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# Standard evaluation Process



# Horizon Europe Work Programme

- Horizon Europe is implemented through **work programmes** which set out funding opportunities mainly through **calls for proposals**.
- A call for proposal will normally contain one or more **topics** with a common deadline. The budget of the call is distributed among topics. Where topics share a budget envelope, proposals for these topics will be competing against each other and will result in a single ranking list.
- Applicants **apply to a specific call and topic**.
- Each topic to which applicants can apply will include:
  - The topic **scope**
  - The topic **expected outcome**
  - The **expected impact** of the destination to which the topic belongs
  - The **type of action**
  - The topic **budget** (or budget shared by group of topics)



# Who is eligible for funding?



## ***EU COUNTRIES***

- Member States (MS) including their outermost regions.
- The Overseas Countries and Territories (OCTs) linked to the MS.



## **NON-EU COUNTRIES**

- Countries associated to Horizon Europe (AC).
- Low and middle income [countries: See HE Programme Guide](#).
- Other countries when announced in the call or exceptionally if their participation is essential.



## **SPECIFIC CASES**

- Affiliated entities established in countries eligible for funding.
- EU bodies
- International organisations (IO):
  - International European research organisations are eligible for funding.
  - Other IO are not eligible (only exceptionally if participation is essential)
  - IO in a MS or AC are eligible for funding for Training and mobility actions and when announced in the call conditions.



# Standard evaluation process

## Receipt of proposals

Admissibility/eligibility check

Allocation of proposals to evaluators

## Individual evaluation

Experts assess proposals **individually**.

Minimum of three experts per proposal (but often more than three).

## Consensus group

All individual experts discuss together to agree on a **common position**, including comments and scores for each proposal.

## Panel review

The panel of experts reach an **agreement** on the scores and comments for all proposals within a call, checking **consistency across the evaluations**.

if necessary, resolve cases where evaluators were unable to agree.

Rank the proposals with the same score

## Finalisation

The Commission/Agency reviews the results of the experts' evaluation and puts together the **final ranking list**.



# Admissibility, eligibility checks and additional requirements

*Admissibility* is checked by EU staff.

- Applications must be **complete** and contain all parts and mandatory annexes and supporting documents.
- Applications must be **readable, accessible and printable**.
- Applications must include a **plan for the exploitation and dissemination of results including communication activities** (n/a for applications at the first stage of two-stage procedures or unless otherwise provided in the specific call conditions).
- Specific **page limits** per type of action normally apply (specified in the topic conditions and controlled by IT tool).



# Evaluation (award) criteria

## Three evaluation criteria

‘**Excellence**’, ‘**Impact**’ and ‘**Quality and efficiency of the implementation**’.

(Only one evaluation criterion for ERC - Excellence)

- Evaluation criteria are **adapted** to each **type of action**, as specified in the WP
- Each criterion includes the ‘**aspects to be taken into account**’. The same aspect is not included in different criteria, so it is not assessed twice.
- **Open Science** practices are assessed as part of the scientific methodology in the excellence criterion.



**EXCELLENCE**



**IMPACT**



**IMPLEMENTATION**

# Interpretation of the scores

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.



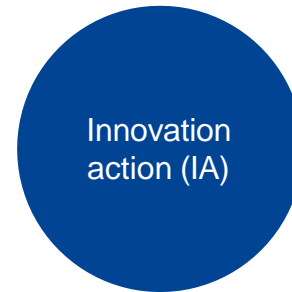


# Evaluation criteria (RIAs and IAs)



Activities to establish new knowledge or to explore the feasibility of a new or improved technology, product, process, service or solution.

This may include basic and applied research, technology development and integration, testing, demonstration and validation of a small-scale prototype in a laboratory or simulated environment.



Activities to produce plans and arrangements or designs for new, altered or improved products, processes or services.

These activities may include prototyping, testing, demonstrating, piloting, large-scale product validation and market replication.

## EXCELLENCE

- ✓ Clarity and pertinence of the **project's objectives**, and the extent to which the proposed work is ambitious, and goes beyond the state-of-the-art.
- ✓ Soundness of the proposed **methodology**, including the underlying concepts, models, assumptions, interdisciplinary approaches, appropriate consideration of the **gender dimension** in research and innovation content, and the quality of **open science practices** including sharing and management of research outputs and engagement of citizens, civil society and end users where appropriate.

## IMPACT

- ✓ Credibility of the **pathways** to achieve the expected **outcomes and impacts** specified in the work programme, and the likely scale and significance of the contributions due to the project.
- ✓ Suitability and quality of the **measures to maximize expected outcomes and impacts**, as set out in the dissemination and exploitation plan, including communication activities.

## QUALITY AND EFFICIENCY OF THE IMPLEMENTATION

- ✓ Quality and effectiveness of the **work plan**, assessment of risks, and appropriateness of the effort assigned to work packages, and the resources overall.
- ✓ Capacity and role of each **participant**, and extent to which the **consortium** as a whole brings together the necessary expertise.

*Proposals aspects are assessed to the extent that the proposed work is within the scope of the work programme topic*



# Evaluation criteria (CSAs)

Coordination  
and support  
actions  
(CSA)

Activities that contribute to the objectives of Horizon Europe. This excludes R&I activities, except those carried out under the 'Widening participation and spreading excellence' component of the programme (part of 'Widening participation and strengthening the European Research Area').

Also eligible are bottom-up coordination actions which promote cooperation between legal entities from Member States and Associated Countries to strengthen the European Research Area, and which receive no EU co-funding for research activities.

## EXCELLENCE

- ✓ Clarity and pertinence of the **project's objectives**.
- ✓ Quality of the proposed coordination and/or support measures, including soundness of methodology.

## IMPACT

- ✓ Credibility of the **pathways** to achieve the expected **outcomes and impacts** specified in the work programme, and the likely scale and significance of the contributions due to the project.
- ✓ Suitability and quality of the **measures to maximize expected outcomes and impacts**, as set out in the dissemination and exploitation plan, including communication activities.

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## TIMELINE

### **Prepare the preliminary project summary/abstract**

→ T 120 -90 days

This summary should be a a live, working document, which will help in shaping the project definition and consortium structure Not exceed 2 pages for the matter of simplicity and efficiency.

### **List of partners**

Based on the preliminary project summary/abstract work to recruit partners for the project. Since the partners should take an active role in developing the project proposal, we highly recommend to conclude the partners' list at least 2 months before the call deadline.

→ T 90 -60 days

Consortium



- Define functions
- Recruit
- Negotiate
- Manage
- Contribution to the text



Proposal

Proposal Writing



- Objectives
- Answer to the call text
- Concept
- Impact
- Work plan
- Budgeting



# EC view about the consortium

- The ideal consortium would be dependent on each specific call.
- According to the EC the average consortium size of Horizon 2020 projects is 2.5 participants per EUR million funding
- The geographical origin or distribution of partners across Europe (and beyond) sometimes depends on the research area addressed by a call topic

3

# OUTCOME... MEASURES



# REPORT – EUROPEAN PROJECTS

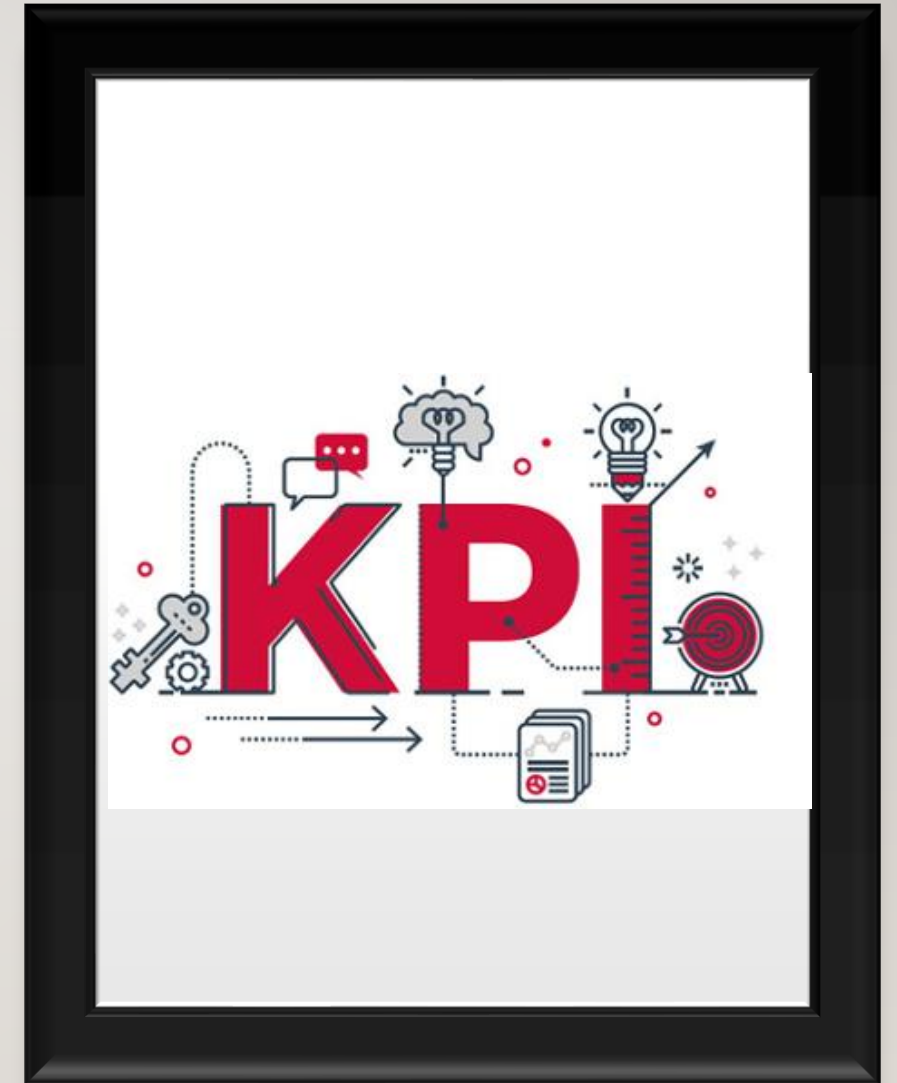
*The objectives are clearly stated and pertinent and they are very well defined. Detailed and quantified KPIs are provided for each objective to facilitate assessment.*

*KPIs are present and appropriate*

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*The KPIs are not in line with the objectives of the call. It is difficult to understand from the text the real capacity to measure how they are going to achieve the objectives stated*

*KPIs are only mentioned but there are not indicators, method of measurements and expected progress*



# KPI?????

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- A KPI, or a **Key Performance Indicator** is a measurable value that demonstrates how effectively a company, organization, or in this case consortium, is achieving its key objectives. A KPI will help you evaluate your success at reaching targets or particular activities in which you get engaged

KPIs allow the analysis and monitoring of the overall project in relation to the main objectives, but also in relation to the specific goals for the upgraded integrated technologies..



### Project goals

- Define objectives of the project.
- Define target values and scope.

### Stakeholders

- Identify institutions involved in the project.
- Identify institutions interested in the results of the project.

### Analysis boundaries

- Identify all technologies.
- Establish the scope of the analysis.

### Select KPI

- List technical parameters.
- Identify relevant indicators.
- Select indicators that best measure progress to objectives

It is important to make a distinction between different categories of impact.

- **Outputs** are what is directly produced or supplied through the EU intervention. They often relate to the expected deliverables of the intervention. Outputs generally occur within the short to medium term.
- **Results** capture more direct, short to medium term changes in a situation.
- **Impact** broadly defines the wider societal, economic or environmental cumulative changes over a longer period of time.
- **Indicators** are defined as the measurement of an objective to be met, a resource mobilised, an effect obtained or a context variable.

# KPI



OBJECTIVE



MEASUREMENT



OPTIMIZATION



STRATEGY



PERFORMANCE



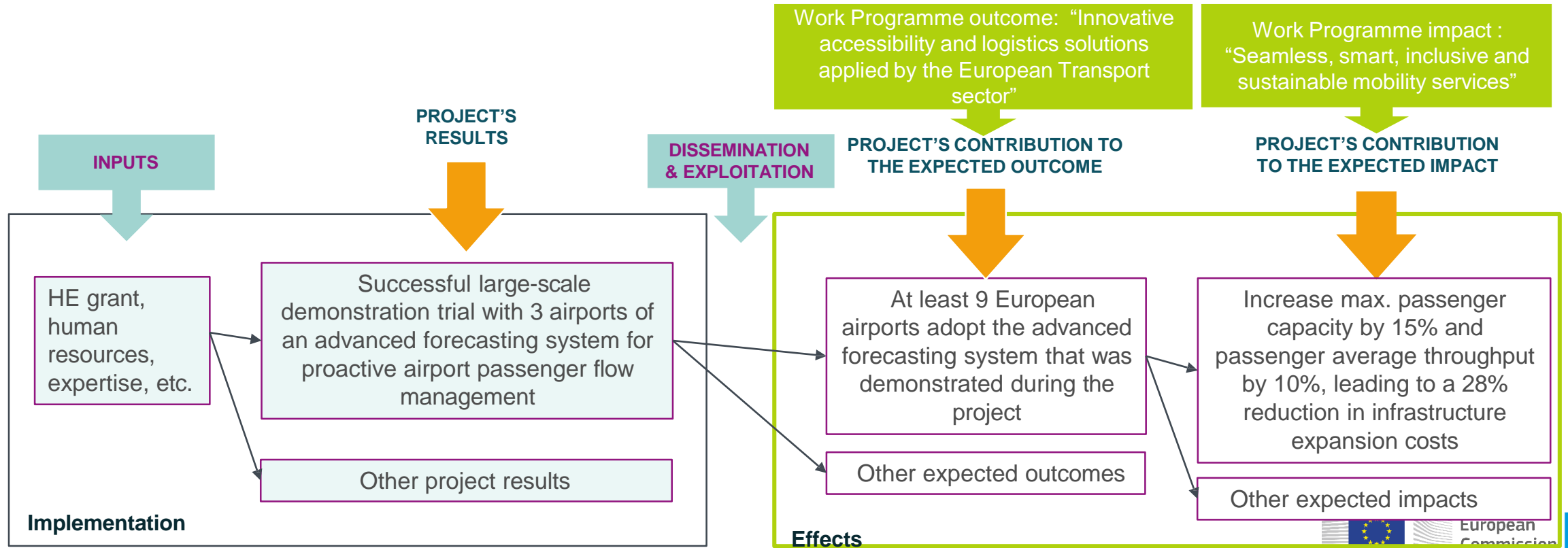
EVALUATION



# How applicants describe the impact

**Project's pathway towards impact**

...by thinking about the specific contribution the project can make to the expected outcomes and impacts set out in the Work Programme.





The stakeholders define the approach and level of detail required by the KPI. Each has different interest, knowledge, and action capabilities, hence the data they require from the project differs. Consequently, the KPI definition requires correctly identifying the relevant stakeholders at each stage of the project. :

- Technology developers
- Technology integrators
- Health system.
- Local public authorities
- Policy makers

# Stakeholder Engagement KEY PERFORMANCE INDICATORS

The KPIs for particular product/technology should be useful for technology developers while the system KPIs should serve to technology integrators and utilities, but also to public administration, to check the health, economic, and social impacts of the system.



[https://www.youtube.com/watch?v=YvT\\_gqs5ETk](https://www.youtube.com/watch?v=YvT_gqs5ETk)



**END USER... TARGET**

# IMPACT – Measures to maximise impact

## Communication



## Dissemination



## Exploitation



**Reach out to society and show the impact and benefits** of EU-funded R&I activities, e.g. by addressing and providing possible solutions to fundamental societal challenges.

**Inform** about and promote the project AND its results/success.

Multiple audiences beyond the project's own community incl. media and the broad public.

**Transfer knowledge & results** with the aim to enable others to use and take up results, thus maximising the impact of EU-funded research.

**Describe and ensure results available** for others to **USE** → focus on results only!

Audiences that may take an interest in the potential **USE** of the results (e.g. scientific community, industrial partner, policymakers).

**Effectively use project results** through scientific, economic, political or societal exploitation routes aiming to turn R&I actions into concrete value and impact for society.

**Make concrete use** of research results (not restricted to commercial use.)

People/organisations including project partners themselves that make concrete use of the project results, as well as user groups outside the project.



## Criterion 2: IMPACT – 2.3: Summary

### IMPACT SUMMARY

- Provide a summary of this section by presenting in the **canvas** below the **key elements of your project impact pathway** and of the measures to maximise its impact.
- **KEY ELEMENT OF THE IMPACT SECTION!**





A **summary table** at the end of Section 2 – Impact is now included in the proposal template. This table sums up all the different impacts of the project in a comprehensive and synthetical way.

The table includes six categories:

- The specific needs of the project,
- Expected results,
- Dissemination, exploitation, and communication measures to maximise the impact of the project,
- Target audiences,
- The outputs achieved during the life of the project,
- And finally, the scientific, economic, and societal impacts generated beyond the project.



SPECIFIC NEEDS	EXPECTED RESULTS	D & E & C MEASURES
<p><i>What are the specific needs that triggered this project?</i></p> <p>Example 1 Most airports use process flow-oriented models based on static mathematical values limiting the optimal management of passenger flow and hampering the accurate use of the available resources to the actual demand of passengers.</p> <p>Example 2 Electronic components need to get smaller and lighter to match the expectations of the end-users. At the same time there is a problem of sourcing of raw materials that has an environmental impact.</p>	<p><i>What do you expect to generate by the end of the project?</i></p> <p>Example 1 <b>Successful large-scale demonstrator:</b> <b>Successful large-scale demonstrator:</b> Trial with 3 airports of an advanced forecasting system for proactive airport passenger flow management. <b>Algorithmic model:</b> Novel algorithmic model for proactive airport passenger flow management.</p> <p>Example 2 Publication of a <b>scientific discovery on transparent electronics.</b> <b>New product:</b> More sustainable electronic circuits. <b>Three PhD students trained.</b></p>	<p><i>What dissemination, exploitation and communication measures will you apply to the results?</i></p> <p>Example 1 <b>Exploitation:</b> Patenting the algorithmic model. <b>Dissemination towards the scientific community and airports:</b> Scientific publication with the results of the large-scale demonstration. <b>Communication towards citizens:</b> An event in a shopping mall to show how the outcomes of the action are relevant to our everyday lives.</p> <p>Example 2 <b>Exploitation of the new product:</b> Patenting the new product; Licencing to major electronic companies. <b>Dissemination towards the scientific community and industry:</b> Participating at conferences; Developing a platform of material compositions for industry; Participation at EC project portfolios to disseminate the results as part of a group and maximise the visibility vis-à-vis companies</p>



TARGET GROUPS	OUTCOMES	IMPACTS
<p><i>Who will use or further up-take the results of the project? Who will benefit from the results of the project?</i></p> <p>Example 1  <b>9 European airports:</b>            Schiphol, Brussels airport, etc.  <b>The European Union aviation safety agency.</b>  <b>Air passengers (indirect).</b></p> <p>Example 2  <b>End-users:</b> consumers of electronic devices.  <b>Major electronic companies:</b> Samsung, Apple, etc.  <b>Scientific community</b> (field of transparent electronics).</p>	<p><i>What change do you expect to see after successful dissemination and exploitation of project results to the target group(s)?</i></p> <p>Example 1  <b>Up-take by airports:</b> 9 European airports adopt the advanced forecasting system demonstrated during the project.</p> <p>Example 2  <b>High use of the scientific discovery published</b> (measured with the relative rate of citation index of project publications).  <b>A major electronic company</b> (Samsung or Apple) <b>exploits/uses the new product</b> in their manufacturing.</p>	<p><i>What are the expected wider scientific, economic and societal effects of the project contributing to the expected impacts outlined in the respective destination in the work programme?</i></p> <p>Example 1  <b>Scientific:</b> New breakthrough scientific discovery on passenger forecast modelling.  <b>Economic:</b> Increased airport efficiency  <b>Size:</b> 15% increase of maximum passenger capacity in European airports, leading to a 28% reduction in infrastructure expansion costs.</p> <p>Example 2  <b>Scientific:</b> New breakthrough scientific discovery on transparent electronics.  <b>Economic/Technological:</b> A new market for touch enabled electronic devices.  <b>Societal:</b> Lower climate impact of electronics manufacturing (including through material sourcing and waste management).</p>





# Open Science

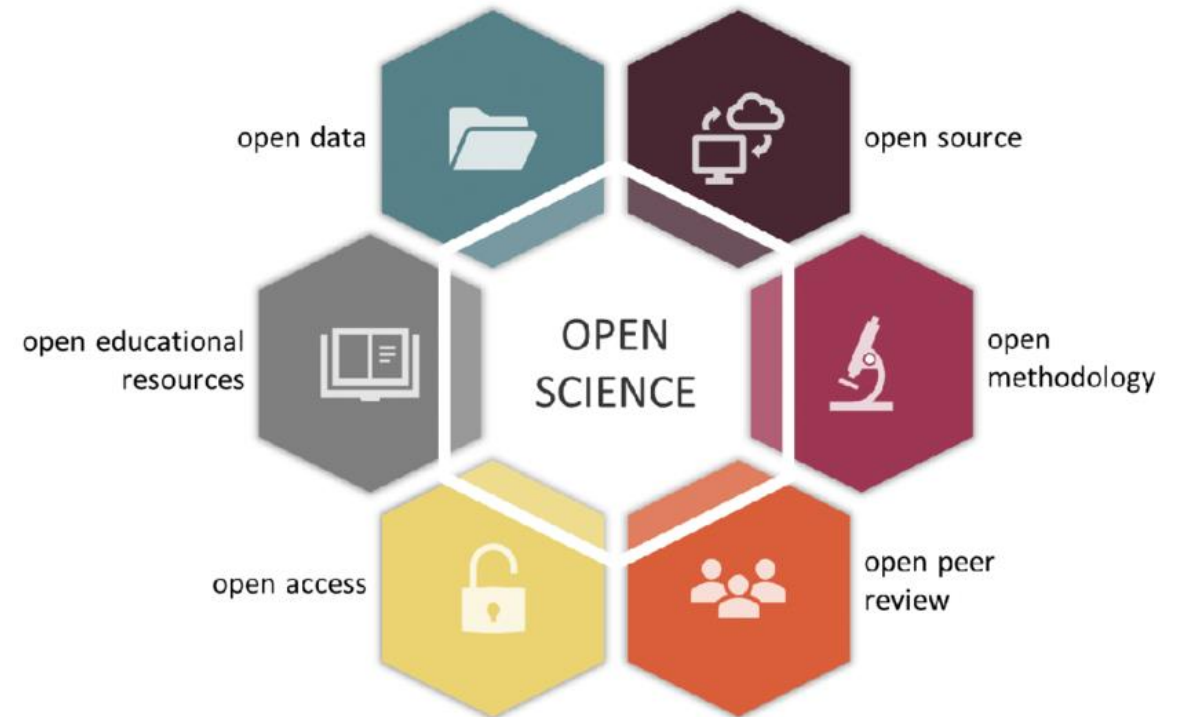
Check [support video](#) in the portal!

## Open Science

*Open science is an approach based on open cooperative work and systematic sharing of knowledge and tools as early and widely as possible in the process, including active engagement of society.*

Open science practices include:

- Early and open sharing of research (for example through preregistration, registered reports, pre-prints, or crowd-sourcing).
- Research output management including research data management (RDM).
- Measures to ensure reproducibility of research outputs.
- Providing open access to research outputs (e.g. publications, data, software, models, algorithms, and workflows) through deposition in trusted repositories.
- Participation in open peer review.
- Involving all relevant knowledge actors including citizens, civil society and end users in the co-creation of R&I agendas and contents (such as citizen science).



**When OS practices (mandatory and recommended) are duly justified as not appropriate for the project, do not lower score for not addressing those practices**

**Detailed guidance for proposers and evaluators in the HE Programme Guide**



Check [support video](#) in the portal!

# Gender dimension in R&I content

## Gender dimension

*Addressing the gender dimension in research and innovation entails taking into account sex and gender in the whole research & innovation process.*

Under Horizon Europe the **integration of the gender dimension** into R&I content is **mandatory**, unless it is explicitly mentioned in the topic description as for example:

“In this topic the integration of the gender dimension (sex and gender analysis) in research and innovation content is not a mandatory requirement.”

**Why is gender dimension important?** It brings added value of research in terms of excellence, rigor, reproducibility, creativity and business opportunities It enhances the societal relevance of research and innovation

- Why do we observe differences between women and men in infection levels and mortality rates in the COVID-19 pandemic?
- Does it make sense to study cardiovascular diseases only on male animals and on men, or osteoporosis only on women?
- Is it responsible to develop AI products that spread gender and racial biases due to a lack of diversity in the data used in training AI applications?
- ...

are now at risk of extinction?

Detailed guidance for evaluators and proposers is provided in the **Horizon Europe Programme Guide**



# Do no significant harm principle (DNSH)

## European Green Deal

*In line with the European Green Deal objectives, economic activities should not make a significant harm to any of the six environmental objectives (EU Taxonomy Regulation)*

- Applicants **can refer to the DNSH principle** when presenting their research methodology and the expected impacts of the project, to show that their project will not carry out activities that make a significant harm to any of the six environmental objectives of the EU Taxonomy Regulation.
- However, evaluators **will not score applications in relation to their compliance with the DNSH principle** unless explicitly stated in the work programme (currently, this is the case only for actions in the European Innovation Council Work Programme 2021).

## The six environmental objectives :



Climate change mitigation



Sustainable use & protection of water & marine resources



Pollution prevention & control



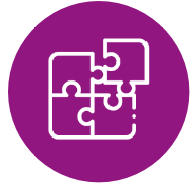
Climate change adaptation



Transition to a circular economy



Protection and restoration of biodiversity & ecosystems



# Management of intellectual property (IP)

*Each Horizon Europe beneficiary shall use its best efforts to **exploit the results it owns**, or to have them exploited by another legal entity, in particular through the transfer and licensing of results. In this respect beneficiaries are required to **adequately protect their results – if possible and justified** – taking account of possible prospects for commercial exploitation and any other legitimate interest.*

The provision of a **results ownership list** is mandatory at the end of a project.

## The strategy for IP management in a proposal

- Should be comprehensive and feasible and should include protection measures whenever relevant.
- Should be commensurate with the described pathways to outcomes and impacts and therefore underpins the ‘credibility’ of these pathways.
- Should consider ‘freedom to operate’ regarding the background owned by consortium members and/or third parties outside the consortium.
- Should give due thought to balancing between publication of results and plans to protect IP, e.g. in terms of timing the respective activities, involvement of IP experts.
- If exploitation is expected primarily in non-associated third countries, it must include justifications on how that exploitation is still in the Union’s interest.
- if required in the call conditions, it must consider additional exploitation obligations in relation to IP.

# Useful links

- [Standard Horizon Europe application form](#), European Commission
- [General annotated grant agreement model](#), European Commission
- [How to prepare a successful proposal in Horizon Europe](#), Webinar, European Commission, 24 March 2021 (part 1)
- [A successful proposal for Horizon Europe: Scientific-technical excellence is key, but don't forget the other aspects](#), Webinar, European Commission, 21 April 2021 (part 2)







For more information:

[HE Programme Guide](#)  
[General Annexes of the WP](#)  
[Standard application form \(RIAs/IAs\)](#)  
[Support video briefings to help experts evaluate policy aspects](#)



<b>Criterion</b>	<b>DO</b>	<b>DON'T</b>
<b>Excellence</b>	<p>Define objectives clearly.</p> <p>Be ambitious, but stay realistic.</p> <p>Choose appropriate methodology.</p> <p>Choose relevant partners and reliable coordinator.</p> <p>Put effort on describing the state-of-art and proof of concept.</p> <p>Create links with previous networks/projects and relevant policies.</p> <p>Engage interdisciplinary expertise.</p> <p>Stay accurate, concise throughout the proposal</p> <p>Bring out the innovation potential.</p> <p>If something stays unclear, contact your NCP.</p>	<p>Don't rush; poorly prepared proposal ruins even the most excellent plans.</p> <p>Don't repeat something what is already done.</p> <p>Don't forget to include partners from different regions, disciplines, stakeholder groups to compose a balanced consortium.</p> <p>Don't forget to show the credibility of your consortium.</p> <p>Don't hesitate to provide detailed description about your methodology, technical solution etc. Superficial description of the processes is often brought out as a major shortcoming</p> <p>If you have a novel approach – don't forget to describe it thoroughly and to support it with relevant references.</p>

## Impact

### Impact

When planning be concrete and precise.

Quantify as much as possible.

Use financial figures and develop a business model and/or business plan.

Elaborate a convincing commercialisation plan.

Take into account all the expected impacts described in the topic.

Expected impacts should be derived and justified on previous results.

Plan a good cooperation with end users from the beginning of the project.

Involve policy makers, SMEs and industry in the proposal or plan a sustainable cooperation with them.

Describe industrial uptake of research results in details.

Develop an excellent dissemination plan (with diverse dissemination measures).

Address adequately and clearly explain dissemination of project results.

Ask for evaluation of impacts (by professionals).

Ask NCPs for cooperation.

Don't list irrelevant and unreal impacts.

Don't try to be very optimistic as it may cause the lack of credibility.

Don't use general descriptions, without any specific focus.

Don't use a weak or general analysis of the market and competition.

Don't miss concrete market details: potential market volumes, which markets, specific products, prices, etc.

Don't copy proposal's parts (mainly IPR management) from your previous project proposals.

Don't forget that the impact should be related to the particular concept, not to the call fiche.

Don't repeat (or copy) required impact from the call instead of development of your own proposal content.

Don't confuse dissemination with communication or exploitation.

Don't forget to use concrete information about expected environmental savings.



## Implementation

<b>Implementation</b>	<p>Concrete and precise planning.</p> <p>Details and Quantification. Use Tables.</p> <p>Well-timed tasks and activities with well-balanced allocation to partners.</p> <p>Well-balanced and justified resources and budget.</p> <p>Consortium with partners who complement and synergize well in expertise and tasks.</p> <p>Consultation with NCP.</p>	<p>Don't use repetitions from within the text of the proposal.</p> <p>Don't do "copy-pastes" from other/ previous proposals.</p> <p>Don't forget the details - unsubstantiated/ unreferenced content/ figures/ numbers are causing a negative impression.</p> <p>Don't take beneficiaries/ Partners who are "joyriders" with no significant role and tasks.</p> <p>Don't plan vague Deliverables and Milestones. Lack of "Plan B" and contingency measures.</p>
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# Glossary of terms

<b>Impacts</b>	Wider long term effects on society (including the environment), the economy and science, enabled by the outcomes of R&I investments (long term). It refers to the specific contribution of the project to the work programme expected impacts described in the destination. Impacts generally occur some time after the end of the project.
<b>Objectives</b>	The goals of the work performed within the project, in terms of its research and innovation content. This will be translated into the project's results. These may range from tackling specific research questions, demonstrating the feasibility of an innovation, sharing knowledge among stakeholders on specific issues. The nature of the objectives will depend on the type of action, and the scope of the topic.
<b>Outcomes</b>	The expected effects, over the medium term, of projects supported under a given topic. The results of a project should contribute to these outcomes, fostered in particular by the dissemination and exploitation measures. This may include the uptake, diffusion, deployment, and/or use of the project's results by direct target groups. Outcomes generally occur during or shortly after the end of the project.
<b>Pathway to impact</b>	Logical steps towards the achievement of the expected impacts of the project over time, in particular beyond the duration of a project. A pathway begins with the projects' results, to their dissemination, exploitation and communication, contributing to the expected outcomes in the work programme topic, and ultimately to the wider scientific, economic and societal impacts of the work programme destination.
<b>Research output</b>	Results generated by the action to which access can be given in the form of scientific publications, data or other engineered outcomes and processes such as software, algorithms, protocols and electronic notebooks.
<b>Results</b>	What is generated during the project implementation. This may include, for example, know-how, innovative solutions, algorithms, proof of feasibility, new business models, policy recommendations, guidelines, prototypes, demonstrators, databases and datasets, trained researchers, new infrastructures, networks, etc. Most project results (inventions, scientific works, etc.) are 'Intellectual Property', which may, if appropriate, be protected by formal 'Intellectual Property Rights'.