

Proposal Evaluation Form



EUROPEAN COMMISSION

Horizon 2020 - Research and Innovation Framework Programme

Evaluation Summary Report - Research and innovation actions

Call: H2020-SC6-GOVERNANCE-2020
Type of action: RIA
Proposal number: 962533
Proposal acronym: ENGAGE
Duration (months): 42
Proposal title: ENSuring Good GlobAl Governance for the European Union
Activity: SU-GOVERNANCE-07-2020_RIA

N.	Proposer name	Country	Total Cost	%	Grant Requested	%
1	FUNDACION ESADE	ES	409,805	13.66%	409,805	13.66%
2	KATHOLIEKE UNIVERSITEIT LEUVEN	BE	405,375	13.51%	405,375	13.51%
3	RIJKSUNIVERSITEIT GRONINGEN	NL	221,813.75	7.39%	221,813.75	7.39%
4	SABANCI UNIVERSITESI	TR	164,125	5.47%	164,125	5.47%
5	THE UNIVERSITY OF EDINBURGH	UK	248,070	8.27%	248,070	8.27%
6	CARNEGIE EUROPE FOUNDATION	BE	241,625	8.05%	241,625	8.05%
7	IISS Europe gemeinnützige GmbH	DE	207,943.75	6.93%	207,943.75	6.93%
8	INSTITUT DE RELATIONS INTERNATIONALES ET STRATEGIQUES IRIS ASSOCIATION	FR	168,000	5.60%	168,000	5.60%
9	KOLEGIUM EUROPEJSKIE	PL	176,625	5.89%	176,625	5.89%
10	HERTIE SCHOOL OF GOVERNANCE GEMMEINNUTZIGE GMBH	DE	241,360	8.05%	241,360	8.05%
11	GLOBSEC	SK	133,418.75	4.45%	133,418.75	4.45%
12	INSTITUT BARCELONA D ESTUDIS INTERNACIONALS, FUNDACIO PRIVADA	ES	208,187.5	6.94%	208,187.5	6.94%
13	TAMPEREEN KORKEAKOULUSAATIO SR	FI	173,625	5.79%	173,625	5.79%
Total:			2,999,973.75		2,999,973.75	

Abstract:

The ENGAGE (“Envisioning a New Governance Architecture for a Global Europe”) project will advance the goals that are aligned with the European Commission’s push to have a stronger and more united European voice in the world. ENGAGE will answer how the EU can effectively and sustainably harness all of its tools in a joined-up external action, with an eye to meeting key strategic challenges and becoming a stronger global actor. Our contribution to this ambitious quest will be anchored to a comprehensive and detailed analysis of all dimensions of EU external action, which will go even beyond the call’s requirements.

ENGAGE brings together a consortium that provides first-class academic expertise of European and international scholars who cover the entire scope of the EU’s external action, involving many practitioners with vast experience in relevant governmental bodies. Our project will be based on 11 Work Packages (WPs). Two initial WPs will provide an analytical grip on the contextual hurdles, both international and domestic, that the EU faces in the implementation of its external policy. This will in turn inform the other core research WPs of ENGAGE, which are divided into two interconnected clusters. The first cluster will aim to revamp the governance architecture of CSDP, CFSP as a whole, and other dimensions of EU external action (including peripheral and sectoral diplomacies), while the second cluster will aim to improve the performance of the EU’s external action when engaging with strategic partners, its neighbourhood and conflict scenarios. The contextual WPs and the two clusters will converge in a strategic WP – the cornerstone of ENGAGE – that will produce a White Paper for Joined-up, Coherent, Sustainable, and Effective External Action. All of ENGAGE’s deliverables and recommendations will be targeted at policymakers across the EU, and seek to spark an inclusive and representative EU-wide conversation.

Evaluation Summary Report

Evaluation Result

Total score: 13.00 (Threshold: 10)

Form information

SCORING

Scores must be in the range 0-5.

Interpretation of the score:

- 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.

Criterion 1 - Excellence

Score: **4.00** (Threshold: 3/5.00 , Weight: -)

The following aspects will be taken into account, to the extent that the proposed work corresponds to the topic description in the work programme:

Clarity and pertinence of the objectives

The objectives of the project follow logically one from the other, and they are clearly aligned with the work programme. The call objectives are integrated comprehensively, in a multitude of ways, into the work packages of the project, including other security-related areas such as EU diplomatic action, external policies, as well as internal policies with a significant external dimension, covering the scope in its entirety. They also take into consideration the member states' and citizens' perspective in a very pertinent and appropriate way. However, the specific objectives lack sufficient detail in terms of how they will make sense of the international context. The project objectives do not necessarily convey a firm sense of analytical direction to govern the entire project, which is a minor shortcoming.

Soundness of the concept, and credibility of the proposed methodology

The overall concept - a comprehensive approach to EU external action in terms of studying two clusters - is logical and sound. The methodology addresses the objectives in a very understandable, structured, and credible way to reach out to the EU's main stakeholders, international partners, and citizens. It takes into account the different layers of the EU's external action as well as their interrelations through the CFSP/CSDP and other policy domains. However, the analysis of the clusters must follow from concepts anchored in a literature, and here the project lacks sufficient detail, particularly regarding its planned consensus-driven approach to global governance and contestation. In addition, some aspects of the methodology are insufficiently elaborated and detailed (second and third parts) and rely too much on case studies.

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)

The project clearly incorporates the current state of the art and demonstrates innovation by way of its 'overlapping consensus' conceptual objective; which could in principle offer ground-breaking insights into how the EU could move forward. The proposal also advances novel concepts and argues with credibility that its innovative approach includes new methods (big data mining), special attention to gender issues, as well as new technologies (space, cyber, AI), in keeping with the project's comprehensive analytical approach. However, the capacity of the project to go beyond the state of the art remains insufficiently described as the primary output - a White Paper with a range of strategic recommendations that speak to the objectives - lacks detail in terms of its composition and expected feasibility.

Appropriate consideration of interdisciplinary approaches and, where relevant, use of stakeholder knowledge and gender dimension in research and innovation content

The proposal promises to enhance the transfer of knowledge between sectors and numerous disciplines via interactions between stakeholder groups (academics, practitioners, citizens, and interdisciplinary expertise). It also pays sufficient attention to the cross-cutting issues of SSH and international cooperation (neighbourhood case studies, MENA, US, China). The project's White Paper and the broad dissemination plans for it also invite engagement with multiple stakeholders, and the project outlines this general ambition, although it lacks detail. Gender is dealt with by the project in various ways, not only in the research dimension (case studies, theoretical and methodological approaches, and reflections in terms of policy recommendations and institutional reforms) but also in the composition of the consortium (a gender-equal IAB and mainstream gender throughout the project).

Criterion 2 - Impact

Score: **4.50** (Threshold: 3/5.00 , Weight: -)

The following aspects will be taken into account:

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

The project is clearly focused on the work programme's expected impacts in terms of joined-up governance structures for more effective diplomatic action, including the advancement of the CSDP and EU-national coordination. Considering the amount of work to be undertaken, and the length of the work plan, the practical policy-driven outputs of the project can be expected to yield very good impacts in terms of general insights regarding the EU's governance mechanisms, how to assess them for external action, and the EU's propensity for reform in this area. However, as there is some disconnect between the proposal's research design and specific outputs, it is unclear whether the project will be able to deliver all of the expected impacts. In this sense the discussion of impacts lacks detail in terms of their propensity to yield actionable insights beyond the EU's current, and widely-known, limitations; this is a very minor shortcoming.

Any substantial impacts not mentioned in the work programme, 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

The project directly and constructively deals with this dimension in all areas and outlines a number of impacts going beyond the call, including technology awareness, health issues, epistemic community-building, and international collaboration. The specific mention of climate change is positive as well in terms of impacts regarding the environment. Training of scholars (PhD/postdoctoral students) also has potential to provide pertinent academic added value. However other projected benefits for society lack detail, particularly regarding areas related to new technologies in the realm of foreign/security/defence policy.

Quality of the proposed measures to:

- exploit and disseminate the project results (including management of IPR), and to manage research data where relevant
- communicate the project activities to different target audiences

The dissemination plan is generally good, although it lacks detail in terms of what specific outputs (i.e., types, outlets, timing) will yield the expected results.

The project also convincingly describes exploitation plans, including a data/IPRs management plan that aims to provide for as much open

access as possible, and foresees shared exploitation among project partners under the consortium agreement. More details on these elements will be developed at the implementation stage under a consortium agreement.

The project's communication plan is very credible for the most part and includes a plan and a diverse range of tools and events to reach multiple audiences during the entire course of the project; these efforts are aimed at policy experts as well as to the public at large. However, the project lacks clarity in terms of who will undertake various parts of the communication activities, which is a minor shortcoming.

Criterion 3 - Quality and efficiency of the implementation

Score: **4.50** (Threshold: 3/5.00 , Weight: -)

The following aspects will be taken into account:

Quality and effectiveness of the work plan, including extent to which the resources assigned to work packages are in line with their objectives and deliverables

The work plan is generally well structured, clear, organised, and effective, demonstrating excellent quality. The specific WPs and their deliverables are clearly described, addressing each objective respectively in depth and fully in line with the comprehensive approach to external action scope. All of the WPs will be engaged adequately to complete their work, and the overall division of labour among them is clear and logical, with specific milestones to gauge progress. The resources assigned to all of the WPs are well-balanced and adequate. However the relationships of some of the WPs to each other (i.e., those within clusters one and two) are somewhat unclear, particularly in terms of how they overlap; WP4-5-6 on the one hand and WP7-8-9 on the other. Also, the lack of involvement of WP10 (in charge of the white paper) during the entire middle phase of the project (18 months) is a minor shortcoming, along with the fact that India and China fall out of the dissemination WP.

Appropriateness of the management structures and procedures, including risk and innovation management

The management structure is clear, very well-developed, and appropriate to the work plan in terms of roles and responsibilities; the use of an international advisory board, populated with leading experts in the field, will add to the credibility of the project. The management procedures are logical, interrelated, and appropriate as well, for the most part, in terms of decision making, project monitoring (including milestones for quality control), conflict resolution, and risk management (including taking the current pandemic risk into account). Also, as with the plan for data management, the proposal lacks detail regarding innovation management.

Complementarity of the participants and extent to which the consortium as a whole brings together the necessary expertise

The consortium is comprised of a well-organised, complementary, and broad range of academic and policy expertise from a variety of countries. It covers quite a range of European countries, and engages the Carnegie global network of policy centres in several regions. It also brings the whole spectrum of competences required for the project, with participants from complementary disciplines, including international relations, security studies, public policy, foreign policy analysis, defence and intelligence analysis, among others. The consortium is also very well-balanced between European and third country partners, and their interest being evidenced by support letters. All of the other partners also have experience with EU research projects as well, although the lack of more partners from outside Europe in the main consortium is a minor shortcoming.

Appropriateness of the allocation of tasks, ensuring that all participants have a valid role and adequate resources in the project to fulfil that role

The allocation of the tasks is well explained, logical, and appropriate; all of the participants have distinct and valid roles in the project (with some minor redundancies). The overall resources and time devoted to the project and to individual partners are balanced and adequate as well.

Scope of the proposal

Status: **Yes**

Comments (in case the proposal is out of scope)

Not provided

Operational Capacity

Status: **Operational Capacity: Yes**

If No, please list the concerned partner(s), the reasons for the rejection, and the requested amount.

Not provided

Exceptional funding of third country participants/international organisations

A third country participant/international organisation not listed in [General Annex A to the Main Work Programme](#) may exceptionally receive funding if their participation is essential for carrying out the project (for instance due to outstanding expertise, access to unique know-how, access to research infrastructure, access to particular geographical environments, possibility to involve key partners in emerging markets, access to data, etc.). (For more information, see the [Online Manual](#))

Based on the information provided in the proposal, I consider that the following participant(s)/international organisation(s) that requested funding should exceptionally be funded:

(Please list the Name and acronym of the applicant, Reasons for exceptional funding and the Requested grant amount.)

Not provided

Based on the information provided in the proposal, I consider that the following participant(s)/international organisation(s) that requested funding should NOT be funded:

(Please list the Name and acronym of the applicant, Reasons for exceptional funding and the Requested grant amount.)

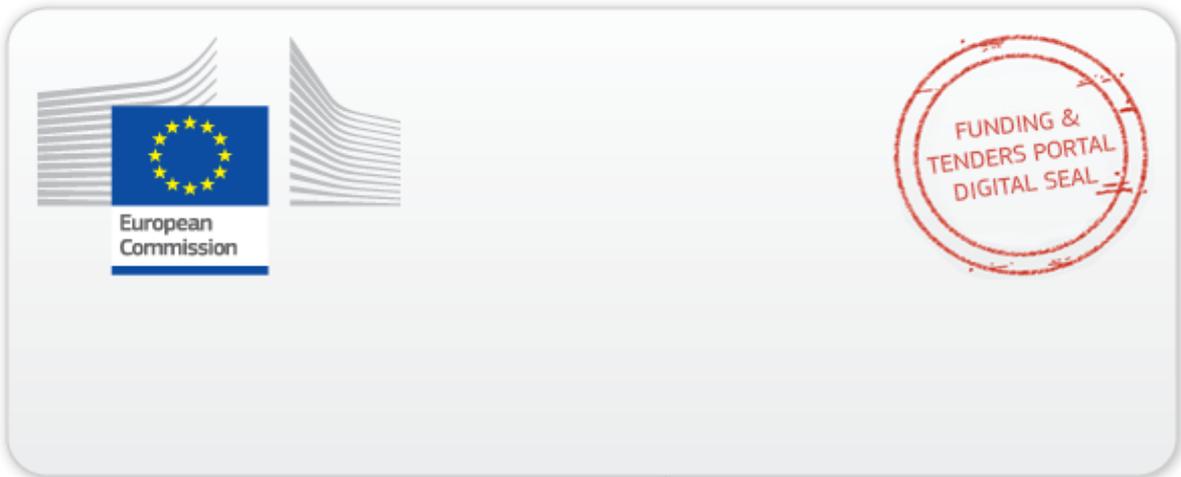
Not provided

Use of human embryonic stem cells (hESC)

Status: **No**

If yes, please state whether the use of hESC is, or is not, in your opinion, necessary to achieve the scientific objectives of the proposal and the reasons why. Alternatively, please state if it cannot be assessed whether the use of hESC is necessary or not because of a lack of information.

Not provided



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