

HORIZON 2020

EVALUATION – WHERE GOES WHAT?

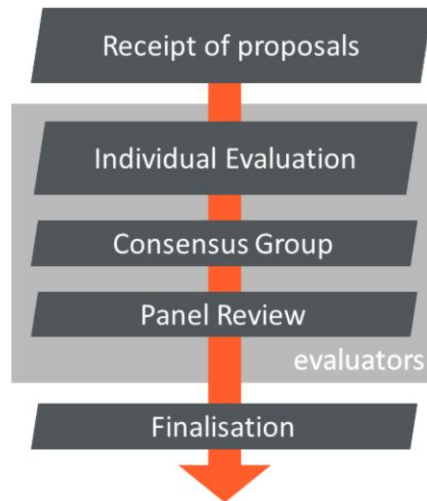
1. The process steps
2. Evaluation criteria
 - Excellence
 - Impact
 - Quality of implementation

In this presentation we'll explain the steps that make up the evaluation process of Horizon 2020 project proposals.

In addition we will dig into each of the three evaluation criteria that are taken into consideration and also explain where exactly in the proposal template you have to provide information that relates to each of these criteria.

So, let's start with the evaluation process...

Evaluation Process



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The evaluation process takes a maximum of 5 months.

Here is an overview of the different steps of the process: first we have the receipt of the proposals.

Then there are some steps involving independent evaluators: an individual evaluation stage and consensus group meeting, followed by a panel review.

After that there is a finalisation stage wherein the European Commission takes the final decision on which proposals will receive funding.

We will deal with all of them in chronological order.

Let's start with what happens upon receipt of the proposals...

Upon receipt the staff of the European Commission performs an eligibility and an admissibility check. After that, the eligible and admissible proposals are allocated to the evaluators.

Let's have a look at the eligibility criteria...

Standard eligibility criteria

1. Content corresponds, **wholly or in part**, to the topic description
2. Proposal complies with **minimum participation rules**

RIA Research & Innovation Actions	a. Three legal entities b. Established in different Member States or Associated Countries c. Independent of each other
IA Innovation Actions	
ERC (EU Research Council)	
CSA (Coordination and support)	One legal entity established in Member State or Associated Country
SME Instrument both Phase I and Phase 2	

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First of all the content of your proposal has to correspond **COMPLETELY** or **IN PART** to the topic description against which your proposal is submitted. Your proposal will not even be presented to the evaluators otherwise.

Secondly your proposal has to comply with a number of conditions that are actiontype specific:

- For research & innovation actions or for innovation actions at least three legal entities have to be included in your project consortium as participants. At least three of these entities shall be established in different member states or associated countries (or other countries that may be specified in the topic against which you submitted your proposal). At least three of these legal entities should also be independent of each other.
- For ERC-grants, coordination & support actions and for the SME-instrument actions, one legal entity established in a member state or associated country is sufficient.
- Be aware that each call and topic may have specific conditions that supplement or modify these 'standard' conditions!

- As a final remark: non-eligibility may also be discovered during the rest of (or even after) the evaluation process.

Now, let's have a look at the admissibility criteria...

Standard admissibility criteria

- on **time**
- at the **right place**
- **complete**
- **readable**, accessible and printable
- plan **dissemination & exploitation**
- Respecting **page limit**
 - RIA/IA: 70
 - CSA: 50
 - First stage: 10

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In order for your proposal to be admissible it has to:

- Be ON TIME. The call deadlines are very strict, one second too late is too late...
Keep your acknowledgement of receipt as proof of the submission of your proposal.
- Be submitted at the right place = the electronic submission system at the participant portal
- Be complete: meaning that all forms need to be completed and submitted as well as any supporting documents that may be required
- Be readable, accessible and printable
- Include a draft plan for the dissemination and exploitation of the results of your project (except for 1stage proposals in 2stage topics)
- Be within the acceptable page limits: for RIA/IA actions the limit is 70 pages; for CSA it's 50 pages; for first stage proposals it's 10. Any pages above these limits will be blanked-out before being allocated to the evaluators.

Standard admissibility criteria

Respecting **page limit**

NON-including:

- information participating organisations
- cv's
- publications and research of innovation products
- relevant previous projects/activities
- relevant infrastructure and equipment
- third parties
- ethics self assessment
- data management plan

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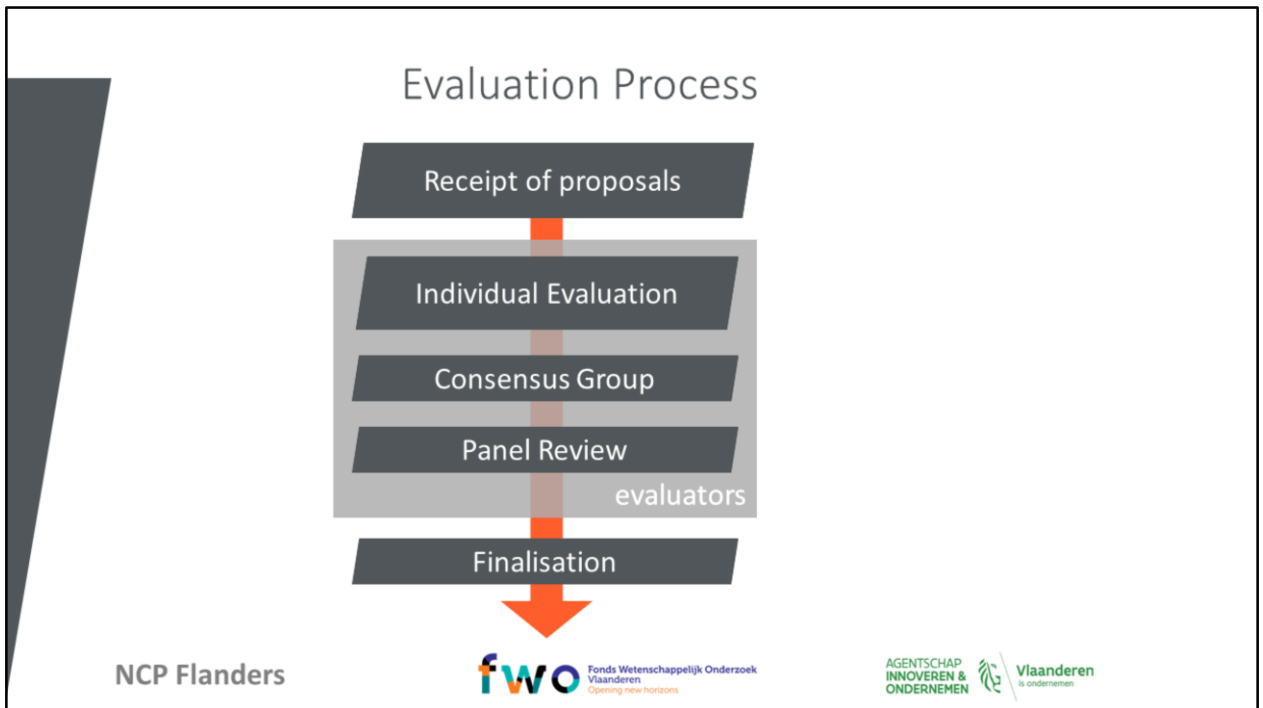
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Some information that is submitted will not be taken into account for these page limits though:

- information on the participating organisations, including CVs of the staff that will be carrying out the work, the list of up to 5 publications and/or research or innovation products, the list of up to 5 relevant previous projects/activities, a description of the relevant available infrastructure and/or equipment and a description of additional third parties that will be contributing to the work;
- The ethics self assessment (we'll get into that later) and data management plan (we'll get into that later...)

So, now let's have a look at what happens with the eligible and admissible proposals...



The eligible and admissible proposals are all submitted to a review process: this is where the evaluators are entering the picture!

Each proposal is reviewed by a minimum of three evaluators individually, each of whom is making an individual evaluation report. These individual evaluations are usually done 'remotely'.

It's important to mention that the evaluators are briefed by the commission that they should base their evaluation strictly on the written contents of the proposals and that they should not try to 'read between the lines' nor make assumptions that are not backed-up by the text of the proposals.

After the individual evaluations, there will be a consensus meeting, which may also be done remotely (email, skype,...) or on a joint location, resulting in a consensus report for each proposal.

Let's get into some basic principles behind these two review steps...

Basic principles

1. Excellence, transparency, fairness, impartiality, efficiency and speed
2. Done **by independent experts**
 - *Balanced team*
 - *Regular turnover*
 - *No conflict of interest!*

The principles behind the evaluation process include excellence (referring to both the process and the expertise of the evaluators), transparency, fairness, impartiality, efficiency and speed. The EC is taking a lot of effort to meet those characteristics. The reviews are done by independent experts, selected from an 'Expert database' on the participant portal.

In choosing the evaluators, balance is sought in terms of skills, experience and knowledge with additional attention to geographical diversity, gender and, where appropriate, a balance in representation from public and private sectors.

The EC also tries to have a regular turnover (change in evaluators) from year to year.

In any case there should be no conflict of interest: evaluators should not have any personal involvement with any of the proposals that are part of the review exercise!

Choosing the evaluators

Minimum **3 evaluating experts**

- Different nationalities
- No conflict of interest
with any proposal in the review
- Mix of expertise
min. 1 from proposal's technical field

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In most cases, each proposal is evaluated by (at least) 3 experts.

The evaluators all have a different nationality and the same nationality as from the proposal's coordinator (or important partners) is avoided.

As already mentioned: there should be no conflict of interest related to ANY PROPOSAL in the topics that are part of the review!

Bearing in mind that some topics may require specific expertise on business aspects or user needs or with knowledge of the framework conditions, each proposal has at least one evaluator who is expert in the proposal's exact technical field.

Now, let's see how the scoring of the proposals is done...

Scoring the proposals



- Evaluation scores are awarded per criterion
- **Individual criteria threshold:** (3/5) -> variable !
- **Total score threshold:** (10/15)->variable !

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Each proposal is scored against the same three criteria: 'excellence', 'impact' and 'quality and efficiency of the implementation'...we will get into those separately in the other presentations of this course.

Each of these criteria is scored from 0 to 5 and half point scores are allowed.

There is a threshold for each criterion that used to be 3 and ...

... the sum of the three scores has a threshold that used to be 10. But here again it's important to check the work programmes and topics, recently these thresholds have been increased quite frequently to 4 and 12 respectively: so please check the requirements in each topic!

Comments and justifications for each of the scores can be given and reported.

Proposals above threshold are not guaranteed to receive funding: that all depends on the available budget within the topics that share the same budget. So, some proposals may end up 'above threshold' but 'below funding'.

We'll see next how these quantitative scores are qualified...

Scores

0 ->	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, there are serious 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

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Take your time to read the explanation for each of the quantified scores. ...

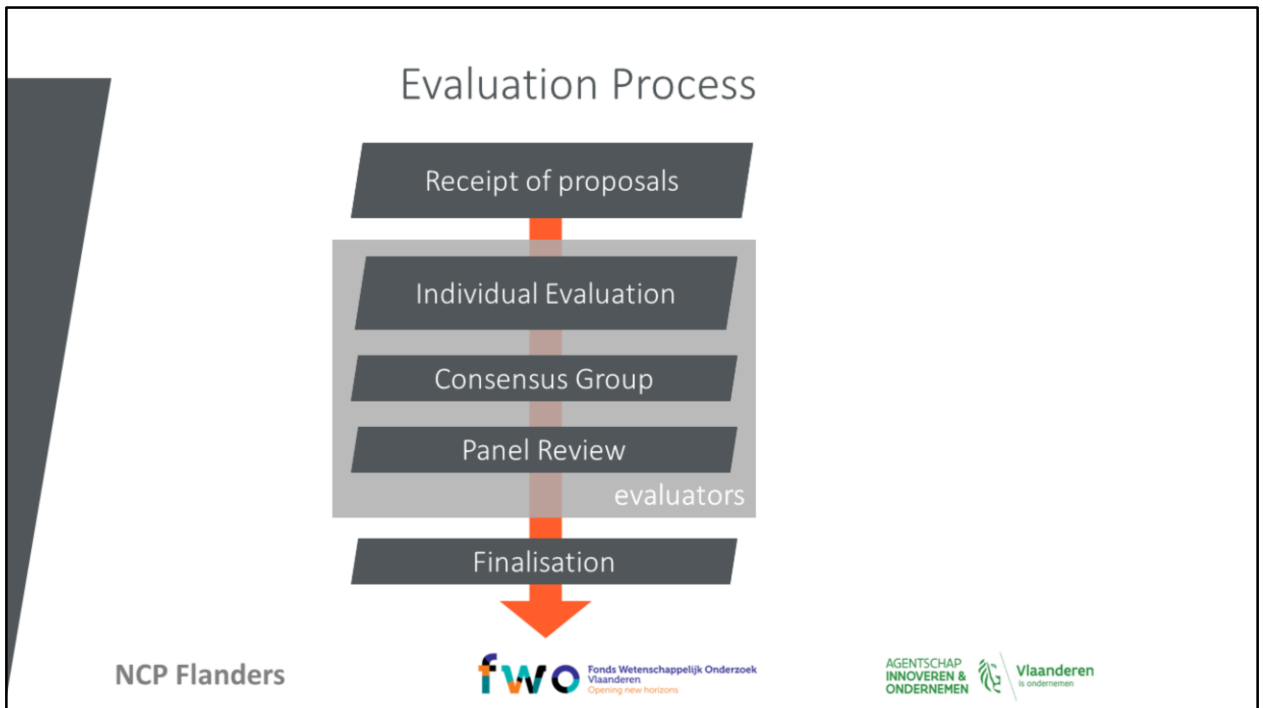
You can see that 'Good' is not good enough as it means that a number of shortcomings are present in the proposal.

A score of 'good' on each criterion will result in a total score of 9, which is below threshold of 10 and remember: even proposals above threshold may fall 'below available funding'.

Scores between 4 and 5 is what should be aimed for, for each of the three criteria! Only the best proposals have a chance of being funded!

We also mention that not only the proposals are not only in competition with the other proposals in that topic, but also with the proposals in the other topics that share the same dedicated budget.

It's important to mention that a lot of proposals are being submitted within a topic or a group of topics that have a common dedicated budget: after being scored individually they will be ranked in a panel review.



The panel review is where each proposal gets its place in a panel ranked list and where its ESR – Evaluation Summary Report – is being agreed on: the ESR is the information on the evaluation result that will be shared with the proposal’s participants.

The position in the ranked list determines if the proposal might receive funding... or not.

Ranking the proposal

- done by experts in a **Panel review**
- **cross-reading** in order to calibrate the treatment
- **1 ranked list** per (group of) topic(s) with dedicated budget



Main list 🤔

Reserve list
Below funding 😊
Below threshold

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The panel review is done by some of the experts that were involved in the individual reviews or consensus reviews of all the topics within the same dedicated budget.

The proposals are ‘cross-read’ in order to calibrate the scores (experts read proposals they did not evaluate individually).

The panel ranked list that results from the panel review has the following categories:

a ‘main list’ with proposals that might receive funding

a ‘reserve list’ with proposals that may in the end get funding if one or more proposals in the main list should drop out during their grant agreement preparation

a list ‘below funding’ with proposals that scored above threshold but don’t get funding because there is no more budget available

a list with the proposals that scored ‘below threshold’

Cross-reading and panel

- Cross-reading
 - *Usually no re-opening of the scientific evaluation*
 - *rather a general calibration of other issues*
- Cross-reading concentrates on proposals on the 'funding line', but can also verify top or bottom
- Based on cross-reading recommendations, scores can be changed by the panel (recorded in the panel report)

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Some further remarks on the panel review and cross-reading of the proposals...

Normally the scientific evaluation being done during the individual reviews is not re-opened in the panel review. Issues being addressed here relate to business case of the proposal, TRL approach (is the proposal convincingly describing how it will reach the envisaged technology readiness level?), IPR-issues etc...

In addition it mainly concentrates on the proposals that scored close to the "funding line" (= deciding which proposals will end just above it and get funding and which will just not get funding).

During the panel review scores can be changed.

Rules for the ranking

- Priority criteria
 - RIA – excellence > impact
 - IA – impact > excellence
 - other criteria such as:
 - SMEs (budget)
 - Gender (% and role)
- Additional rules for selection may be specified in the WP

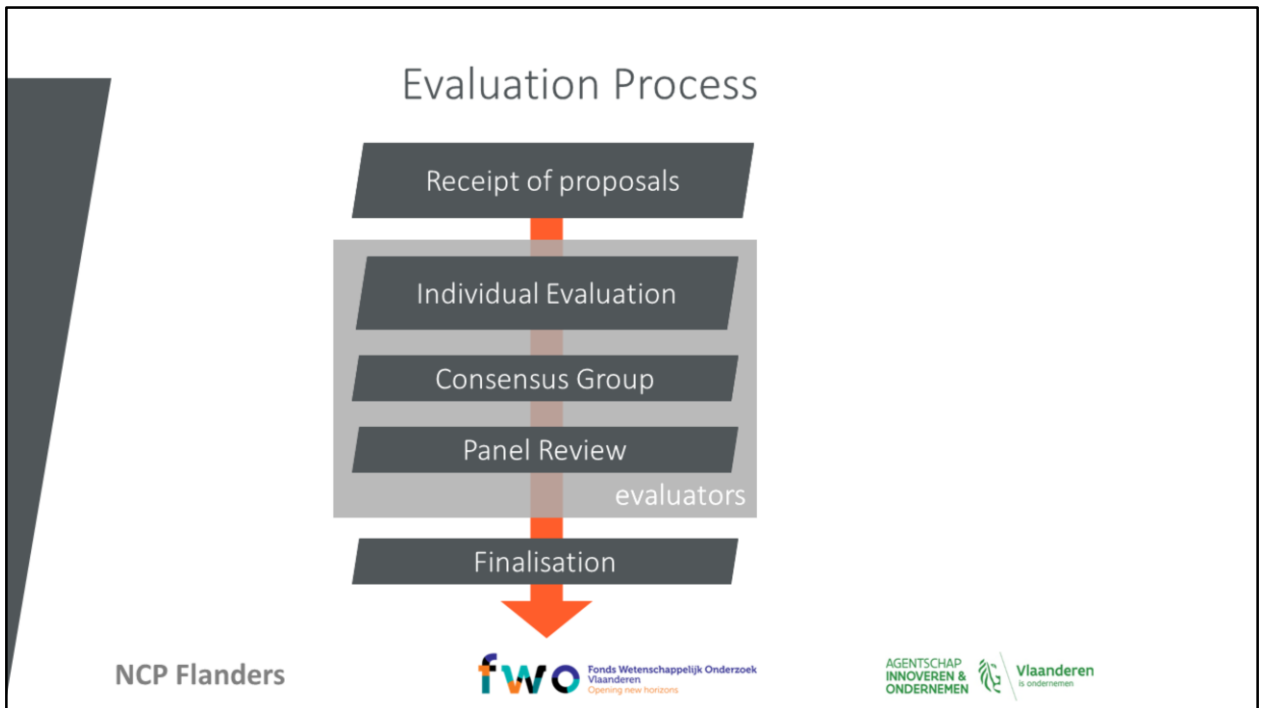
The three criteria being scored during the reviews don't always have the same importance or weight.

It's important to know that in topics for 'research and innovation actions' (RIA) the 'excellence' criterion is more important than the other two and for 'innovation actions' (IA) it's the 'impact' criterion that is the most important.

Other criteria related to presence of SMEs in the proposals' consortium or gender balance may also be taken into consideration (mainly for differentiating proposals that have equal scores otherwise).

To conclude we mention that additional rules may apply if specified in the topic's work programme.

So, now... what happens after the reviews?



After the panel review, the EC makes the final decisions and drafts the final ranked list with the categories mentioned earlier (main list, reserve list, below funding, below threshold).

We'll see shortly what happens after that... But before going into this, we mention that it is possible to request an evaluation review in case one does not agree with the evaluation result: this must be done on the participant portal within 30 days after being informed on the evaluation result.

The scope of such a review will only relate to the procedural aspects of the evaluation and to the contents of the evaluation summary report!

After the review

- The EC is making the final decisions:
 - *information to applicants: max 5 months after call deadline*
 - *Grant Agreement Preparation for 'main list' proposals*
 - *8 months from call deadline to signature of Grant Agreement*
- Close interaction with the beneficiaries on:
 - *Administrative issues*
 - *minor modifications on content (no negotiations!)*
- Grant Agreement signature
 - *Pre-financing to consortium*

After the reviews, the EC makes the final decisions and informs the applicants on the evaluation result of their proposal, within 5 months after the call deadline. This also triggers the start of the Grant Agreement Preparation phase for the proposals that made it to the 'main list'.

In important remark here: the 'EC panel' is composed of EC-officials and the info they use to make the final decisions consists of the summaries of each of the proposals (not the full proposals!), the scores and the panel review report.

Depending on the different topics being part of the evaluation exercise it may happen that a proposal with a lower score may receive funding when not enough proposals within one of these topics scores 'high enough' (at the cost of higher scoring proposals within topics that do have enough proposals).

It takes about 8 months starting from the call deadline to the signature of the Grant Agreement (!).

During that time there is close interaction with the beneficiaries of the proposal and the EC. In rare cases this may also be related to minor modifications on the content of the proposal (though there are no real negotiations!) but in most cases this relates to administrative issues which are dealt with through electronic communication as a rule.

After the grant agreement signature, the commission will deposit a first part of the funding as a 'pre-financing' of the project.

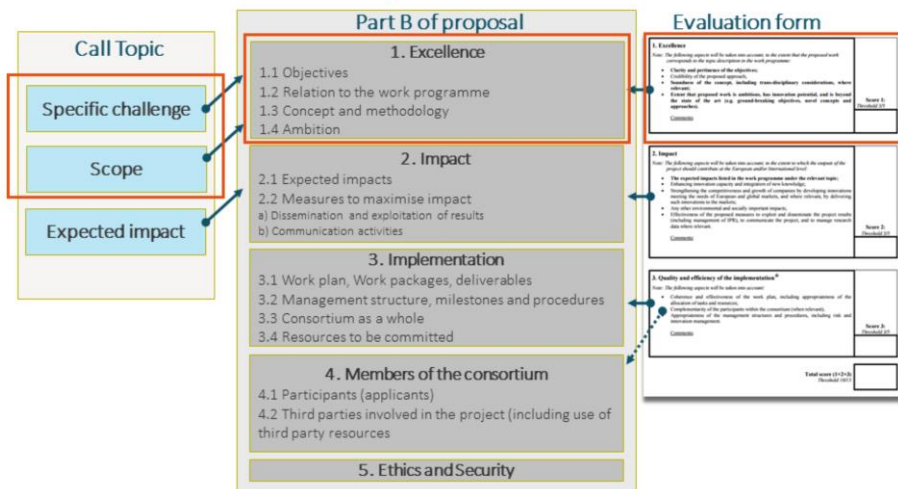
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EVALUATION – WHERE GOES WHAT?

1. The process steps
2. Evaluation criteria
 - Excellence
 - Impact
 - Quality of implementation

Now, let's move to the three evaluation criteria. We'll start with 'Excellence' ...

Relationships



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The EC's expectations related to a specific H2020-topic are phrased in the topic description that can be found on the H2020 participant portal. Such a topic description has a section describing the specific challenge that has to be addressed by proposals submitted for this topic, a section describing the scope of actions and technologies that are expected to be done and used and a section describing the impact that is expected from the projects proposed.

Virtually all information that relates to the evaluation criteria has to be provided in part B of the template you'll have to use for submitting a proposal.

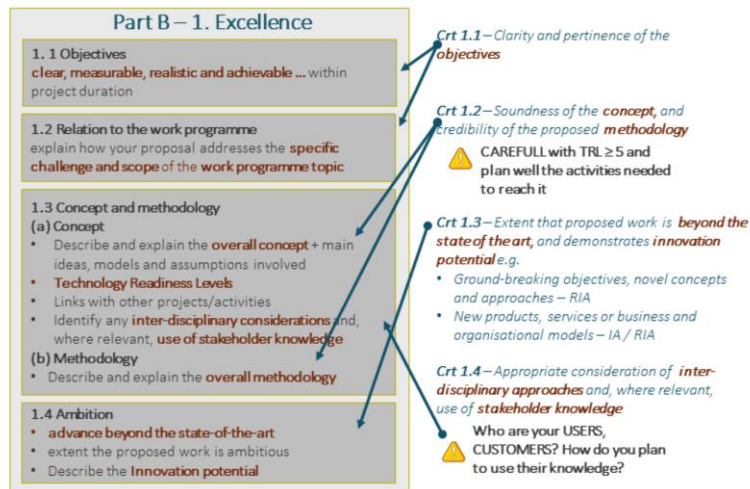
The reviewers that evaluate your proposal are using an 'evaluation form'.

When describing and explaining the evaluation criteria we will also show the relationship between the information in these three documents (topic description on participant portal, part B of your proposal, the evaluation form used by the reviewers).

Information on the EC's expectations related to the 'excellence criterion' is to be found in the 'specific challenge' and the 'scope' sections of the topic description; part B of the proposal template has a section specific to this criterion and the

evaluation form also has a specific section with several subcriteria against which proposals will be screened by the reviewers.

Excellence



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On the right of this slide the sub-criteria on ‘excellence’ used by the reviewers are listed. The arrows indicate the places in the proposal template where the reviewers will look for information on those sub-criteria. A few extra’s should be mentioned:

- Innovation Actions are typically aiming at project results with a TRL of 5 or more... in those cases it is crucial that your proposal describes the actions planned to reach that TRL !

- Related to stakeholder knowledge it’s important to know the potential users/customers of your project results and to know how you will involve them and get access to their knowledge.

Now, we will give some more comments on some of the sub-criteria...

Excellence – objectives

- Clear, measurable, realistic and achievable!
 - *Don't describe state of the art*
 - *Don't be vague*
- Pertinence
 - *Read topic challenge and scope and check your objectives against them*

OBJECTIVES also important because

- First section of proposal !
- Reviewers make up their minds VERY quickly

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Objectives should be clear, measurable (!), realistic and achievable WITHIN THE PROJECT you propose. So your objectives cannot be limited to state-of-the-art (SOTA) and you should not spend too much text on describing that SOTA. Be clear, concrete...

At least as important: your objectives should match what is described in the formal topic description at the participant portal of H2020 (= at least contributing to a solution of the 'specific challenge', using actions and technologies as described in the 'scope' and leading to the expected impacts).

Make sure that the description of your objectives catches the attention of the reviewers: it's the first thing they will read (they don't get to see the summary of your proposal that is part of part A of the template!) and they make up their minds very quickly.

Excellence – Ambition

- *Don't duplicate what already exists*
- *Innovation potential: in terms of product, process and service*

INNOVATION

Out in the real world:
how do we make a
difference?

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For Research and Innovation actions: your proposal should have something like ground-breaking objectives, novel concepts and approaches. Don't duplicate what already exists in any case...

Related to the innovation potential: this can relate to new products, services or business and organisational models.

Excellence – inter-disciplinarity & stakeholder knowledge

- Refers to approaches and methodologies **that integrate** as necessary (a) theories, concepts, knowledge, data and techniques **from two or more scientific disciplines** AND (b) non-academic and non-formalized knowledge...
- Non-formalized knowledge may come from relevant societal actors and stakeholders such as healthcare practitioners, farmers, user groups, etc..

	Person months
Research organisations	400
Cities	0

→

Call on improving air quality in cities.....
"All Workpackages require a high degree of transdisciplinary collaboration"

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This slide is self-explanatory ...

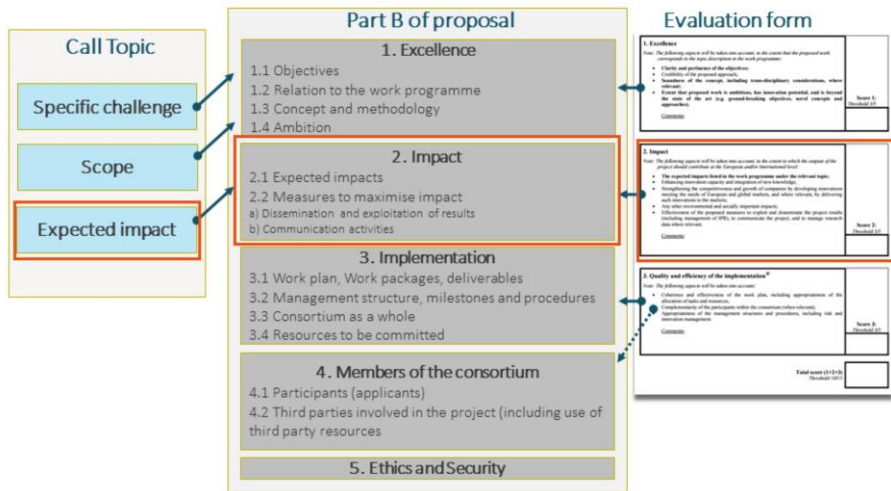
Let's move to some comments on the 'impact' criterion

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EVALUATION – WHERE GOES WHAT?

1. The process steps
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 - Excellence
 - **Impact**
 - Quality of implementation

Relationships



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The relationships between the topic description, proposal template and evaluation template are straightforward for the impact criterion: there is a one-to-one correspondence.

Impact – expected impacts

Part B – 2. Impact

2.1 Expected impacts

- each of the **expected impacts** mentioned under the relevant topic
- any substantial impacts **not mentioned in the work programme**
- Describe any barriers/obstacles, and any framework conditions

2.2 Measures to maximise impact

(a) Dissemination and exploitation of results

- draft 'plan for the dissemination and exploitation of the project's results'
- **Business plan** where relevant
- Outline the strategy for **knowledge management and protection (incl IPR)**
- **Open Research Data**-> information on how the participants will manage the research data generated and/or collected during the Project

(b) Communication activities

- **promoting the project and its findings**
-> tailored to different target audiences, including groups beyond the project's own community

Crt 2.1 – The extent to which the outputs would contribute to the **expected impacts listed in the work programme** under the relevant topic

Crt 2.2 – Any **substantial impacts not mentioned in the WP**, 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

more specific than WP impacts !

Enhancing innovation capacity

- Addressing barriers/obstacles, and any framework conditions such as regulation and standards;
- of the participating organisations/research community by enabling new processes or partnerships beyond the project consortium

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Let's start with the description of the expected impact in your proposal.

- You should describe how the outputs of your project would contribute to each of the expected impacts mentioned in the topic tekst and these should be MORE SPECIFIC than the descriptions in the topic tekst (!)
- In addition you may also mention any other impacts you expect from your project IF they fit the description under Crt 2.2 of this slide
- Last but not least you should also demonstrate that you are aware of the barriers/obstacles or conditions that may influence the outcomes of your project and of course also how you plan to deal with them...

Next are the measures you will have to take to maximise the impact of your project

...

Impact – measures to maximise...

Part B – 2. Impact

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Crt 2.3 – Quality of proposed measures to

- **exploit and disseminate** project results (including IPR, manage research data where relevant)

⚠ BUSINESSPLAN - IA

- **communicate** the project activities to different target audiences

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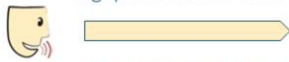
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These relate to the dissemination and exploitation of the project results and to the communication activities to different audiences including your stakeholders. Several aspects are important here: IPR issues, research data, etc... For Innovation Actions the exploitation plan typically includes a business plan for a realistic business case related to the project results

Dissemination ≠ Communication

Dissemination -> one direction path (mainly presenting results)

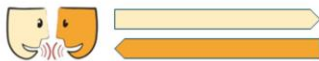
e.g. presentation at conferences, publications in peer review journals



. Dissemination plan: raise awareness about project results

Communication -> two directions path (results and project activities)

e.g. organising workshops with users, discuss with customers, etc...



. Communication plan: tailored to the needs of various audiences

Only a reference to a list of planned communication actions is not enough!

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Before getting into one of the afore mentioned issues it's important to mention that there's a difference between dissemination and communication.

Dissemination is a one direction path: presenting the project results (conferences, peer review journals). It is aimed at raising the awareness of the project results. Communication is bi-directional: it's also aimed at getting information from your stakeholders (users, customers, ...) that is valuable for the project.

The communication plan should be tailored to the needs of the different audiences you want to address (it's more than a list of planned communication actions)

Impact - Exploitation

Dissemination ≠ Communication ≠ Exploitation

- **Exploitation plan**
 - At which technological readiness level (TRL) do you start and how will you reach the TRL you aim for as expressed in your proposal's objectives?
 - What are the needed business models and marketing activities and how will they be decided amongst the partners?
- **Common mistakes in Exploitation**
 - **Lack of a clear exploitation strategy** (especially important for IA !)
 - **No clear indication of the results that will be exploited** (which way, by whom?)
 - **IPR issues left to the consortium agreement only** (access to background, results exploitation)

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A few words on 'exploitation'.

The exploitation plan has to demonstrate how your project will move from the initial TRL to it's final TRL and also elaborate on the needed business models and marketing activities. The plan should cover a period that goes 4 years beyond the end of the project.

We also mention a few common mistakes in proposals related to the 'exploitation'.

Impact – Exploitation Steps to impact

STEPS TO IMPACT and relation to (role of) stakeholders

EXAMPLE: A new diagnostic or clinical technology has been adopted

- the research results will be tested in hospitals (healthcare professionals/hospitals)
- Positive results will lead to larger scale trials (more of the above + patient organisations)
- The new technology is incorporated in diagnostic or clinical equipment (equipment manufacturers, operators/users)
- Hospitals acquire and use the improved equipment (health budget holders/hospital mngmnt)

Roles in the project

- Partner (exploitation plan incl. business case in proposal!)
- Member of user group
- Target for communication (plan for each role!)
- Other...

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Using an example we want to show the importance of carefully considering the different roles that may exist for your stakeholders.

In order for a new medical diagnostic technology to be adopted, several steps have to be taken involving different stakeholders with different roles.

It's important to stress that each project partner (one of the roles!) needs to have an exploitation plan including a business case: each partner should be able to explain why they are in the project and it's only credible if they are in because they are interested in the project results...

We list a few possible roles stress again that your communication plan should be tailored to each of them

Impact – Exploitation - IPR

Management of Intellectual Property Rights (IPR): Demonstration of specific measures in scope ownership, access/use, etc. during and after the project

1. Identify your **own background** (*data, know-how and/or information held or identified by participants prior to their involvement in the project*)
2. Verify if **background of third parties** is needed. If yes, what are their access rights? Need for authorisation to use and exploit the results?
3. Check the state-of-the-art: **existing patents?** E.g. via search in database provided by European Patent Office (Espacenet)

1. Specify the **ownership of the results**: who owns what? Any transfers? On which conditions?
2. Is there a need to **protect the results?** If yes, assign cost. Assure appropriate usage rights for key IP during AND after the project (*results and background*)

A short reference to the IPR "to be developed" in the Consortium Agreement is not sufficient !

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Now, let's get into some important points related to IPR issues that should be addressed in your proposal.

Background information and know-how may be available in the consortium that is necessary as input to the project: access to that knowledge needs to be secured.

Perhaps background of third parties is needed: if so, what are the access rights? How to use them and what about exploitation after the project?

Check existing patents that may be relevant: is there freedom to operate?

What about the rights on the project results: who will own what? Make sure that the results remain accessible to all project partners in order to allow them to exploit them (also after the project!).

So, a short reference to the IPR 'to be developed in the consortium agreement' is mostly not very convincing for the reviewers.

Impact – Exploitation

Open research data (1/2)

Open Access to scientific publications is an obligation under H2020
=> online access at no charge to **peer-reviewed scientific publications**

Two main OA publishing models

- **Self-archiving:** traditional publication plus deposit of manuscripts in a repository ('Green OA')
 - Both versions contain the same peer-reviewed content, but may be differently formatted / also usually (not always) with embargo
- **OA publishing:** immediate OA provided by the publisher ('Gold OA')
 - Usually, but not always, 'Author-pay' model (APC)
 - Some journals offer both subscriptions and open access publishing to selected on-line articles (hybrid journals)

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Open access to scientific publications is an obligation under H2020, two OA models can be used: 'Green OA' (self archiving) of 'Gold OA' (OA provided by the 'external' publisher).

Impact – Exploitation

Open research data (2/2)

- Open research data sharing applies to the **data needed to validate the results presented in scientific publications**
- Additionally , projects can choose to **make other data available** in open access and need to describe their approach in a **Data Management Plan (DMP)**, included as a deliverable in the project
- Costs related to data management and data sharing are eligible for reimbursement during the project duration
- Now by **default obligatory** for all topics
 - **Except if they decide to opt-out** (for example for commercial reasons, see WP annex L). Projects can opt-out at any stage.
 - Proposals will not be evaluated more favourably for participating nor penalised for opting out

https://ec.europa.eu/research/press/2016/pdf/opendata-infographic_072016.pdf

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Open research data sharing = only to data needed to validate the results presented in the scientific publications... additional data can also be made available. All this needs to be described in a 'Data management plan' and this is a deliverable of the project.

OA is obligatory unless one wants to opt-out (see annex L) and the infographic.

Achieving Impact

- Read workprogramme/topic; identify potential impacts (societal/economic)
- Identify steps needed to achieve those impacts AND related stakeholders
- Decide stakeholder roles (partner/consortium member, user group, ...)
- Decide on IP strategy to support impact
- Plan exploitation and communication to involve stakeholders

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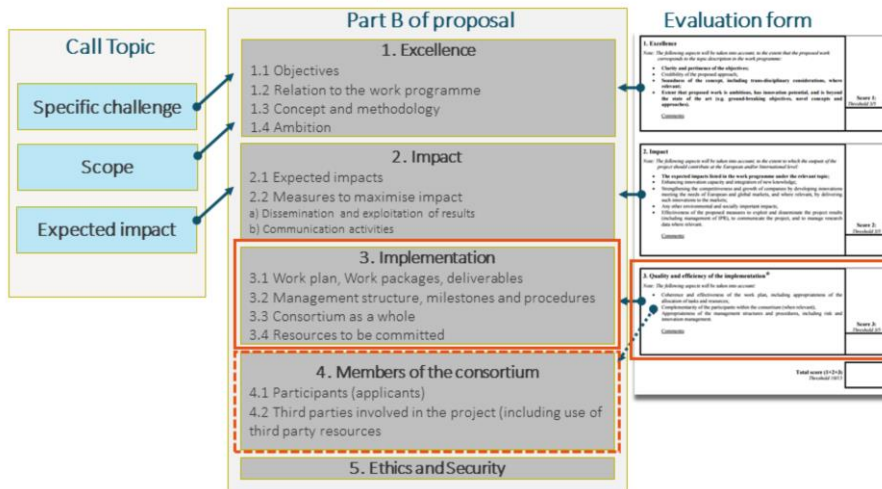
Some final tips to achieve impact with your project before we move to the last evaluation criterion: 'Quality of implementation'

HORIZON 2020

EVALUATION – WHERE GOES WHAT?

1. The process steps
2. Evaluation criteria
 - Excellence
 - Impact
 - Quality of implementation

Relationships



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There's a separate heading in the proposal template related to implementation of the project. In addition the heading on 'members of the consortium' is also very relevant for this evaluation criterion.

Implementation

Part B – 3. Implementation

- 3.1 Work plan – Work packages, deliverables**
 - **overall structure** of the work plan
 - timing of the different work packages **Gantt chart**
 - detailed work description (**WP, deliverables, ...**)
 - Pert chart or similar (**inter-relation of the WPs**)
- 3.2 Management structure, milestones and procedures**
 - **Organisational structure** and the **decision-making mechanisms** + why they are appropriate to the complexity and scale of the project
 - where relevant, **Innovation management**
 - Describe **any critical risks**, relating to project implementation + **mitigation measures**
- 3.3 Consortium as a whole**
 - Describe the **consortium**
 - Describe the **contribution of each partner**
 - If a participant requesting EU funding is based in a country or is an international organisation that is not automatically eligible for funding, **explain why the participation of the entity in question is essential to carrying out the project**
- 3.4 Resources to be committed**
 - table showing number of perso/months required
 - table showing '**other direct costs**' for participants where those costs **exceed 15% of the personnel costs**

Crt 3.1 – Quality and effectiveness of the **work plan**, including extent to which **resources assigned in work packages** are in line with the objectives/deliverables

Extensions in time: as a rule not allowed!

Crt 3.2 – Appropriateness of **management structures and procedures**, including **risk and innovation management**

Crt 3.3 – Complementarity of the participants and expertise which the **consortium** as a whole brings together

Crt 3.4 – Appropriateness of allocation of tasks, ensuring that all participants have a **valid role** and **adequate resources** in the project to fulfil that role



AVOID EMPTY SHELLS!

Explain well **HIGH OTHER DIRECT COSTS!**

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There are four sub-criteria that are being screened by the reviewers related to 'Quality of implementation'.

Implementation

Part B – 4. Members of the consortium

4.1 Participants (applicants)

- a description of the legal entity and its main tasks
- a curriculum vitae + profile of the persons
- a list of up to 5 relevant publications, and/or products, services
- a list of up to 5 relevant previous projects or activities
- a description of any significant infrastructure and/or any major items of technical equipment

4.2 Third parties involved in the project (including use of third party resources)

- Does the participant plan to **subcontract** certain tasks (please note that core tasks of the project should not be sub-contracted)
- Does the participant envisage that part of its work is performed by **linked third parties**
- Does the participant envisage the use of **contributions in kind provided by third parties** (Articles 11 and 12 of the General Model Grant Agreement)

This section is not covered by the page limit.

*The information provided here will be used to judge the **operational capacity***

⚠ Explain well THE REASON FOR SUBCONTRACTORS, especially if the related costs are high, and be careful with predefined subcontractors

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Heading four on 'members of the consortium' is supposed to provide detailed information on the participants/partners of the consortium. It is used to judge the operation capacity of the consortium.

When subcontracting is foreseen: be sure to explain WHY and also choose them according to objective criteria (best value for money!).

This section is not covered by the page limit for proposals

Implementation – Work plan & deliverables

- The proposal should be about **1 project**
 - Workpackages should be logically interlinked
 - Workpackages for 'project management' and for 'exploitation & dissemination' are strongly advised!
- **NO extensions in time allowed, but work needs to be done!**
- **Most WP's need involvement of multiple partners to be credible**
- **If SMEs: integrated in the WP's (NO separate SME-WP)**
- **Provide deliverables**
 - Numbered
 - Clear
 - Spread over the course of the project: **need for EARLY deliverables!**
 - Rough guide: 1 deliverable/person year

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A few suggestions on the work plan and deliverables:

- The proposal should be coherent... it should describe 1 project
- Be aware that the EC does not allow extensions in time
- The work packages should be credible -> in most of them multiple partners should be involved! SMEs should be integrated in the work packages (no separate SME-WP !!)
- Deliverables should be spread over the course of the project (provide early deliverables ... rule of thumb = 1 deliverable/personyear)

Implementation – Work plan & deliverables (2)

- For each Work Package in the proposal
 - List participants
 - Their expected involvement in person months
 - Objectives (best is one objective/WP)
 - Description of the work
 - Tasks needed to achieve objective(s) and justifying the person months
 - Deliverables (refer to number)

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For each work package in your proposal, it should be clear who will be involved and what they will do. In addition the objective of the wp should be clear. Also describe the actions that were needed to achieve this objective and justify the resources you foresee. To conclude on this: mention the deliverables of each work package.

Implementation – Management

- **How are you going to handle problems?**
- Every WP should have a WP-leader: together =MNGMNT Committee
- Innovation Management ! (if not integrated in mngmnet committee)
- Yearly meetings + at milestones
- Consortium agreement has a management part, describe how to decide on:
 - Changing participants
 - Updating plan
 - Re-allocating budgets
 - Approving reports and deliverables
 - ...
- Describe risks related to project implementation

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A few words on managing the project:

- Basically managing the project is about how problems will be prevented and if they occur how they will be handled
- Make sure that each work package has a WP-leader: all these leaders make up a 'management committee'
- Especially for Innovation Actions it may be a good idea to have a separate group for managing the 'Innovations' that are targeted by your project.
- Plan at least a yearly meeting + also at the milestones of your project!
- The consortium agreement should also have a part on management describing amongst other things how changes in the consortium will be decided on, how updating the project plan or re-allocating budget parts will be decided on, ...

Implementation – Consortium

- Describe the consortium as a whole
- Describe the role of each partner
 - Tasks in the project
 - For each of these tasks: relevant expertise
- If funding asked for partners that are not automatically eligible: **Explain why you need this partner!**
- Check each partner's **planned effort** (make a table with planned effort in mandays per WP versus Partner)
 - Each WP ONE leader?
 - No unneeded partners (sign = effort in each WP same)?
 - No specific WPs for specific partners like SMEs?

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Last slide: some remarks on the info you have to provide related to your consortium and it's efforts in the project:

Your consortium should be described as a whole and also the role and tasks of each partner should be elaborated (and make clear why each partner is suited to perform these tasks = link these tasks to it's relevant expertise)

If partners that are not eligible for funding are involved in the consortium, you have to explain why you choose them over others that might have been eligible.

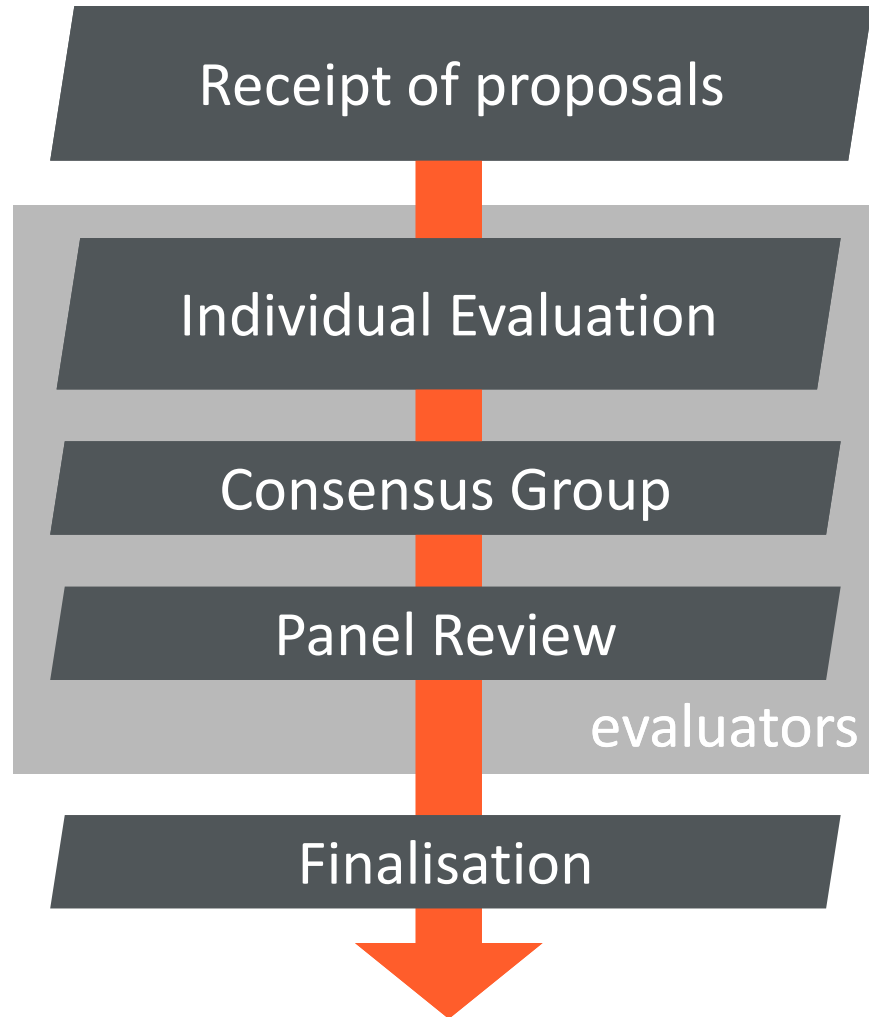
Make a table showing all work packages and all project partners and include the planned effort of each partner in each of those work packages. Check if there's a (1 !!) leader for each package, check for unneeded partners (frequently indicated by the fact that their involvement is the same in each package) and finally if SME's are involved make sure that it's effort is distributed over several work packages (no separate SME Workpackage !)

HORIZON 2020

EVALUATION – WHERE GOES WHAT?

1. The process steps
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Evaluation Process



Standard eligibility criteria

1. Content corresponds, **wholly or in part**, to the topic description
2. Proposal complies with **minimum participation rules**

RIA

Research & Innovation Actions

a. **Three** legal entities

b. Established in **different** Member States
or Associated **Countries**

IA

Innovation Actions

c. **Independent** of each other

ERC (EU Research Council)

CSA (Coordination and support)

SME Instrument

both Phase I and Phase 2

One legal **entity** established in Member State
or Associated Country

Standard admissibility criteria

- on time
- at the right place
- complete
- readable, accessible and printable
- plan dissemination & exploitation
- Respecting page limit
 - RIA/IA: 70
 - CSA: 50
 - First stage: 10

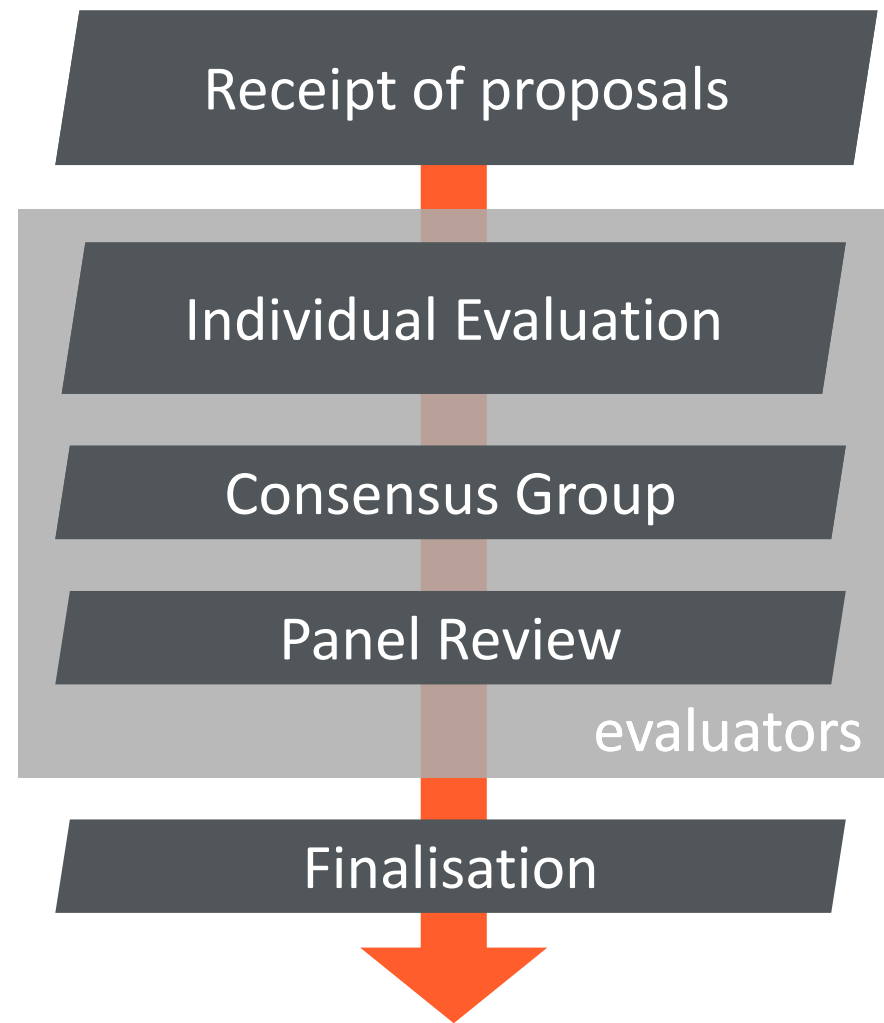
Standard admissibility criteria

Respecting **page limit**

NON-including:

- information participating organisations
- cv's
- publications and research of innovation products
- relevant previous projects/activities
- relevant infrastructure and equipment
- third parties
- ethics self assessment
- data management plan

Evaluation Process



Basic principles

1. Excellence, transparency, fairness, impartiality, efficiency and speed
2. Done **by independent experts**
 - *Balanced team*
 - *Regular turnover*
 - *No conflict of interest!*

Choosing the evaluators

Minimum 3 evaluating experts

- Different nationalities
- No conflict of interest
with any proposal in the review
- Mix of expertise
min. 1 from proposal's technical field

Scoring the proposals



Per criterion:

- Assessment,
- comments
- justifications

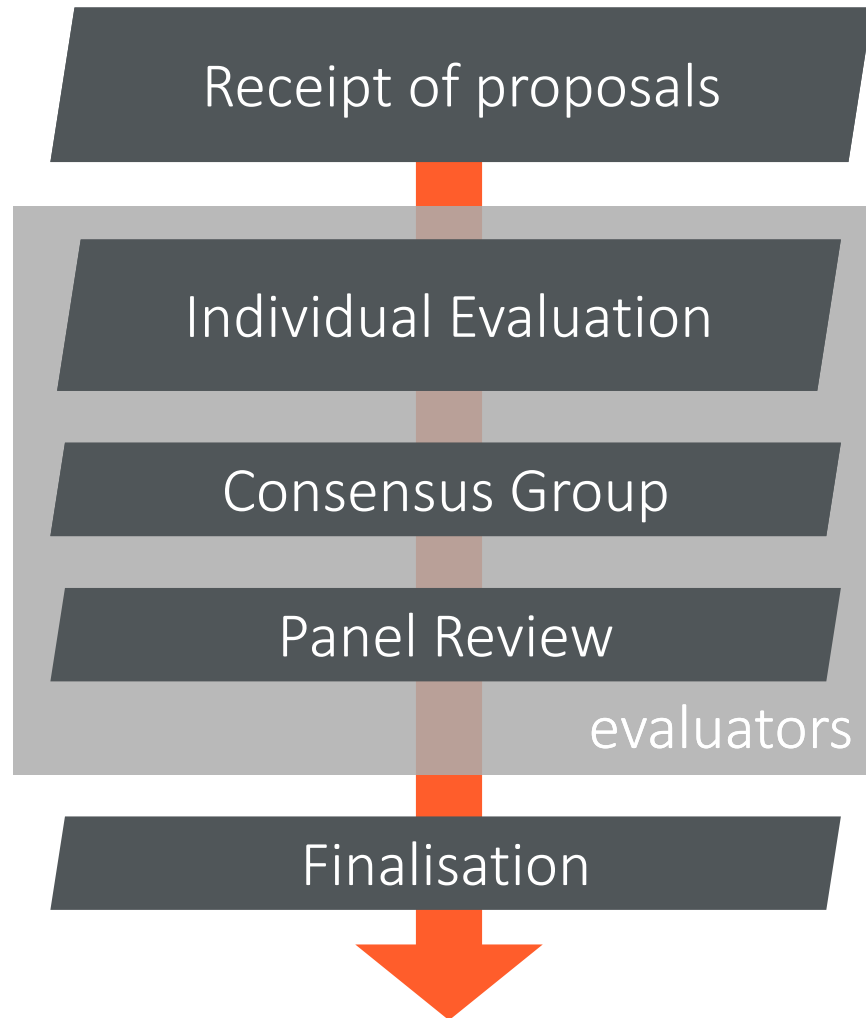
Σ -> 12 out of 15

- Evaluation scores are awarded per criterion
- Individual criteria threshold: (3/5) -> variable !
- Total score threshold: (10/15)->variable !

Scores

- 0 -> 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, there are serious **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 Process



Ranking the proposal

- done by experts in a **Panel review**
- **cross-reading** in order to calibrate the treatment
- **1 ranked list** per (group of) topic(s) with dedicated budget



Main list



Reserve list

Below funding

Below threshold



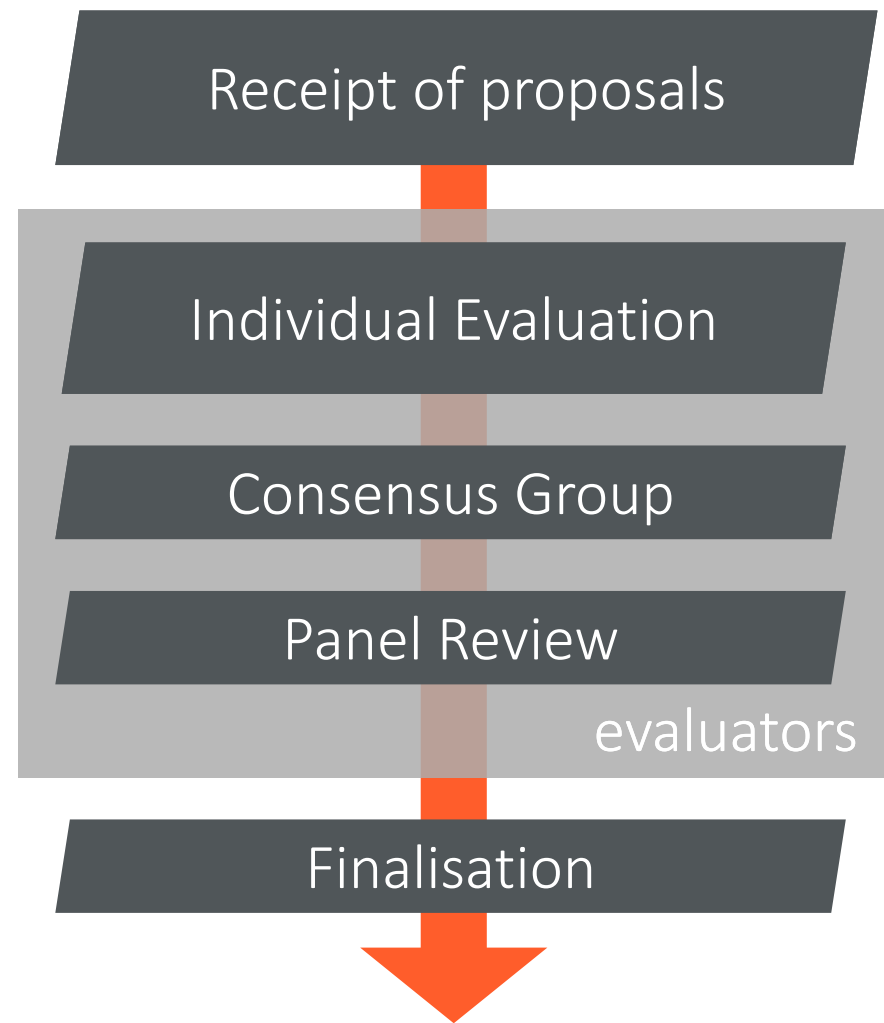
Cross-reading and panel

- Cross-reading
 - *Usually no re-opening of the scientific evaluation*
 - *rather a general calibration of other issues*
- Cross-reading concentrates on proposals on the 'funding line', but can also verify top or bottom
- Based on cross-reading recommendations, scores can be changed by the panel (recorded in the panel report)

Rules for the ranking

- Priority criteria
 - RIA – excellence > impact
 - IA – impact > excellence
 - other criteria such as:
 - SMEs (budget)
 - Gender (% and role)
- Additional rules for selection may be specified in the WP

Evaluation Process



After the review

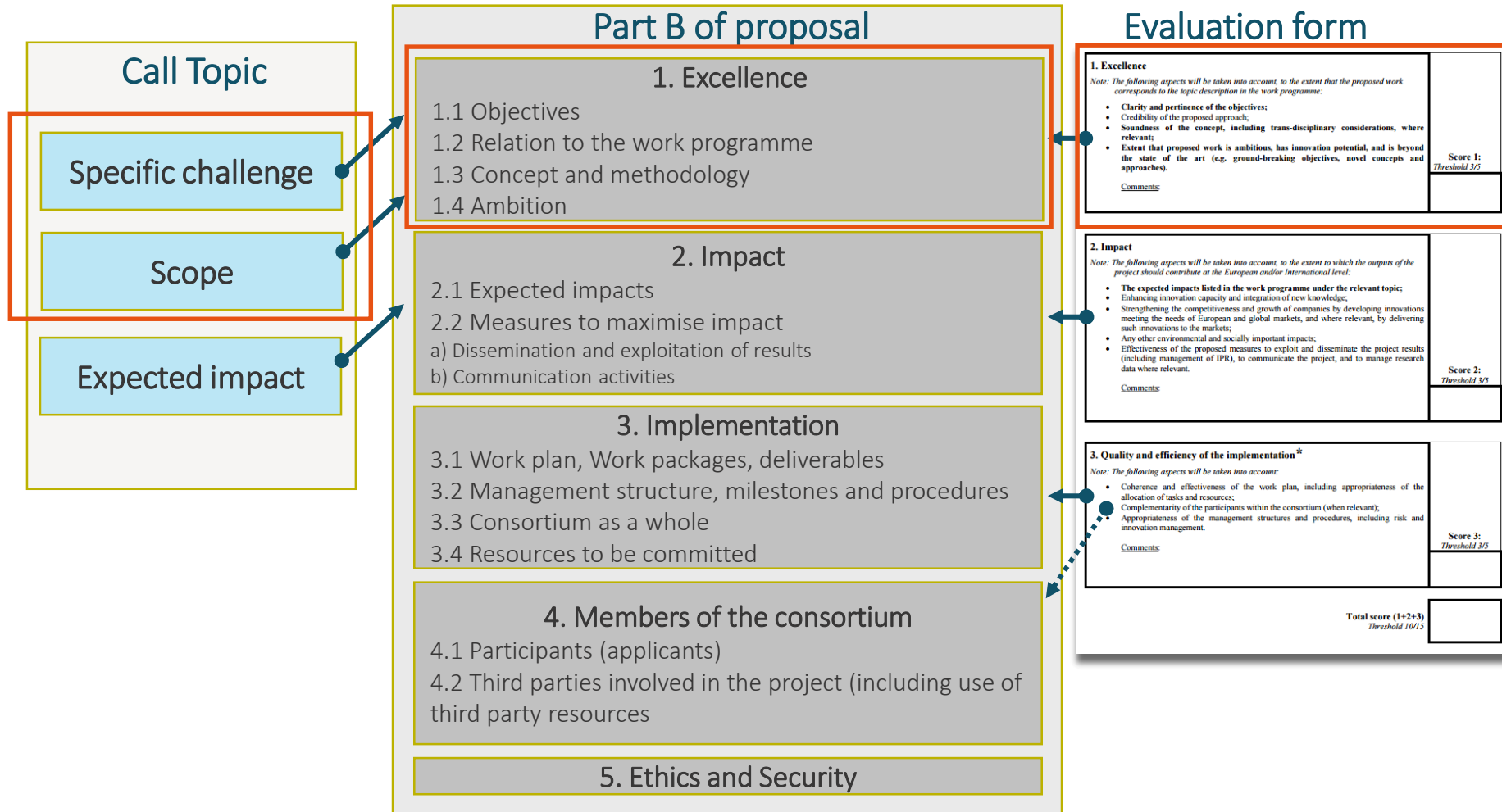
- The EC is making the final decisions:
 - *information to applicants: max 5 months after call deadline*
 - *Grant Agreement Preparation for 'main list' proposals*
 - *8 months from call deadline to signature of Grant Agreement*
- Close interaction with the beneficiaries on:
 - *Administrative issues*
 - *minor modifications on content (no negotiations!)*
- Grant Agreement signature
 - *Pre-financing to consortium*

HORIZON 2020

EVALUATION – WHERE GOES WHAT?

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Relationships



Excellence

Part B – 1. Excellence

1.1 Objectives

clear, measurable, realistic and achievable ... within project duration

1.2 Relation to the work programme

explain how your proposal addresses the **specific challenge and scope** of the **work programme topic**

1.3 Concept and methodology

(a) Concept

- Describe and explain the **overall concept** + main ideas, models and assumptions involved
- **Technology Readiness Levels**
- Links with other projects/activities
- Identify any **inter-disciplinary considerations** and, where relevant, **use of stakeholder knowledge**

(b) Methodology

- Describe and explain the **overall methodology**

1.4 Ambition

- **advance beyond the state-of-the-art**
- extent the proposed work is ambitious
- Describe the **Innovation potential**

Crt 1.1 – Clarity and pertinence of the **objectives**

Crt 1.2 – Soundness of the **concept**, and credibility of the proposed **methodology**



CAREFULL with TRL ≥ 5 and plan well the activities needed to reach it

Crt 1.3 – Extent that proposed work is **beyond the state of the art**, and demonstrates **innovation potential** e.g.

- Ground-breaking objectives, novel concepts and approaches – RIA
- New products, services or business and organisational models – IA / RIA

Crt 1.4 – Appropriate consideration of **inter-disciplinary approaches** and, where relevant, use of **stakeholder knowledge**



Who are your **USERS, CUSTOMERS?** How do you plan to use their knowledge?

Excellence – objectives

- Clear, measurable, realistic and achievable!
 - *Don't describe state of the art*
 - *Don't be vague*
- Pertinence
 - *Read topic challenge and scope and check your objectives against them*

OBJECTIVES also important because

- First section of proposal !
- Reviewers make up their minds VERY quickly

Excellence – Ambition

- *Don't duplicate what already exists*
- *Innovation potential: in terms of product, process and service*

INNOVATION

Out in the real world:
how do we make a
difference?

Excellence – inter-disciplinarity & stakeholder knowledge

- Refers to approaches and methodologies **that integrate** as necessary (a) theories, concepts, knowledge, data and techniques **from two or more scientific disciplines AND** (b) non-academic and non-formalized knowledge...
- Non-formalized knowledge may come from relevant societal actors and stakeholders such as healthcare practitioners, farmers, user groups, etc..

	Person months
Research organisations	400
Cities	0

Call on improving air quality in cities.....

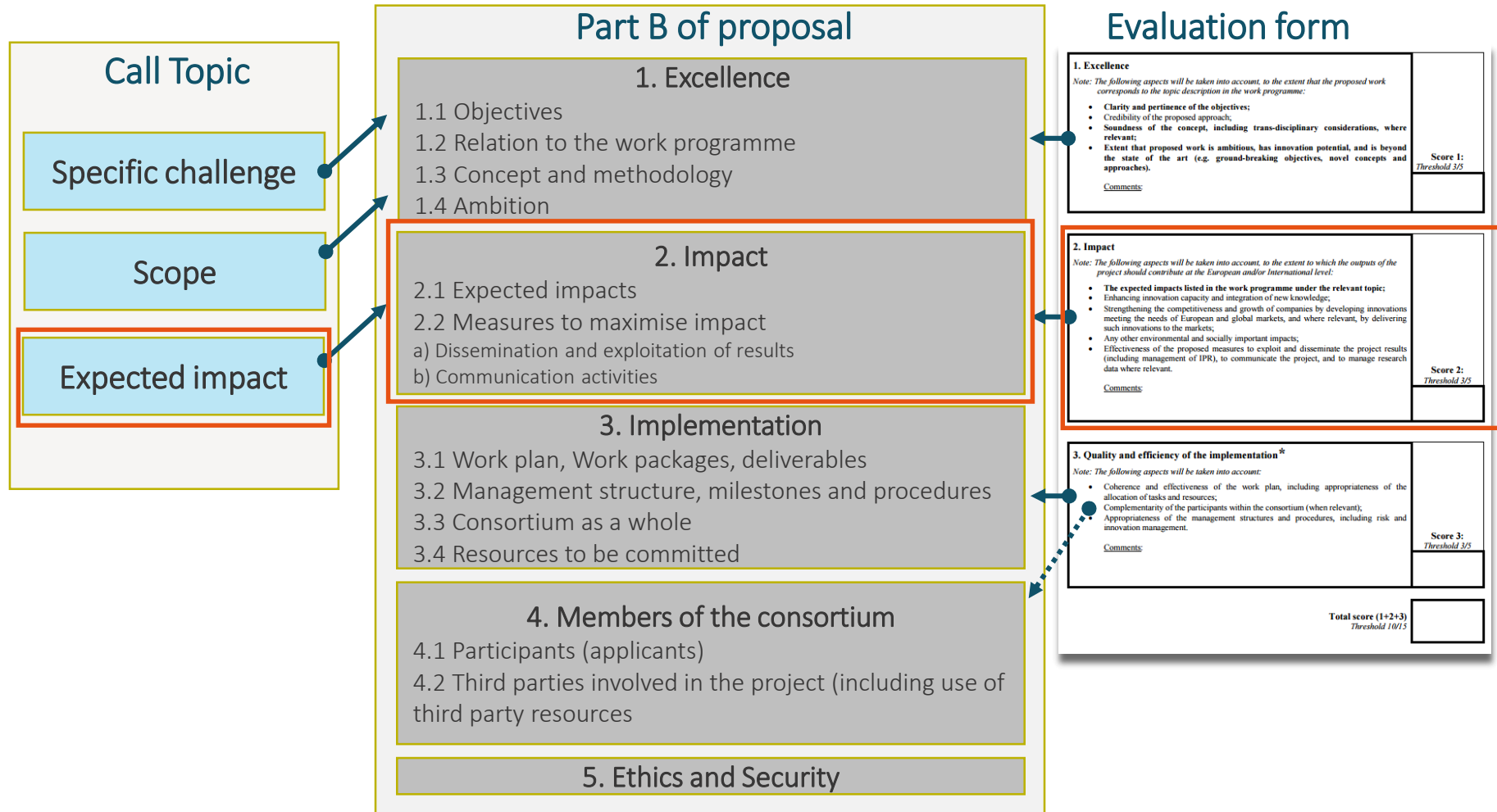
“All Workpackages require a high degree of transdisciplinary collaboration”

HORIZON 2020

EVALUATION – WHERE GOES WHAT?

1. The process steps
2. Evaluation criteria
 - Excellence
 - **Impact**
 - Quality of implementation

Relationships



Impact – expected impacts

Part B – 2. Impact

2.1 Expected impacts

- **each of the expected impacts** mentioned under the relevant topic
- any substantial impacts **not mentioned in the work programme**
- Describe any barriers/obstacles, and any framework conditions

2.2 Measures to maximise impact

(a) Dissemination and exploitation of results

- **draft 'plan for the dissemination and exploitation** of the project's results'
- **Business plan** where relevant
- Outline the strategy for **knowle management and protection (incl IPR)**
- **Open Research Data** -> information on how the participants will manage the research data generated and/or collected during the Project

(b) Communication activities

- **promoting the project and its findings**
- > tailored to different target audiences, including groups beyond the project's own community

*Crt 2.1 – The extent to which the outputs would contribute to the **expected impacts listed in the work programme** under the relevant topic*

more specific than WP impacts !

*Crt 2.2 – Any substantial **impacts not mentioned in the WP**, 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*

Enhancing innovation capacity

- **Addressing barriers/obstacles, and any framework conditions such as regulation and standards;**
- **of the participating organisations/research community by enabling new processes or partnerships beyond the project consortium**

Impact – measures to maximise...

Part B – 2. Impact

2.1 Expected impacts

- **each of the expected impacts** mentioned under the relevant topic
- any substantial impacts **not mentioned in the work programme**
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(b) Communication activities

- **promoting the project and its findings**
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Crt 2.3 – Quality of proposed measures to

- **exploit and disseminate** project results (including IPR, manage research data where relevant)

 **BUSINESS PLAN - IA**

- **communicate** the project activities to different target audiences

Dissemination ≠ Communication

Dissemination -> one direction path (mainly presenting results)

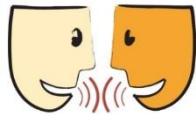
e.g. presentation at conferences, publications in peer review journals



. Dissemination plan: raise awareness about project results

Communication -> two directions path (results and project activities)

e.g. organising workshops with users, discuss with customers, etc...



. Communication plan: tailored to the needs of various audiences

Only a reference to a list of planned communication actions is not enough!

Impact - Exploitation

Dissemination ≠ Communication ≠ Exploitation

- Exploitation plan
 - At which technological readiness level (TRL) do you start and how will you reach the TRL you aim for as expressed in your proposal's objectives?
 - What are the needed business models and marketing activities and how will they be decided amongst the partners?
- Common mistakes in Exploitation
 - **Lack of a clear exploitation strategy** (especially important for IA !)
 - **No clear indication of the results that will be exploited** (which way, by whom?)
 - **IPR issues left to the consortium agreement only** (access to background, results exploitation)

Impact – Exploitation

Steps to impact

STEPS TO IMPACT and relation to (role of) stakeholders

EXAMPLE: A new diagnostic or clinical technology has been adopted

- the research results will be tested in hospitals (healthcare professionals/hospitals)
- Positive results will lead to larger scale trials (more of the above + patient organisations)
- The new technology is incorporated in diagnostic or clinical equipment (equipment manufacturers, operators/users)
- Hospitals acquire and use the improved equipment (health budget holders/hospital mngmnt)

Roles in the project

- Partner (exploitation plan incl. business case in proposal!)
- Member of user group
- Target for communication (plan for each role!)
- Other...

Impact – Exploitation - IPR

Management of Intellectual Property Rights (IPR): Demonstration of specific measures in scope ownership, access/use, etc. during and after the project

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Impact – Exploitation

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Impact – Exploitation

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https://ec.europa.eu/research/press/2016/pdf/opendata-infographic_072016.pdf

Achieving Impact

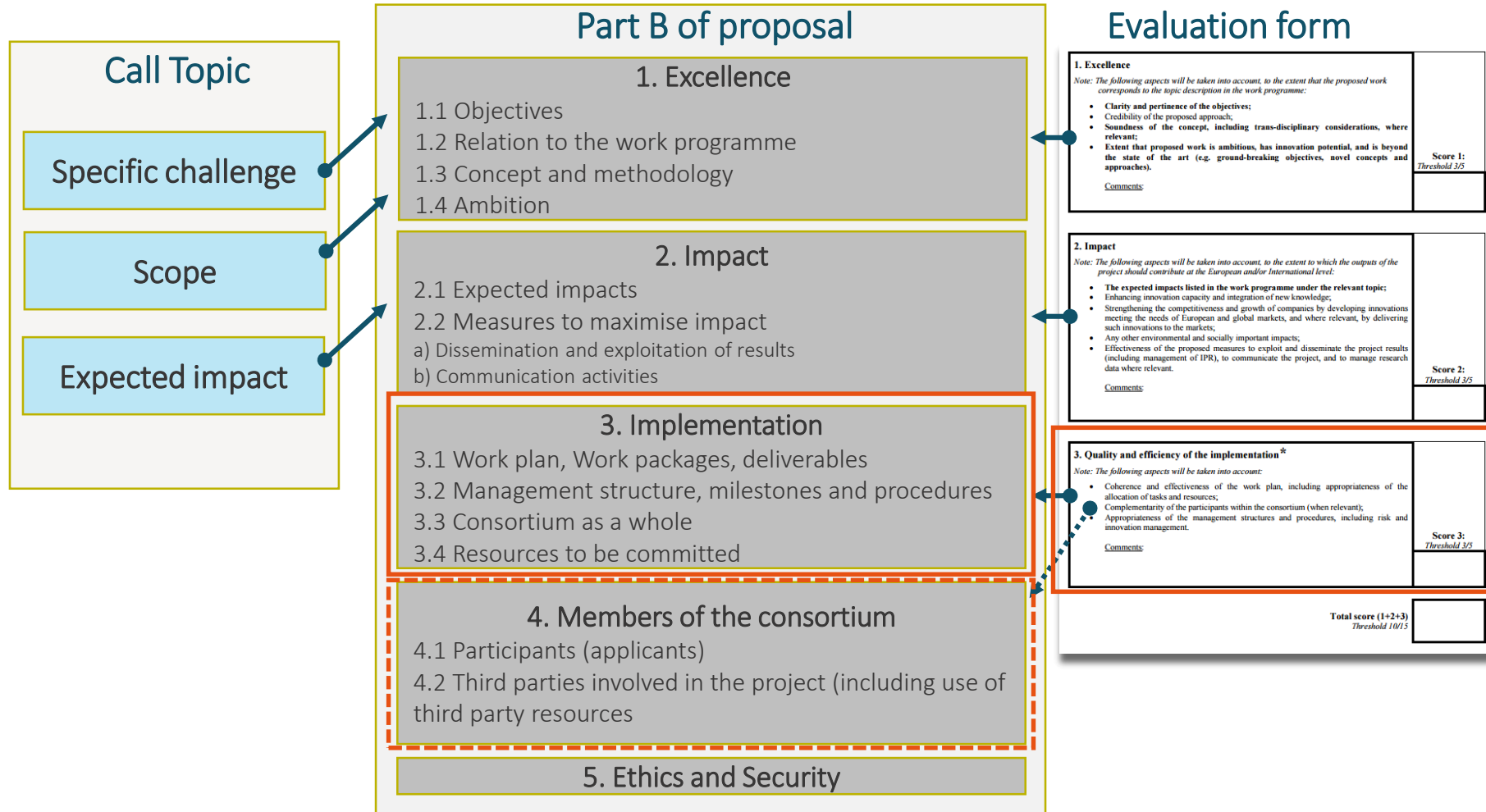
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Relationships



Implementation

Part B – 3. Implementation

3.1 Work plan – Work packages, deliverables

- **overall structure** of the work plan
- timing of the different work packages **Gantt chart**
- detailed work description (**WP, deliverables, ...**)
- Pert chart or similar (**inter-relation of the WPs**)

*Crt 3.1 – Quality and effectiveness of the **work plan**, including extent to which **resources assigned in work packages** are in line with the objectives/deliverables*

Extensions in time: as a rule not allowed!

3.2 Management structure, milestones and procedures

- **Organisational structure** and the **decision-making mechanisms** + why they are appropriate to the complexity and scale of the project
- where relevant, **Innovation management**
- Describe **any critical risks**, relating to project implementation + **mitigation measures**

*Crt 3.2 – Appropriateness of **management structures** and procedures, including **risk and innovation management***

3.3 Consortium as a whole

- Describe the **consortium**
- Describe the **contribution of each partner**
- If a participant requesting EU funding is based in a country or is an international organisation that is not automatically eligible for funding, **explain why the participation of the entity in question is essential to carrying out the project**

*Crt 3.3 – Complementarity of the participants and expertise which the **consortium** as a whole brings together*

*Crt 3.4 – Appropriateness of allocation of tasks, ensuring that all participants have a **valid role** and **adequate resources** in the project to fulfil that role*

3.4 Resources to be committed

- table showing number of perso/months required
- table showing '**other direct costs**' for participants where those costs **exceed 15% of the personnel costs**



AVOID EMPTY SHELLS !

Explain well HIGH OTHER DIRECT COSTS !

Implementation

Part B – 4. Members of the consortium

4.1 Participants (applicants)

- a description of the legal entity and its main tasks
- a curriculum vitae + profile of the persons
- a list of up to 5 relevant publications, and/or products, services
- a list of up to 5 relevant previous projects or activities
- a description of any significant infrastructure and/or any major items of technical equipment

4.2 Third parties involved in the project (including use of third party resources)

- Does the participant plan to **subcontract** certain tasks (please note that core tasks of the project should not be sub-contracted)
- Does the participant envisage that part of its work is performed by **linked third parties**
- Does the participant envisage the use of **contributions in kind provided by third parties** (Articles 11 and 12 of the General Model Grant Agreement)

This section is not covered by the page limit.

*The information provided here will be used to judge the **operational capacity***



Explain well THE REASON FOR SUBCONTRACTORS, especially if the related costs are high, and be careful with predefined subcontractors

Implementation – Work plan & deliverables

- The proposal should be about **1 project**
 - Workpackages should be logically interlinked
 - Workpackages for ‘project management’ and for ‘exploitation & dissemination’ are strongly advised!
- **NO extensions in time allowed, but work needs to be done!**
- **Most WP’s need involvement of multiple partners to be credible**
- **If SMEs: integrated in the WP’s (NO separate SME-WP)**
- **Provide deliverables**
 - Numbered
 - Clear
 - Spread over the course of the project: **need for EARLY deliverables!**
 - Rough guide: 1 deliverable/person year

Implementation – Work plan & deliverables (2)

- For each Work Package in the proposal
 - List participants
 - Their expected involvement in person months
 - Objectives (best is one objective/WP)
 - Description of the work
 - Tasks needed to achieve objective(s) and justifying the person months
 - Deliverables (refer to number)

Implementation – Management

- How are you going to handle problems?
- Every WP should have a WP-leader: together =MNGMNT Committee
- Innovation Management ! (if not integrated in mngmnet committee)
- Yearly meetings + at milestones
- Consortium agreement has a management part, describe how to decide on:
 - Changing participants
 - Updating plan
 - Re-allocating budgets
 - Approving reports and deliverables
 - ...
- Describe risks related to project implementation

Implementation – Consortium

- Describe the consortium as a whole
- Describe the role of each partner
 - Tasks in the project
 - For each of these tasks: relevant expertise
- If funding asked for partners that are not automatically eligible: **Explain why you need this partner!**
- **Check each partner's planned effort** (make a table with planned effort in mandays per WP versus Partner)
 - Each WP ONE leader?
 - No unneeded partners (sign = effort in each WP same)?
 - No specific WPs for specific partners like SMEs?