientific evaluation or soon after**
 - Proposals involving the use of human embryonic stems cells automatically undergo an ethics assessment
- **For those proposals in which one or more ethical issues have been identified, the experts will assess whether the ethics issues are adequately addressed**
- **The ethics experts will produce an ethics report and give an opinion on the proposal, including:**
 - Granting ethics clearance (or not)
 - Recommending the inclusion of 'ethics requirements' in the grant agreement, or
 - Recommending a further Ethics Assessment and/or an Ethics Check or Audit



Programme Management Requirements for selected ER projects



Project Management Plan delivery

- To be delivered one month after Kick-off meeting
 - Consistent and detailing further the Proposal
 - Integrating the Project Communication and Dissemination Plan
 - To be approved by the SJU Programme Manager
- Applying a PMP Template to be supplied by SJU:
 - Executive Summary
 - 1) Introduction
 - 2) Work Breakdown Structure
 - 3) Organisation
 - 4) Deliverables
 - 5) Planning
 - 6) Management Processes
 - 7) Communication and Dissemination Plan
 - 8) References



Communication and Dissemination Plan

It is required for:

- Ensuring awareness within the consortia about project progress and results
- Disseminating outside the consortia the key information (approach, technologies, results, etc.) generated during the project's lifetime
- Plan the Exploitation of the project results, in order to facilitate their successful handover to the appropriate Stakeholders.



Meetings to be planned by ER Projects

- The Project Kick-off meeting will take place shortly after contract signature.
- The Project Intermediate Review meeting
 - To be planned half-way through the Project.
 - To ensure expected quality and maturity at Close-out meeting
- The Project Close-out meeting following submission of
 - all contractual deliverables,
 - a Publishable Final Project Report that can be used for transition to subsequent development stages
- The ER/IR Gate (for Application-Oriented projects)
 - Held if Close-out meeting concludes that the results are ready to be transferred to Industrial Research



Progress Reporting

- Bi-Annual Progress Report to be delivered by the Project Coordinator through the SJU Extranet
 - in the second week of the month following the end of each Semester
 - Will detail the specific completed activities
 - Will detail the activities planned for the next period
 - Will assess risks and issues & mitigation actions
 - etc
- The Progress Reporting template (and all applicable document templates) will be supplied by the SJU at the Kick-Off meeting

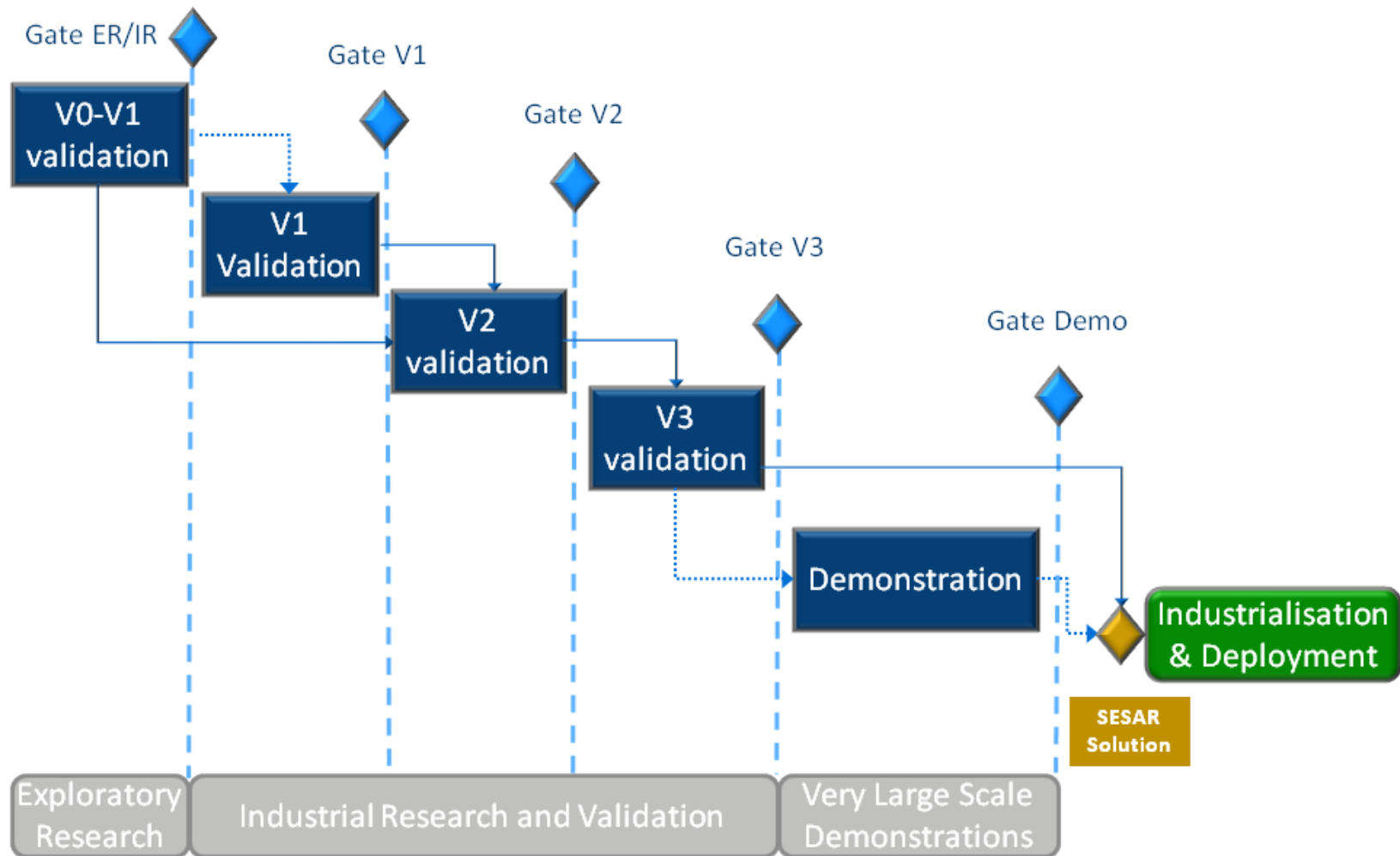


Assessment of Project Deliverables

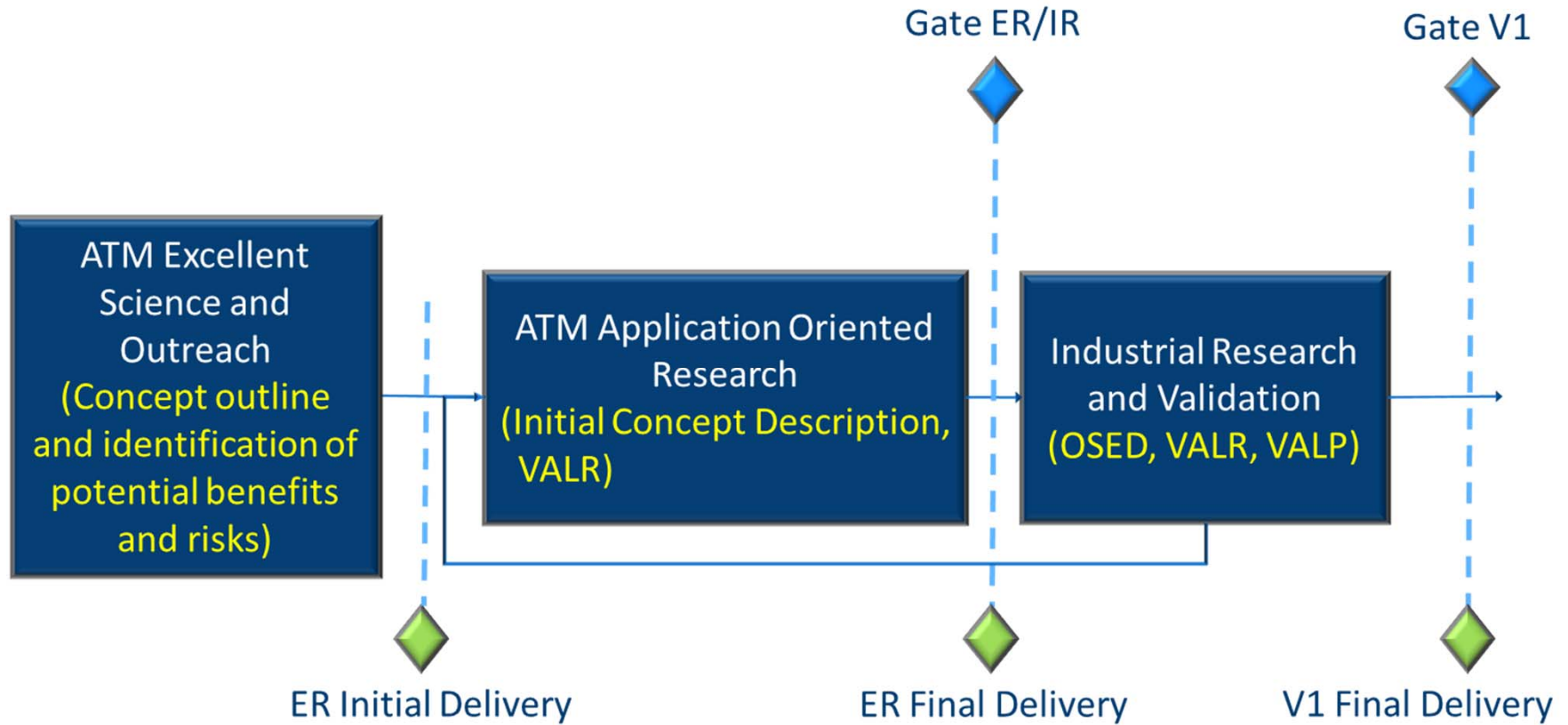
- The Project members will hand-over to the SJU the finalized deliverables through the SJU Extranet
- The SJU will review the project deliverables to assess:
 - the validity and quality of its content
 - compatibility with SJU templates
 - alignment with commitments and contractual provisions



ER/IR Gate within SESAR R&D Pipeline



Exploratory Research Gates



Exploratory Research/Industrial Research Gate

- For Application-Oriented projects, an ER/IR Gate will be held if the Close-out meeting concludes that the final project results are ready to be transferred to the related SESAR Industrial Research and Validation activities.
- The SJU will verify, based on the assessment of the publishable Final Project Report and of the project deliverables, the achievement of V1 maturity as a condition for transition from Exploratory Research to Industrial Research and Validation.



Project Execution Guidance for ER Projects

For more information on the Programme Management requirements applicable to the ER Projects, please refer to the Project Execution Guidelines that will be published on Participants Portal by the end of the week



Project Execution
Guidelines
for SESAR 2020 Exploratory
Research





Thank you for your attention

