

From the evaluator's side...

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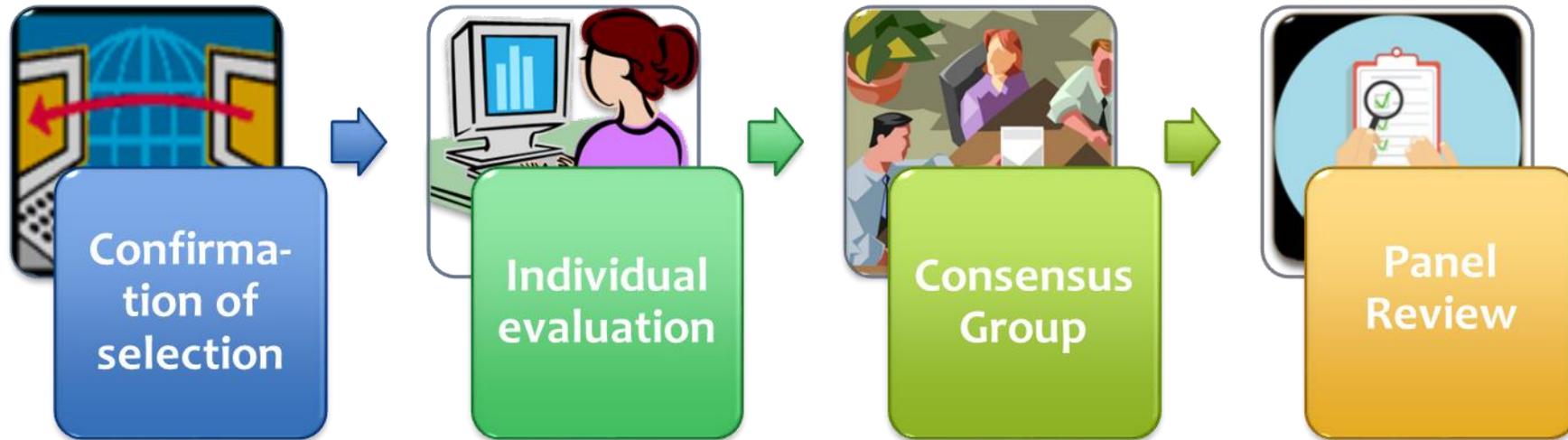
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Involvement of evaluators in the evaluation process



Step 1. Confirmation of selection



- * Usually 10-15 days after the closing date of the call
- * Confirmation of availability and if any Conflict of Interest, signature of contracts
- * Allocation of roles
 - **Expert Evaluators:** individually evaluate the proposals and write the Individual Evaluation Reports (IERs)
 - **Expert Rapporteurs:** not involved in the evaluation but use the IERs as a basis for drafting the Consensus Reports (CRs)
- * Allocation of proposals
 - Up to 8-9 proposals per expert, depending on the number of submitted proposals
 - Groups with 3 or 5 experts, with high, complementary and multidisciplinary expertise

Step 1. Confirmation of selection



- * Evaluators/Rapporteurs attend a topic specific briefing to familiarise with the call text
- * Receive a notification for the allocated tasks in SEP (Participant Portal)
- * Check all proposals for potential CoI at the last moment
- * ...and Evaluation process starts.....
- * The time from submission of a proposal to the finalisation of evaluations is set to 5 months max and up to Grant agreement 8 months max. **No grant negotiation phase**

Guiding principles for evaluators



- * **Independence:** Experts are evaluating in a personal capacity
- * **Impartiality:** All proposals must be treated equally and evaluated impartially on their merits, irrespective of their origin or the identity of the applicants
- * **Objectivity:** Each proposal is evaluated as submitted; meaning on its own merit, not its potential
- * **Accuracy:** Judgment is made against the official evaluation criteria and the call or topic the proposal addresses, and nothing else
- * **Consistency:** The same standard of judgment to all proposals has to be applied.

Confidentiality



- * Experts must not discuss evaluation matters with anyone, apart from fellow experts who are evaluating the same proposal in a consensus group or Panel review
- * Experts must not contact partners in the consortium, sub-contractors or any third parties
- * Experts must not disclose names of fellow experts
- * The Commission publishes the names of the experts annually - as a group, no link can be made between an expert and a proposal
- * Experts must maintain confidentiality of documents, paper or electronic, at all times

Step 2. Individual evaluation



- * Criteria for evaluation (adapted to the type of each call)
 - **Excellence**
 - **Impact**
 - **Quality and efficiency of implementation**
 - Comments on: Operational capacity, Scope, Exceptional Funding
- * For each criterion and sub-criterion, the **strengths** are identified, properly justified, along with **shortcomings and weaknesses** if any. Then each criterion is marked accordingly.
- * Duration of this stage: 2 weeks
- * Remotely
- * Time allocated for evaluation: 0.5-0.7 days/proposal for evaluators and 0.2 days/proposal for Rapporteurs, depending on the type of the call (RIA, IA, CSA)
- * Output: **IERs** of the Evaluators and draft CRs of the Rapporteurs

Step 3. Consensus group



- * Same criteria for evaluation (adapted to the type of each call)
- * Duration of this stage: up to 1 week, depending on the number of the submitted proposals
- * Centrally in Brussels (usually, hopefully!)
- * Time allocated for evaluation: 2.5 h/proposal on average
- * Output: **One CR per proposal**, signed by all experts
- * During the consensus group meeting and in the case that there is more than one group per topic, internal meetings with all experts may be organized on site to discuss on experts' comments for each criterion, so as to assure a harmonized evaluation of all proposals of the same call topic.

Criterion 1. Excellence



For Research and Innovation Actions (RIA), Innovation actions (IA):

- * **Clarity and pertinence of the objectives**
- * **Soundness of the concept, and credibility of the proposed methodology**
- * **Extent that proposed work is beyond the state of the art, and demonstrates innovation potential** (e.g. ground-breaking objectives, novel concepts and approaches, new products, services or business and organizational models)
- * **Appropriate consideration of interdisciplinary approaches** and , where relevant, use of stakeholder knowledge and gender dimension in research and innovation content.

Criterion 1. Excellence



For Coordinated and Support Actions (CSA):

- * Clarity and pertinence of the objectives
- * Soundness of the concept, and credibility of the proposed methodology
- * Quality of the proposed coordination and/or support measures

Some tips



It is a very crucial criterion

- Be concise and focused to the call topic requirements
- Avoid unnecessary text; Avoid duplication of information. They are tiring for evaluators
- Give space to the paragraphs.
- Provide figures and tables to justify your arguments

Some tips



- * **For example, in:**
- * **Soundness of the concept, and credibility of the proposed methodology:** Present your concept concisely to make it ‘attractive’ and justify your proposed methodology
- * **Extent that proposed work is beyond the state of the art, and demonstrates innovation potential:** Present clearly your innovation beyond the state of the art and give a sound justification of your statements and proposed innovations. Respect well the required TRLs, if any.
- * **Appropriate consideration of interdisciplinary approaches and , where relevant, use of stakeholder knowledge and gender dimension in research and innovation content:** Make sure all necessary sciences and/or socioeconomics or environmental disciplines are incorporated. Make sure that relevant stakeholders outside the consortium are appropriately identified and their knowledge will be used in the proposed project.

Criterion 2. Impact



For RIA, IA actions

- * **The expected impacts listed in the work programme under the relevant topic**
- * 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
- * Quality of proposed measures to:
 - exploit and disseminate project results (including IPR, manage data research where relevant);
 - communicate the project activities to different target audiences

Criterion 2. Impact



For CSA actions:

- * **The expected impacts listed in the work programme under the relevant topic**
- * Quality of proposed measures to:
 - Exploit and disseminate project results (including IPR, manage data research where relevant);
 - Communicate the project activities to different target audiences

Some tips



- * **The expected impacts listed in the work programme under the relevant topic:** Be sure you reply to the call requirements
- * Any substantial impacts not mentioned in the WP, that would enhance innovation capacity: It is not necessary, it will not be counted negatively, but if you have such impacts it will be beneficial.
- * **Quality of proposed measures to:**
 - **exploit and disseminate project results (including IPR, manage data research where relevant);**
 - **Communicate the project activities to different target audiences**Be as concrete as possible.
You could also use tables or figures to illustrate your plans
Distinguish the exploitation, dissemination and communication activities

Criterion 3. Quality and efficiency of implementation



For RIA, IA and CSA:

- * Quality and effectiveness of the work plan, including extent to which resources assigned in work packages are in line with objectives/deliverables
- * Appropriateness of management structures and procedures, including risk and innovation management
- * Complementarity of the participants and extent to which the consortium as a whole brings together the necessary expertise
- * Appropriateness of allocation of tasks, ensuring that all participants have a valid role and adequate resources in the project to fulfill that role

Some tips



- * Provide a good description of the work packages, resources assigned, management structures, and risk/risk management
- * Select high quality and complemented partners, covering the whole range of proposal's activities. Describe well their role in each WP and complementarity
- * Respect the 1-2 pages per Work Package, as recommended.

Operational capacity

Scope

Exceptional Funding



Operational capacity

- * Evaluators have to comment (yes/no and if no, why) if basic operational capacity of applicants to carry out their proposed activity(ies) is sufficient (their profiles, relevant publications, previous projects, infrastructure, etc).

Scope

- * Evaluators have to discuss (yes/no and if no, why) whether the proposal is fully or partially in scope of the call / topic to which it is submitted

Exceptional funding

- * Evaluators have to check requests for 'exceptional funding' from third country participants not included in the list of Countries eligible for funding. This has to be proven as essential for carrying out the action

Outcome of the UK referendum and Horizon 2020: State of Play



Until the UK leaves the EU, EU law continues to apply to and within the UK, both when it comes to rights and obligations. This includes the eligibility of UK legal entities to participate and receive funding in Horizon 2020 actions. Experts should not evaluate proposals with UK participants any differently than before.

Scoring



Unless otherwise specified in the call conditions:

For full proposals, **each criterion will be scored out of 5**. The whole range of scores is used, in steps of 0.5

The threshold for individual criteria is 3. The overall threshold, applying to the sum of the three individual scores, is 10.

- * For Innovation actions to determine the ranking, the score for the criterion ‘impact’ will be given a **weight of 1.5**.
- * For the evaluation of first-stage proposals under a two-stage submission procedure, only the criteria ‘excellence’ and ‘impact’ will be evaluated. Within these criteria, only the aspects in bold will be considered. **The threshold for both individual criteria will be 4. The threshold is expected to normally be set at 8 or 8.5.**

Interpretation of 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.

Step 4. Panel Review



- * As part of the evaluation by independent experts, a panel review recommends one or more ranked lists for the proposals under evaluation, following the scoring systems indicated before. **A Panel report and Panel ranked list is drawn up for every indicative budget shown in the call conditions.**
- * Proposal coordinators receive an **Evaluation Summary Report (ESR)**, showing the results of the evaluation for a given proposal. For proposals that successfully pass the first stage of two-stage calls, common feedback is provided to all coordinators, but the first stage ESR is only sent after the second stage evaluation. Same procedure is followed in this stage.

Prioritisation of proposals

- * Proposals usually are prioritised according to the scores in ‘excellence’. When these scores are equal, priority will be based on scores in ‘impact’. **In the case of Innovation actions this prioritisation will be done first on the basis of the score for impact, and then on that for excellence.**
- * If necessary, any further prioritisation will be based on the following factors, in order: size of EU budget allocated to SMEs; gender balance among the personnel primarily responsible for carrying out the RI activities.
- * If a distinction still cannot be made, the panel may decide to further prioritise by considering how to enhance the quality of the project portfolio through synergies between projects, or other factors related to the objectives of the call or to Horizon 2020 in general. These factors will be documented in the report of the Panel.

Exception is for the first stage of two-stage calls, where proposals having the same score are kept together and no prioritisation is made

Epilogue

Ουκ εν τω πολλώ το ευ αλλ' εν τω ευ το πολύ!

Ancient Greek saying meaning: Less is more!

Thank you for your attention and
good luck with your proposals!

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