

Understanding the evaluation process in Horizon Europe

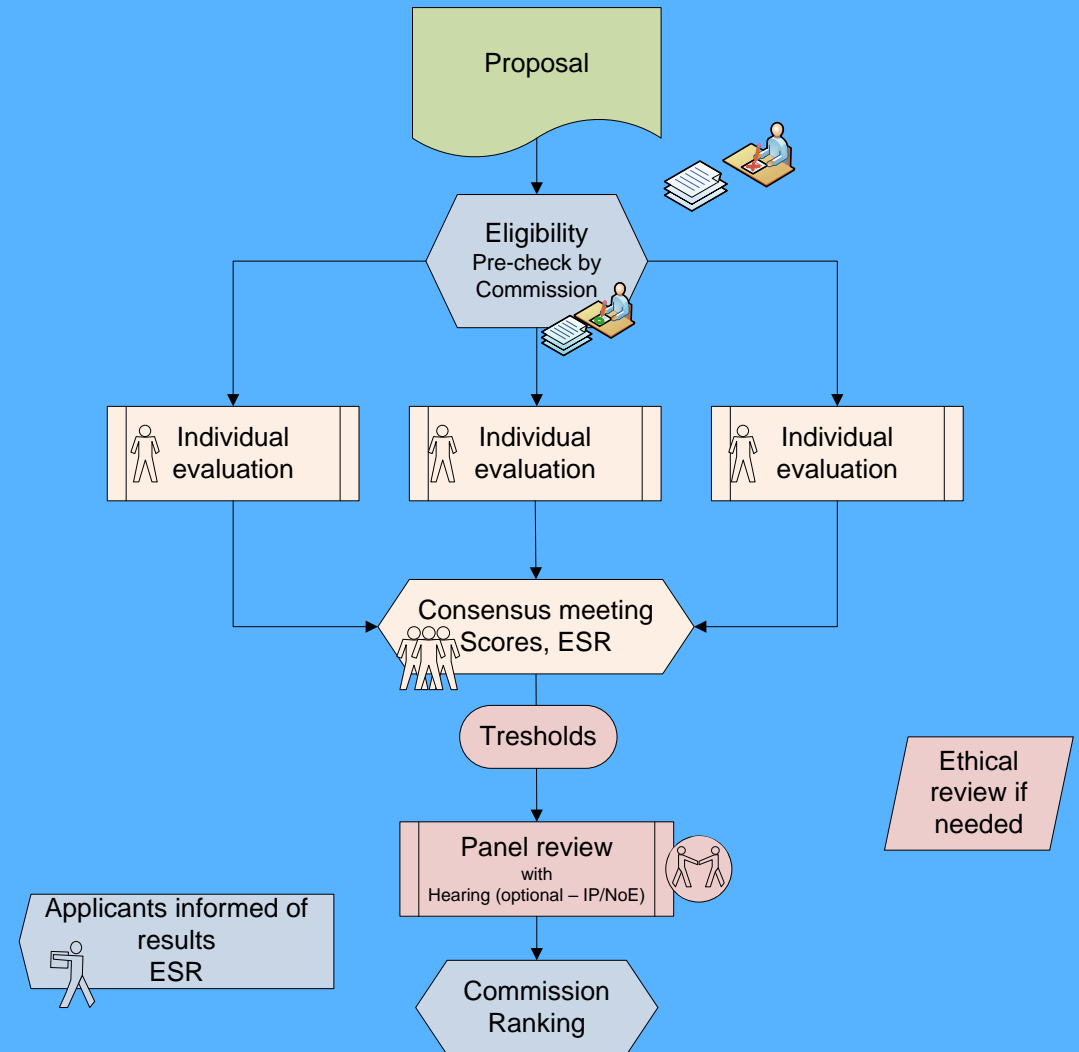
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KRPAN Project - In-house training course
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The evaluation process

- Admissibility and eligibility check by the EC
- Evaluation by the experts:
 - Briefing of the experts
 - I. Individual evaluation
 - II. Consensus group
 - III. Panel review
 - Final ranking
- Grant Agreement Preparation starts
 - Ethics review
 - Security check



Admissibility and Eligibility Check

Admissibility:

- Submitted by the deadline
- Complete, readable, accessible and printable
- Draft Plan for Dissemination and Exploitation of Results including Communication activities
- Page limits
- Any other **specific conditions** (e.g. blind evaluation)

Eligibility:

- Entities and partnership
- Activities
- Gender equality plans
- Any other **specific conditions** (type of entity, consortium composition, duration, etc.)



Individual Evaluation



Selecting the experts: Who are they?

- **Balance** between
 - Skills, experience and knowledge
 - Geographical diversity
 - Gender
 - Where appropriate, the private and public sectors

And an appropriate turnover from year to year.

- **Expertise** in the following fields
 - Research in the given scientific area
 - Industrial/commercial applications
 - International project design and implementation - innovation, exploitation, dissemination and communication
 - Administrative, policy-oriented or other knowledge as required by the Call

[Register as an expert on the Funding and Tenders Portal!](#)



Individual Evaluation

On-site or remote

- Evaluators work independently
 - No communication is allowed
 - Laptops can be used
 - Paperless evaluation
- Each evaluator fills out the **“Individual Evaluation Report”** (IER) forms (similar to [this](#))



Adequately qualified experts

First impressions

- The **abstract** – should be a good pitch/value proposition
- **Title** – consider impact first, tell what the project is about
- **Acronym** – make it meaningful, consider IPR (check if already taken)
- **WHAT?** Short, clear objectives – linked targets
- **WHY?** Background, problem, challenge
- **HOW?** Phases – how to make it happen
- **WHO?** Consortium in short – highlight key selling points of the partners



Evaluation criteria

RIA and IA

| Excellence | Impact | Implementation |
|--|--|--|
| <ul style="list-style-type: none">• 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 <i>[for first stage: overall]</i> methodology, including the underlying concepts, models, assumptions, inter-disciplinary approaches, appropriate consideration of the gender dimension in research and innovation content, and the quality and appropriateness of open science practices including engagement of citizens, civil society and end users, and research data management. | <ul style="list-style-type: none">• Credibility of the pathways to achieve the expected outcomes and impacts specified in the work programme, and the likely scale and significance of the contributions due to the project.• Suitability and quality of the measures to maximise expected outcomes and impacts, as set out in the dissemination and exploitation plan, including communication activities. | <ul style="list-style-type: none">• 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. |

Evaluation criteria

CSA

| Excellence | Impact | Implementation |
|--|--|--|
| <ul style="list-style-type: none">• Clarity and pertinence of the project's objectives.• Quality of the proposed coordination and/or support measures including soundness of methodology. | <ul style="list-style-type: none">• Credibility of the pathways to achieve the expected outcomes and impacts specified in the work programme, and the likely scale and significance of the contributions due to the project.• Suitability and quality of the measures to maximise expected outcomes and impacts, as set out in the dissemination and exploitation plan, including communication activities. | <ul style="list-style-type: none">• 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. |

Evaluation criteria

MSCA

| Excellence | Impact | Implementation |
|------------|--------|----------------|
|------------|--------|----------------|

Almost the same as in RIAs but with specific optional aspects depending on the type of MSCA: Doctoral networks and Staff exchanges, Postdoctoral fellowships, COFUND, etc.

See the forms here:

https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/horizon/temp-form/ef/ef_he-msca_en.pdf

Evaluation criteria

ERC

Excellence

Proposals are evaluated by selected international peer reviewers who evaluate proposals on the basis of excellence as the sole criterion. It will be applied to the evaluation of both the research project and the Principal Investigator in conjunction.

See the ERC homepage for the differences between the specific ERC schemes (Starting Grant, Consolidator Grant, Advanced Grant, etc.):

<https://erc.europa.eu/apply-grant>

Evaluation criteria

EIC

| Excellence | Impact | Implementation |
|------------|--------|----------------|
|------------|--------|----------------|

All three criteria but with specific aspects depending on the EIC scheme: Pathfinder Open, Transition, Accelerator, etc.

See here the actual evaluation forms with the specific criteria:

https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/horizon/temp-form/ef/ef_he-eic-accelerator-short_en.pdf

https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/horizon/temp-form/ef/ef_he-eic-accelerator_en.pdf



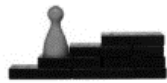

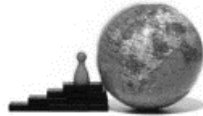

https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/horizon/temp-form/ef/ef_he-eic-pathfinder-open_en.pdf

https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/horizon/temp-form/ef/ef_he-eic-pathfinder-challenges_en.pdf

https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/horizon/temp-form/ef/ef_he-eic-transition_en.pdf

Scoring

- 0-5 points awarded for each main and sub-criteria (0-Fail/Poor, 5-Excellent)
- Half points can be given
- Detailed explanation should be given by the evaluators, not only simple scores
- Weighting of 1.5 in IAs

| Scores | Interpretation | |
|---------|---|---|
| 0 | Fails to address the criterion or cannot be assessed... |  |
| 1 – 1,5 | Poor. ...inadequately addressed or there are serious inherent weaknesses |  |
| 2 – 2,5 | Fair. Broadly addresses the criterion, but ... significant weaknesses |  |
| 3 – 3,5 | Good. Addresses well, but a number of shortcomings are present |  |
| 4 – 4,5 | Very good. ...a small number of shortcomings are present |  |
| 5 | Excellent. Any shortcomings are minor |  |

How would you score?

3.5

The overall aim of the proposal is to promote innovative, environmentally friendly, socially acceptable and non-invasive mineral exploration methods, which is positive as it would contribute to an improved acceptance of mineral exploration and extraction.

A shortcoming is that the details on how this project will facilitate the transition to a low carbon economy are not sufficiently elaborated.

The methodology is ambitious and goes beyond the state-of-the-art, proposing technological development of:

AI-based mineralogy detection system.

The objective is to integrate all data in multi-dimensional dataset.

A shortcoming is that the methods that will be employed for the proposed mapping are insufficiently described; for example, with regard to

Moreover it is insufficiently described how the methodological approach of mineral s

Another shortcoming is that the methods that will be used to implement the results, t
poorly explained.

There is a precise and well-described gender dimension strategy, especially considering public sentiment issues, in the research plan.

The open science and data management practices are well described and sharing practices are of good quality.

Thresholds

Single stage proposals:

| <i>Criterion</i> | <i>Threshold</i> | <i>Max</i> |
|------------------|------------------|------------|
| Excellence | 3 | 5 |
| Impact | 3 | 5 |
| Implementation | 3 | 5 |
| Total | 10 | 15 |

First stage of two-stage proposals:

| <i>Criterion</i> | <i>Threshold</i> | <i>Max</i> |
|------------------|------------------|------------|
| Excellence | 4 | 5 |
| Impact | 4 | 5 |
| Implementation | - | - |
| Total | 8* | 10 |

*The overall threshold will be set at a level that ensures the total requested budget of proposals admitted to stage 2 is as close as possible to three times the available budget, and not less than two and a half times the available budget.





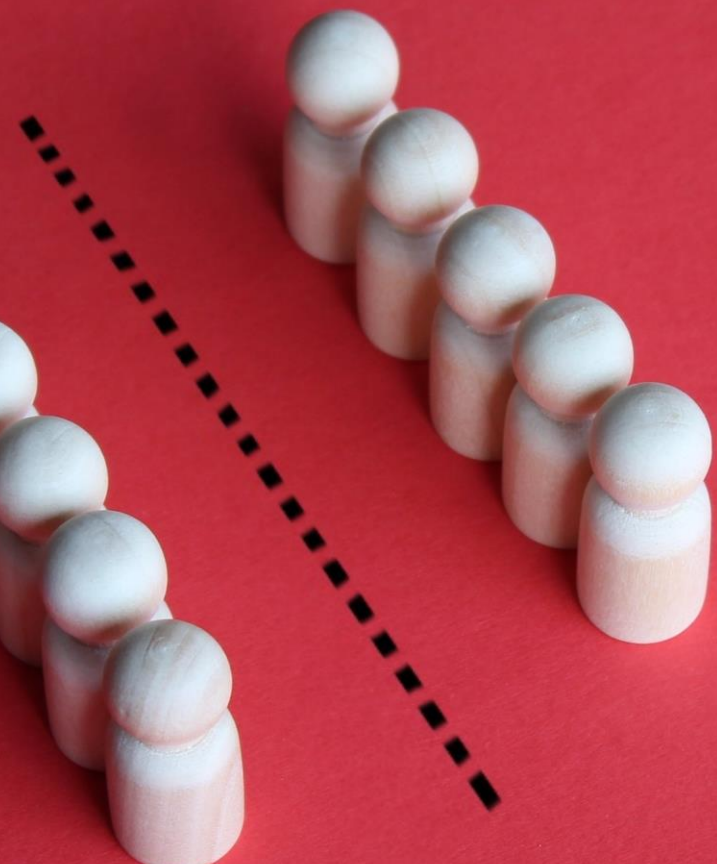
The Consensus Meeting

- Experts meet together to come to a consensus
- A “**Rapporteur**” takes minutes and drafts the **Consensus Report (CR)**
- A “**Moderator**” seeks to find consensus and ensures that each proposal is evaluated fairly
- Experts have a few minutes to read and understand each other's comments
- Preliminary discussions followed by detailed assessment of all criteria

Panel Review

- Comprises experts from the consensus group and/or new experts
- One panel covering the whole call or several panels covering different parts of the call.
- The goal is to **assess and compare the Consensus Reports** of the different sub-panels, focusing on the overall **quality** under the different topics and on **consistency**.
- Resolve cases where a minority view was recorded in the consensus report.
- Special attention is given to proposals that scored very high but failed on one criterion and to those with equal score near the funding threshold.





Proposals with equal scores

For each group of tied proposals:

1. First consider **those that "fill gaps"** in the WP
2. Of those, look at score for '**Excellence**', then at score for '**Impact**' (reverse for Innovation Actions)
3. If still equal look at **gender balance** in key personnel
4. **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
5. If still equal, consider **other factors** (overall portfolio, synergies, SME involvement, etc) Then repeat for those that don't "fill gaps"

Final Ranking

The Commission reviews the results of the experts' evaluation and prepares the lists of:

- Eligible proposals (over the thresholds)
- Proposals for which the grant agreement preparation can start – taking into account the available total funds for the given panel
- Rejected proposals
- Reserve list proposals
- Evaluation Summary Reports (ESRs)



THANK YOU!

for your attention

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