







RESEARCH & INNOVATION

PROGRAMME 2021 – 27



PROPOSAL WRITING CAMP

Session 2: Evaluation Criteria & Proposal application form



1. Evaluation process, criteria and scores





Standard evaluation criteria

There are three evaluation criteria for full proposals:

Excellence

Impact

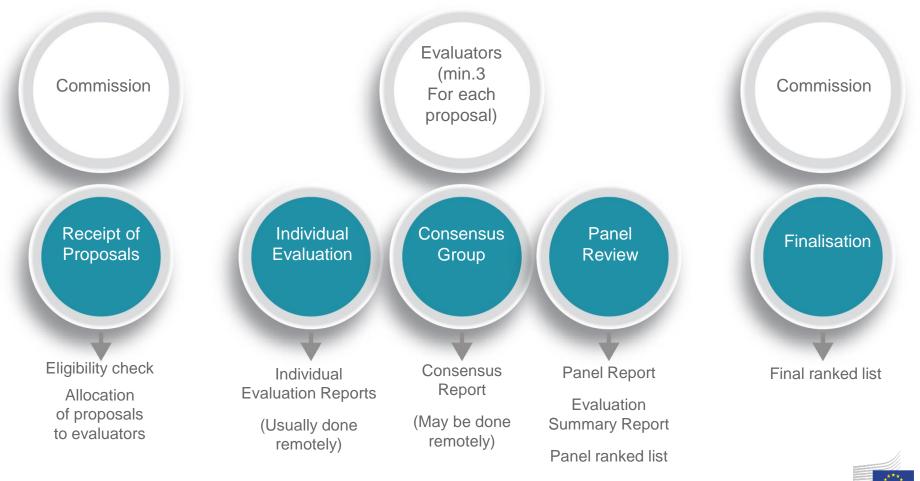
Quality and efficiency of implementation

The criteria are adapted to each type of action, as specified in the Work Programme

An exception is the ERC, which uses a different set of criteria.



Overview of the evaluation process





Admissibility, Eligibility & Scope check

- Admissibility is checked by the Agency:
 - Readable, accessible and printable
 - Completeness of proposal presence of all requested forms
 - Plan for exploitation and dissemination of results (unless otherwise specified in the WP)

Page limits: Clearly set out in electronic system; excess page(s) marked with a watermark

- Eligibility checked by the Agency
 - 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
- "Out of scope" you need to check the scope of proposals
 - A proposal will only be deemed ineligible in clear-cut cases



• The evaluation criteria are adapted to each type of action, as specified in the WP. E.g. relevance of innovation.

Innovation Management: is a process which requires an understanding of both market and technical problems, with a goal of successfully implementing appropriate creative ideas.

Typical Output: new or improved product, service or process.

For consortium: it allows to respond to an

external or internal opportunity.

- Three broad evaluation criteria:
 - Excellence (relevant to the topic of the call)
 - Impact
 - Quality and efficiency of the implementation



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 maximise 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.



What else you need to know about the evaluation process

- The European Commission organises the evaluation and moderates the process
- Independent observers check the functioning and running of the overall process and advise, in their report, on the conduct and fairness of the evaluation sessions and, if necessary, suggest possible improvements
- An ethics review takes place for proposals above threshold and considered for funding. Only proposals that comply with the ethical principles and legislation may receive funding



Evaluation scores

- The maximum overall score is 15 (3x5), unless a weighting is applied
- Generally a pre-defined qualifying score on each criterion and an overall qualifying score needs to be achieved.



- Qualifying scores may vary
 - according to type of action
 - between the first and second stage proposals in two-stage procedures



Evaluation scores

Experts score each award criterion on a scale from 0 to 5 (half point scores may be given):



- 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



Evaluation – new elements in Horizon Europe

- Pilot on "Blind evaluation" in first HE two-stage calls: anonymised short proposals in 1st stage
- Pilot on 'Right to react' (rebuttal): more transparency and more detailed feedback option
- Portfolio-based calls (e.g. Missions, EIC pathfinder): portfolio considerations



Where to find the full information?

https://ec.europa.eu/info/research-and-innovation/funding/fundingopportunities/funding-programmes-and-open-calls/horizon-europe_en



EXERCISE

2. Evaluation Summary Report





Exercise: Evaluation Summary report H2020

Analysis of an extract of an Evaluation Summary Report (ESR)

- Read an extract from an ESR, call 2021 on Wind energy Challenge 5; ESR report received in May 2022
- We take Criterion 3 Quality and efficiency of the implementation (criterion 1 excellence and criterion 2 impact not discussed in this example)
- Review of implementation (work-packages, tasks, management, budget items)
- When you read the comments of evaluators, how would you score the project on implementation, on a scoring range 0-5?
- Text will be displayed & handed out in paper copy
- At the end of exercise the original will be displayed with score for this criterion: are the score and comments justified/ok, or too high, or too low?

Example: Evaluation Summary report

Criterion 3 - Quality and efficiency of the implementation

The following aspects will be taken into account:

- 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.



Example: Evaluation Summary report

Criterion 3 - Quality and efficiency of the implementation

Overall, the proposal addresses the criterion well. In particular:

- * In general, the work plan is effective and of acceptable quality. For example, the breakdown of the project into appropriate work packages and their tasks is convincing, and proportionate to the scale and complexity of the proposed project.
- * Milestones are sufficient in number, and timing, and their means of verification. They are appropriate to enable effective monitoring of project progress.
- * The content of the deliverables is appropriate to document the outputs of the project.
- * The resources assigned to work packages are credibly in line with their objectives and deliverables.
- * Each participant has a specific and valid role, and the capacity to carry it out.
- * The consortium as a whole brings together the necessary expertise, including valuable previous experience with Local Water Forums, and previous involvement in a range of H2020 projects.

Example: Evaluation Summary report

Criterion 3 - Quality and efficiency of the implementation

Nevertheless, a number of shortcomings are present, namely:

- * Some of the initial deliverables are not scheduled early enough for effective project progress. For example, deliverables on quality control and risk management, and data management, are not scheduled until month 6, and the launch of the website is not scheduled until month 4, which is not sufficiently justified.
- * The proposal does not sufficiently identify critical risks concerning the access and availability of testing grounds; and does not credibly mitigate potential difficulties in setting up the local sustainable energy assemblies (e.g. lack of trust and acceptance in the local communities) beyond one-way communication.
- * The proposal does not provide sufficient justification for the purchase costs allocated to partner 11 (€53,100, which is 27.7% of Personnel costs) or to partner 13 (€85,500, which is 48.8% of Personnel Costs).

Criterion 3 - Quality and efficiency of the implementation

Score: 3.50 (Threshold: 3/5.00, Weight: -)

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

- 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 the extent to which the consortium as a whole brings together the necessary expertise.

Overall, the proposal addresses the criterion well. In particular:

- * In general, the work plan is effective and of acceptable quality. For example, the breakdown of the project into appropriate work packages and their tasks is convincing, and proportionate to the scale and complexity of the proposed project.
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- * The proposal does not provide sufficient justification for the purchase costs allocated to partner 11 (€53,100, which is 27.7% of Personnel costs) or to partner 13 (€85,500, which is 48.8% of Personnel Costs).



3. Exercise: Proposal application form

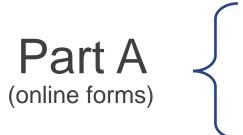




Example: structure of a HORIZON EUROPE - RIA (Research & Innovation Action)

Standard Horizon Europe application form RIA/IA: https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/horizon/temp-form/af/af_he-ria-ia_en.pdf





Administrative forms

to be completed online (Funding and tender portal)

Horizon Europe

Application forms (Part A)

Topic:

Type of action:

Type of Model Grant Agreement

Proposal number:

Proposal acronym:

Table of contents

Section	Title	Action
1	General information	
2	Participants	
3	Budget	
4	Ethics and security	
5	Other questions	

1 – General information

Please give the proposal reference or contract number

ection 1	provides basic data	on the proposal.	It can be filled in by	contacts of the	coordinator.	Other participants may	view this section only.	Read-only
arts are i	marked in blue.		_				_	

Topic	Type of action			
Call	Type of Model Grant Agreement			
Acronym	Acronym is mandatory			
Proposal title	Max 200 characters (with spaces). Must be understandable for non-specialists in y	our field.		
	Note that for technical reasons, the following characters are not accepted in the Proposal Title and will be	e removed:	<>*&	
Duration in months	Estimated duration of the project in full months.			
Fixed keyword	· O/			
·				
Fixed keyword	_x O			
Free keywords	Enter any words you think give extra detail of the scope of your proposal (max 200 spaces).	character	s with	
Abstract				
the Work Programme programme manager Information. Use plain	provide the reader with a clear understanding of the objectives of the proposal, how they will be achieved, This summary will be used as the short description of the proposal in the evaluation process and in committees and other interested parties. It must therefore be short and precise and should not contain byped text, avoiding formulas and other special characters. If the proposal is written in a language other triple of this abstract in the Part B (technical description) of the proposal.	nunications t n confidentia	to the	
<	talux			
for proposals ur	al (or a very similar one) been submitted in the past 2 years in response to a call ider any EU programme, including the current call? A 'similar' proposal or contract is one current one in minor ways, and in which some of the present consortium members are involved.	○ Yes	○ No	
Please give the	proposal reference or contract number	XXXXX-	X	



Application Forms	
Proposal ID XXXXXXXXXX	Acronym XXXXXXX

2 - Participants

List of participating organisations

#	Participating Organisation Legal Name	Country
1		
2		
3		×6

Coordinator contacts have the rights to:

- add, delete, edit and re-order partners in the consortium
- add, delete, edit and re-order contact points for those organisations
- edit all sections of the administrative forms
- upload, delete, view and download Part B and Annexes (when required for the call)
- submit the proposal

Participant contacts may:

- view all the information in this screen, but not edit it
- edit only the section for their organisation in the administrative forms (including budget
- view the entire administrative forms
- view/download the Part B and other Annexes

You can manage the list of organisations and access rights of persons at Step 4 of the submission process. You may identify and give access to as many contact persons of the selected organisations as you wish. The identification is based upon the e-mail address of the person. When you add a contact person, you will be prompted to supply the contact details: name, e-mail, phone.

Person in charge of the proposal (main contact person): Each organisation needs to have one main contact person identified; the main contact person will have to fill in full contact details in the administrative form. The 'Main Contact Person' for the coordinating organisation (Participant no. 1) will become the primary contact person for the Services. Other contact persons may also be identified and may receive read-only or full access rights. Contact persons with full access rights of the coordinator (Participant no. 1) will be called 'Coordinator contacts' in the Funding & Tenders Portal, while for the other participants 'Participant Contacts'; contact persons with read-only rights will be called 'Team Members'. Other contact persons are listed with basic details in the administrative form.

Access rights: The main contact person and contact persons of the coordinator with full access rights have the same level of rights: they can manage the list of participants and contacts, edit any part of the administrative part of the proposal and upload any attachments (eg. Part B - technical description), and submit the proposal. Contact persons with read-only rights can only view/download the information. Participant contacts with full access rights can only edit their section of the administrative form and view all proposal data.

Access rights can be revoked by the Coordinating Organisation contacts. The person who created the proposal cannot be deleted.

Invitation: All contacts will receive an e-mail and a notification to the Portal about the invitation to the proposal upon saving the data at Step 4 of the submission process.



Researchers involved in the proposal

Include only the researchers involved in the proposal, (see below definition of researcher). You do not need to include in the table the identity of other persons involved in the proposal who are not researchers.

'Researchers are professionals engaged in the conception or creation of new knowledge. They conduct research and improve or develop concepts, theories, models, techniques instrumentation, software or operational methods. (Frascati Manual 2015)'

include also person in charge of the proposal if a researcher.

Title	First Name	Last Name	Gender	Nationality	E-mail	Career stage ¹	Role of researcher (in	Reference Identifier	Type of identifier
							the project)		
			[Woman]			/Category A – Top	/Leading/		[ORCID]
			[Man]			grade researcher)	[Team member]		/Researcher
			[Non-binary]			[Category B – Senior researcher]			ld]
					×	/Category C – Recognised			[Other - specify]
					Ŏ.	researcher] [Category D - First			
				Ç)	stage researcher]			
				0					

¹ Career stages as defined in Frascati 2015 manual:

Category A - Top grade researcher: the single highest grade/post at which research is normally conducted. Example: 'Full professor' or 'Director of research'.

Category B – Senior researcher: Researchers working in positions not as senior as top position but more senior than newly qualified doctoral graduates (IsCED level 8). Examples: 'associate professor' or 'senior researcher' or 'principal investigator'.

Category C - Recognised researcher: the first grade/post into which a newly qualified doctoral graduate would normally be recruited. Examples: 'assistant professor', 'investigator' or 'post-doctoral fellow'.

Category D – First stage researcher: Either doctoral students at the IsCED level 8 who are engaged as researchers, or researchers working in posts that do not normally require a doctorate degree. Examples: 'PhD students' or 'junior researchers' (without a PhD).

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Application Forms			
Proposal ID XXXXXXXXXX	Acronym XXXXXXX	Participant short name: XXXX	

Role of participating organisation in the project Applicants may select more than one option.	
Project management	
Communication, dissemination and engagement	
Provision of research and technology infrastructure	
Co-definition of research and market needs	
Civil society representative	
Policy maker or regulator, incl. standardisation body	
Research performer	
Technology developer	
Testing/validation of approaches and ideas	
Prototyping and demonstration	
IPR management incl. technology transfer	
Public procurer of results	
Private buyer of results	
Finance provider (public or private)	Ġ
Education and training	
Contributions from the social sciences or/and the humanities	
Other Specify (50 character limit):	

List of up to 5 publications, widely-used datasets, software, goods, services, or any other achievements relevant to the call content.

Type of achievement	Short description
	Key elements of the achievement, including a short qualitative assessment of its impact and (where available) its digital object identifier (DOI) or other type of persistent
[Software]	identifier (PID). Publications, in particular journal articles, are expected to be open access. Datasets are
[Good]	expected to be FAIR and 'as open as possible, as closed as necessary'.



Application Forms			
Proposal ID XXXXXXXXXX	Acronym XXXXXXX	Participant short name: XXXX	

Role of participating organisation in the project Applicants may select more than one option.				
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Prototyping and demonstration				
IPR management incl. technology transfer				
Public procurer of results				
Private buyer of results				
Finance provider (public or private)	C			
Education and training				
Contributions from the social sciences or/and the humanities				
Other Specify (50 character limit):				

Application Forms		
Proposal ID XXXXXXXXXX	Acronym XXXXXXX	Participant short name: XXXX

List of up to 5 most re	elevant previous projects or activities, connected to the subject of this proposal
Name of Project or Activity	Short description

Description of any significant infrastructure and/or any major items of technical equipment, relevant to the proposed work

Name of infrastructure or equipment	Short description	"Uh

List of up to 5 publications, widely-used datasets, software, goods, services, or any other achievements relevant to the call content.

Type of achievement	Short description
[Publication]	Key elements of the achievement, including a short qualitative assessment of its impact and (where available) its digital object identifier (DOI) or other type of persistent
[Dataset]	identifier (PID).
[Software]	Publications, in particular journal articles, are expected to be open access. Datasets are expected to be FAIR and 'as open as possible, as closed as necessary'.
[Good]	expected to be PAIR and as open as possible, as closed as necessary.
/Service?	



Gender equality plan

Having a gender equality plan is an eligibility criteria for Public bodies, Higher education establishments and Research organisations. Be aware that if the proposal is selected, having a Gender Equality Plan will be necessary before the grant signature (applicable on calls published from 2022 on).		
Does the organisation have a Gender Equality Plan (GEP) covering the elements listed below?	○ Yes	○ No
Minimum requirements (building blocks) for a GEP		
Public GEP: formal document published on the institution's website and signed by the top management, addressing the following issues:		
 Dedicated resources: commitment of human resources and gender expertise to implement it. 		
 Data collection and monitoring: sex/gender disaggregated data on personnel and students and annual reporting based on indicators. 		
 Training: Awareness raising/trainings on gender equality and unconscious gender biases for staff and decision-makers. 		
 Minimum areas to be covered and addressed via concrete measures and targets: 		
 work-life balance and organisational culture; 		
 gender balance in leadership and decision-making; 		
 gender equality in recruitment and career progression; 		
 integration of the gender dimension into research and teaching content; 		
 measures against gender-based violence including sexual harassment. 		

Version of template used

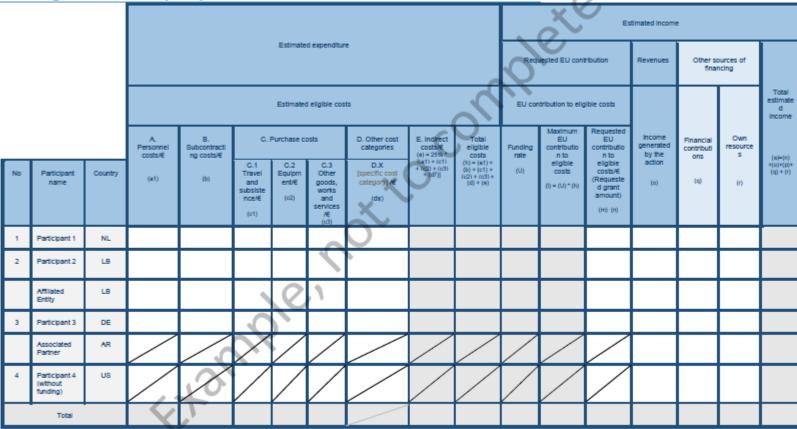
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This proposal version was submitted by [Name, FAMILY NAME] on [dd/mm/yyyy HH:mm:ss] Brussels Local Time. Issued by the Funding and Tenders Portal Submission Service.



3 - Budget for the proposal



Possible 'Other cost categories' for Horizon Europe

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This proposal version was submitted by [Name, FAMILY NAME] on [dd/mm/yyyy HH:mm:ss] Brussels Local Time. Issued by the Funding and Tenders Portal Submission Service.



4 - Ethics and Security

Ethics issues table

This table should be completed as an essential part of your proposal. Please go through the table and Indicate which elements concern your proposal by answering 'Yes' or 'No'. If you answer 'Yes' to any of the questions,

- Indicate in the adjacent box at which page in your full proposal further information relating to that ethics issue can be found, and
 provide additional information on that ethics issue in the Ethics Self-Assessment section.

For more information on each of the ethics issues and how to address them, including detailed legal references, see the guidelines 'How to Complete'

1. HUMAN	NEMBRYONIC STEM CELLS AND HUMAN EMBRYOS		Page
Does this	activity involve Human Embryonic Stem Cells (hESCs)?	○ Yes ○ No	
If YES:	Will they be directly derived from embryos within this project?	○ Yes ○ No	
	Are they previously established cells lines?	○Yes ○ No	
	Are the cell lines registered in the European registry for human embryonic stem cell lines?	O Yes O No	
Ooes this	activity involve the use of human embryos?	○ Yes ○ No	
If YES:	Will the activity lead to their destruction?	○ Yes ○ No	
. HUMAN	ıs 😠 🔾		Page
Does this	activity involve human participants?	○Yes ○No	
If YES:	Are they volunteers for nonmedical studies (e.g. social or human sciences research)?	○ Yes ○ No	
	Are they healthy volunteers for medical studies?	○Yes ○No	
	Are they patients for medical studies?	CYes C No	
	Are they potentially vulnerable individuals or groups?	○ Yes ○ No	
	Are they children/minors?	○ Yes ○ No	
	Are they other persons unable to give informed consent?	○ Yes ○ No	
	activity involve interventions (physical also including imaging technology, behavioural , etc.) on the study participants?	○ Yes ○ No	
If YES:	Does it involve invasive techniques?	○ Yes ○ No	
	Deer it involve collection of biological complex?	O Yes O No	

5 - Other questions

Two-stage calls

The full stage-2 proposal must be consistent with the short outline proposal submitted to the stage 1 - in particular with respect to the proposal characteristics addressing the concepts of excellence and impact.

		<u> </u>		
Are the	ere substantial differences	compared to the stage-1 proposal?	©Yes	○ No
	showed only In answer Is Yes: ist the substantial difference	es, and indicate the reasons		
	Partnership	List the substantial differences and indicate the reasons	2	
	Budget	List the substantial differences and indicate the reasons		
	Approach	List the substantial differences and indicate the reasons		
ovide	d for proposals includ	on for Calls with clinical trials: Essential information to be ding clinical trials / studies / investigations earch Involving a substantial amount of work related to the observation of, data collection in the place of individual patients. It includes but is not limited to clinical studies defined by the Clipical.	from, or	
e clinic	al studies / trials / investig	ations included in the work plan of this project?	○ Yes	© No
	ad the dedicated annex Essen the up-load section for Part B ar	tal information for clinical studies / trials / investigations [,] (a Word template is provide ad Annexes).	d under dow	ınload
docume	ent should include the relevant in	romation of each clinical study / trial / investigation included in the work plan of this projec	t.	
Pleas		onym or a unique identifier to each clinical study / trial / investigation a reference / identifier in the other parts of the proposal	,	.dd nove

Example: structure of a HORIZON EUROPE - RIA (Research & Innovation Action)

Part B (to be uploaded as pdf PDF) 1.Excellence 2.Impact 3.Quality and efficiency of implementation ->additional Annex with information on financial support to third parties (if applicable)



STRUCTURE OF PART B (RIA)

1. Excellence

- 1.1 Objectives and ambition
- 1.2 Methodology

2. Impact

- 2.1 Project's pathways to impact
- 2.2 Measures to maximise impact Dissemination Exploitation and Communication
- 2.3 Summary

3. Quality and efficiency of the implementation

- 3.1 Work plan and Resources
- 3.2 Capacity of participants and consortium as a whole

PAGE LIMIT! 45
pages (RIA) /
50 pages for topics
using lump sum
funding

(including title page and list of participants)

Contact us!

- Trainer 1
- Trainer 2
- <u>eu-eap_sticooperation@servicefacility.eu</u>



Thank you!

#HorizonEU

http://ec.europa.eu/horizon-europe

