

Evaluación de Propuestas de HE

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Proceso de evaluación



Admisibilidad y elegibilidad

Admissibility is checked by EU staff.

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

Eligibility is checked by EU staff. If you spot an issue, please inform the EU staff.

- Eligible activities are the ones described in the call conditions.
- Minimum number of partners as set out in the call conditions (at least one independent legal entity established in a MS, and, at least two other independent legal entities established either in a MS or AC).
- For calls with deadlines in 2022 and onwards participants that are public bodies, research organisations or higher education establishments from Members States and Associated countries must have a gender equality plan (GEP) in place.
-  The GEP is not part of the evaluation criteria, evaluators should not look into it. The existence of a GEP is checked internally by staff.
- Other criteria may apply on a call-by-call basis as set out in the call conditions. In few cases, the call conditions in the topic can modify the interpretation of criteria.

Conflictos de interés (Col)

Were involved in the preparation of the proposal.

Stand to benefit directly/indirectly, if the proposal is successful or fails.

Have a close family/personal relationship with any person representing an applicant legal entity.

Are a director/trustee/partner of an applicant or involved in the management of an applicant's organisation.

Are employed or contracted by an applicant or a named subcontractor.

Are a member of an Advisory Group or Programme Committee in an area related to the call in question.

Are a National Contact Point or are directly working for the Enterprise Europe Network.

Are involved in a competing proposal.

Criteria de evaluación en Horizon Europe

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, inter-disciplinary approaches, appropriate consideration of the **gender dimension** in research and innovation content, quality of **open science practices** including sharing and management of research outputs and engagement of citizens, civil society and end users where appropriate

Impact

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

NB: New approach to impact: Key Impacts Pathways (KIPs)

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

NB: The quality of applicants is assessed under 'implementation', rather than as a separate binary assessment of operational capacity. Assessment of management structures has been removed.

RIA – IA – CSA



Research and innovation action (RIA)

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

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



Innovation action (IA)

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

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



Coordination and support actions (CSA)

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

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

Principios de orientación para la evaluación

Independence

- You are evaluating in a personal capacity.
- You represent neither your employer, nor your country!

Impartiality

- You must treat all proposals equally and evaluate them impartially on their merits, irrespective of their origin or the identity of the applicants.

Objectivity

- You evaluate each proposal as submitted, meaning on its own merit, not its potential if certain changes were to be made.

Accuracy

- You make your judgment against the official evaluation criteria and the call or topic the proposal addresses and nothing else.

Consistency

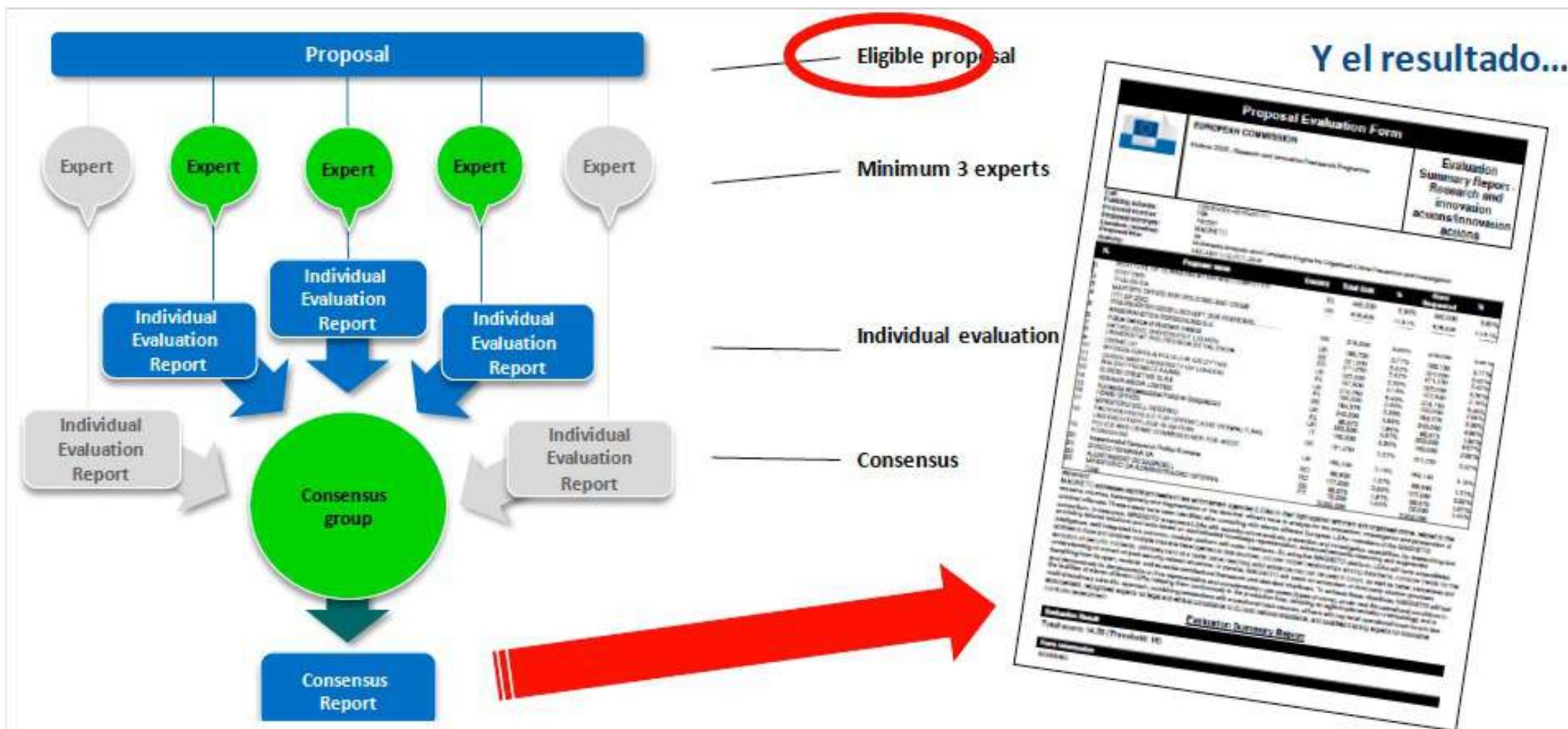
- You apply the same standard of judgment to all proposals

Interpretación de las puntuaciones

- 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. **Minor Shortcomings.**

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

Individual Evaluation Report (IER)



Evaluando la excelencia



1.1 Objectives and ambition

- Objectives
- Beyond the SoA → Position of the project

1.2 Methodology

- Concepts, models and assumptions → Objectives
- Challenges and how to overcome
- National/International activities related to the project (link to SoA)
- Inter disciplinary (link to the consortium composition)
- SSH
- Gender dimension (sex/gender analysis)
- Open science
- DMP
- Others...

Checklist: Objetivos y ambición

Assess the project's objectives:

- Are they clear and pertinent to the topic?
- Are they measurable and verifiable?
- Are they realistically achievable?
- Is the proposed work ambitious and goes beyond the state-of-the-art?
- Does the proposal include ground-breaking R&I, novel concepts and approaches, new products, services or business and organisational models?
- Is the R&I maturity of the proposed work in line with the topic description?

Please bear in mind that advances beyond the state of the art must be interpreted in the light of the positioning of the project. For example, expectations will not be the same for RIAs at lower TRL, compared with Innovation Actions at high TRLs.

Following questions are adapted to RIA and IA type of actions (ToA). Similar questions will be asked for other ToAs, in line with the instructions in the specific applications forms.

Checklist: Metodología

Following questions are adapted to RIA and IA type of actions (ToA). Similar questions will be asked for other ToAs, in line with the instructions in the specific applications forms.

Assess the scientific methodology:

- Is the scientific methodology (i.e. the concepts, models and assumptions that underpin the work) clear and sound?
- Is it clear how expertise and methods from different disciplines will be brought together and integrated in pursuit of the objectives? if applicants justify that an inter-disciplinary approach is unnecessary, is it credible?
- Has the gender dimension in research and innovation content been properly taken into account?
- Are open science practices implemented as an integral part of the proposed methodology?
- Is the research data management properly addressed?
- For topics indicating the need for the integration of social sciences and humanities, is the role of these disciplines properly addressed?

TRL

- TRL 0: Idea.** Unproven concept, no testing has been performed.
- TRL 1: Basic research.** Principles postulated and observed but no experimental proof available.
- TRL 2: Technology formulation.** Concept and application have been formulated.
- TRL 3: Applied research.** First laboratory tests completed; proof of concept.
- TRL 4: Small scale prototype** built in a laboratory environment ("ugly" prototype).
- TRL 5: Large scale prototype** tested in intended environment.
- TRL 6: Prototype system** tested in intended environment close to expected performance.
- TRL 7: Demonstration system** operating in operational environment at pre-commercial scale.
- TRL 8: First of a kind commercial system.** Manufacturing issues solved.
- TRL 9: Full commercial application,** technology available for consumers.

Evaluando el Criterio 1 - Excelencia

Criterion 1 - Excellence

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

- 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, inter-disciplinary 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.

Evaluando el impacto



2.1 Project's pathways towards Impacts

2.1.1 Expected outcomes and impacts

2.1.2 Scale and significance of the Project's contribution to the expected outcomes and impacts

2.1.3 Any requirements and potential barriers

2.2 Measures to maximise impact – Dissemination, Exploitation and Communication

2.2.1 Dissemination, exploitation and communication measures and target groups. [1st versión of the plan for dissemination and exploitation, including communication activities]

2.2.2 Management of Intellectual Property

2.3 Summary (Impact Canvas)

Checklist: Caminos del proyecto hacia los impactos

Assess the proposed pathways towards impact:

- Is the contribution of the project towards the 1) expected outcomes of the topic and 2) the wider impacts, in the longer term, as specified in the respective destinations of the WP, credible?
- Are potential barriers to the expected outcomes and impacts identified (i.e. other R&I work within and beyond Horizon Europe; regulatory environment; targeted markets; user behavior), and mitigation measures proposed? Is any potential negative environmental outcome or impact (including when expected results are brought at scale, such as at commercial level) identified? Is the management of the potential negative impacts properly described?
- Are the scale and significance of the project's contribution to the expected outcomes and impacts estimated and quantified (including baselines, benchmarks and assumptions used for those estimates)?
 - 'Scale' refers to how widespread the outcomes and impacts are likely to be. For example, in terms of the size of the target group, or the proportion of that group, that should benefit over time;
 - 'Significance' refers to the importance, or value, of those benefits. For example, number of additional healthy life years; efficiency savings in energy supply.

Following questions are adapted to RIA and IA type of actions (ToA). Similar questions will be asked for other ToAs, in line with the instructions in the specific applications forms.

Checklist: Medidas para maximizar el impacto - Diseminación, Explotación y Comunicación

Following questions are adapted to RIA and IA type of actions (ToA). Similar questions will be asked for other ToAs, in line with the instructions in the specific applications forms.

Assess the measures to maximise impact – Dissemination, exploitation and communication :

- Are the proposed dissemination, exploitation and communication measures suitable for the project and of good quality? All measures should be proportionate to the scale of the project, and should contain concrete actions to be implemented both during and after the end of the project.
- Are the target groups (e.g. scientific community, end users, financial actors, public at large) for these measures identified?
- Is the strategy for the management of intellectual property properly outlined and suitable to support exploitation of results?
 - If exploitation is expected primarily in non-associated third countries, is it properly justified how that exploitation is still in the Union's interest?

Comunicación - Disseminación - Explotación

Comunicación:

Promover el proyecto y sus resultados, proporcionando información a **múltiples audiencias** (incluyendo los medios de comunicación y el público en general)

- Posiblemente implicando un intercambio bi-direccional

Diseminación:

Desvelar públicamente los resultados por cualquier medio (incluyendo las **publicaciones científicas**) a **audiencias especializadas**

Explotación:

Utilizar los resultados en:

- otras actividades de investigación
- desarrollar, crear, fabricar y comercializar un producto o proceso
- crear y proporcionar un servicio
- actividades de estandarización y policy making

Resultados

Results:

Results' means any tangible or intangible effect of the action, such as data, know-how or information, whatever its form or nature, whether or not it can be protected, as well as any rights attached to it, including intellectual property rights...

Key results are the outputs generated during the project which can be used and create impact, either by the project partners or by other stakeholders

Project results can be reusable and exploitable as such (e.g. inventions, prototypes, services), or elements (knowledge, technology, processes, networks) that have potential to contribute for further work on research or innovation

You have to clearly identify and name the result

Research Communities

MS, EU Policymakers



Industry, Innovators

Civic Society, Citizens

Evaluando el Criterio 2 - Impacto

Criterion 2 - Impact

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

- 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 from 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.

Evaluando la calidad y eficiencia de la implementación



3.1 Work plan and resources

3.2 Capacity of participants and consortium as a whole

Checklist: Plan de trabajo y recursos

Following questions are adapted to R&A and IA type of actions (ToA). Similar questions will be asked for other ToAs, in line with the instructions in the specific applications forms.

Assess the proposed work plan, and the effort and resources:

- Is the work plan of good quality and effective?
- Does it include quantified information so that progress can be monitored?
- Does it follow a logic structure (for example regarding the timing of work packages)?
- Are the resources allocated to the work packages in line with their objectives and deliverables?
- Are critical risks, relating to project implementation, identified and proper risk mitigation measures proposed?

Checklist: Capacidad de los participantes y del consorcio

Assess the quality of participants and the consortium as a whole:
(Note that important information on role of individual participants and previous experience is included in part A of proposal)

- Does the consortium match the project's objectives, and bring together the necessary disciplinary and inter-disciplinary knowledge.
- Does the consortium include expertise in open science practices, and gender aspects of R&I, as appropriate?
- For topics flagged as SSH relevant, does the consortium include expertise in social sciences and humanities?
- Do the partners have access to critical infrastructure needed to carry out the project activities?
- Are the participants complementing one another (and cover the value chain, where appropriate)
- In what way does each of them contribute to the project? Does each of them have a valid role, and adequate resources in the project to fulfil that role (so they have sufficient operational capacity)?
- Is there industrial/commercial involvement in the project to ensure exploitation of the results?

Following questions are adapted to RIA and IA type of actions (ToA). Similar questions will be asked for other ToAs, in line with the instructions in the specific applications forms.

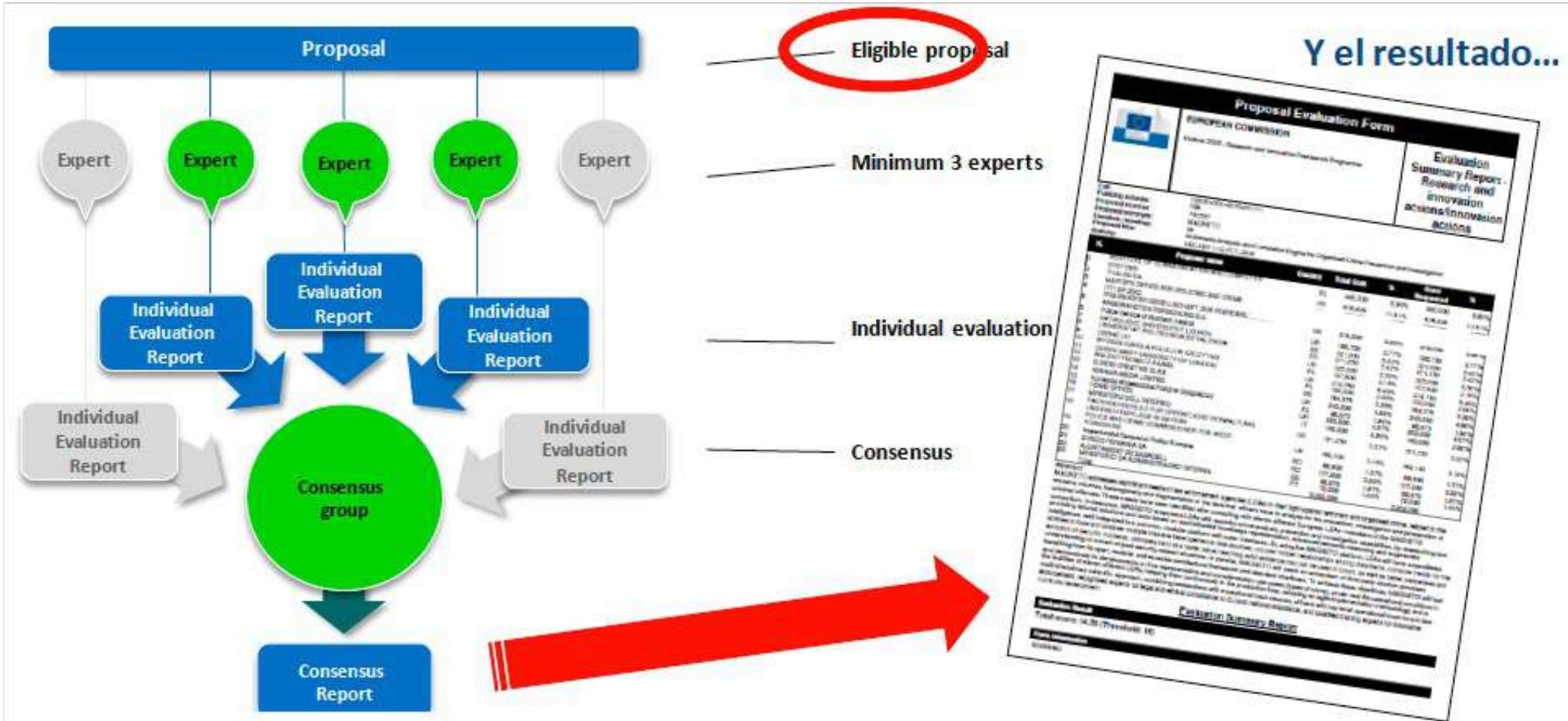
Evaluando el Criterio 3 - Calidad y eficiencia de la implementación

Criterion 3 - Quality and efficiency of the implementation

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.

Consensus Report (CR) – Evaluation Summary Report (ESR)



Propuestas con idéntica puntuación

For each group of proposals with the same score, starting with the group achieving the highest score and continuing in descending order:

1. Proposals that address **aspects of the call that have not otherwise been covered** by more highly ranked proposals will be considered to have the highest priority.
2. The proposals identified under 1), if any, will themselves be prioritised according to the **scores** they have been awarded for '**Excellence**'. When these scores are equal, priority will be based on scores for '**Impact**'. In the case of '**Innovation actions**', priority will be given to the score for '**Impact**', followed by that for '**Excellence**'.
3. If necessary, the **gender balance** among the personnel named in the proposal who will be primarily responsible for carrying out the research and/or innovation activities, and who are included in the researchers table in the proposal, will be used as a factor for prioritisation.
4. If necessary, any further prioritisation will be based on **geographical diversity**, defined as the number of Member States or Associated Countries represented in the proposal, not otherwise receiving funds from projects higher up the ranking list (and if equal in number, then by budget).
5. If a distinction still cannot be made, the panel may decide to further prioritise by considering **other factors** related to the objectives of the call, or to Horizon Europe in general. These may include, for example, enhancing the quality of the project portfolio through synergies between projects or, where relevant and feasible, involving SMEs.