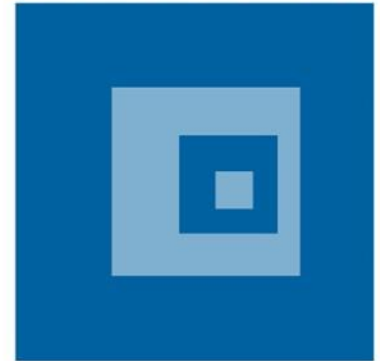


# Horizon 2020

## THE EVALUATION PROCESS





# Adapting to Horizon 2020

- New types of call → new types of proposal
  - **multi-disciplinary** and multi-sectorial;
  - more emphasis on innovation and **close-to-market**;



# Eligibility check made by EC



- **EU Commission will check your proposal for eligibility** (against general eligibility criteria set out in General Annexes A and C to the work programme and specific eligibility conditions set out in the work programme for your call).

**Example:**  
 Research & innovation actions require, for instance, a minimum of three independent legal entities established in different Member States or associated countries.

- **Specific cases:**  
 In the case of two-stage submission schemes, an eligibility check is carried out at first stage. At second stage, we will check that the eligibility conditions are still complied with.





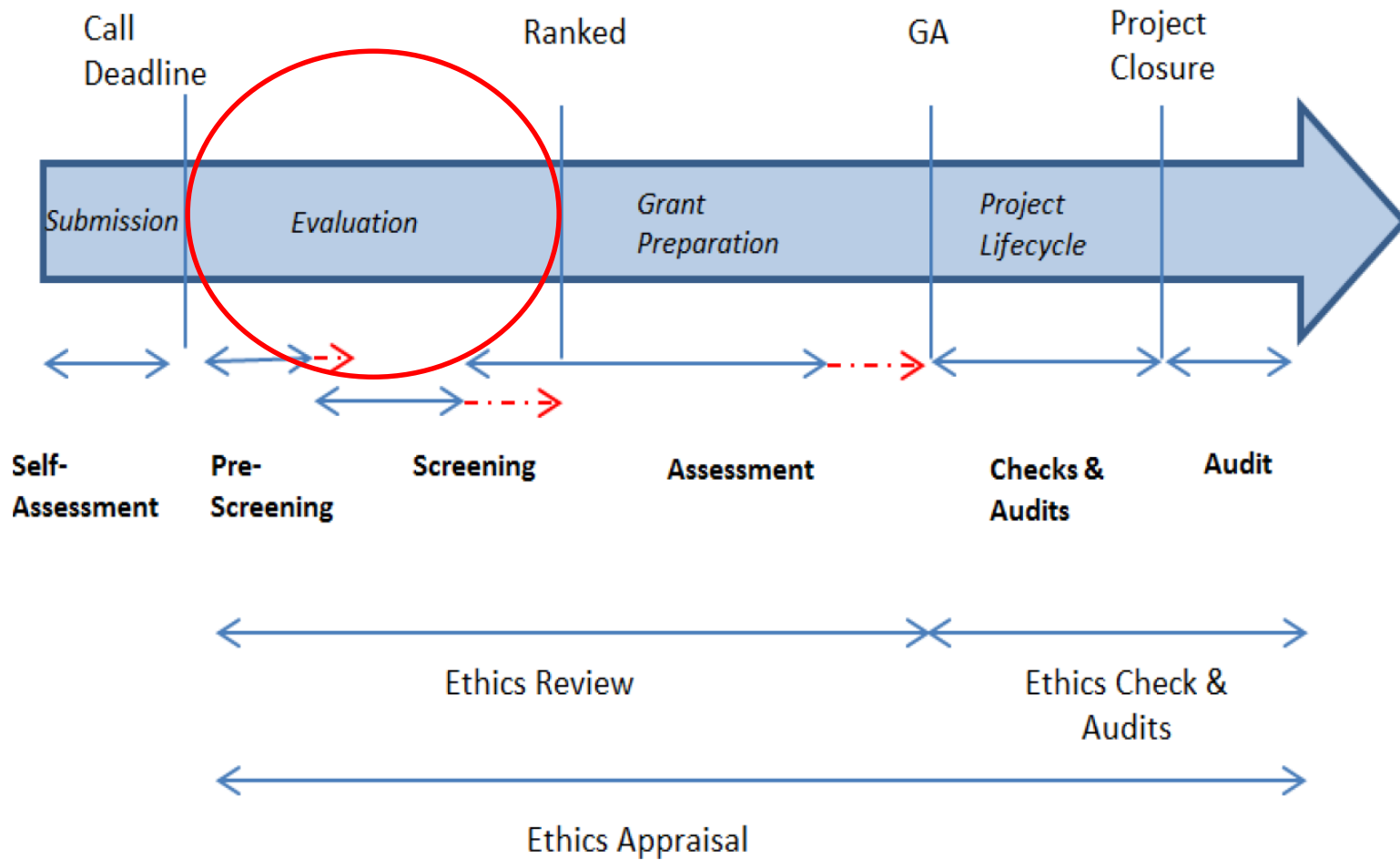
# Evaluation of proposals

- **EC** chooses its experts
- **Experts** evaluates your proposal
- **EC** establishes its ranked list



# Ethics pre-screening and ethics review

- In parallel to the evaluation, EC will check if your proposal **complies with ethical principles and relevant legislation.**





# EC Chooses its experts

- **How are the evaluators selected?**
  - Looking at **keywords specified in your proposal**.
  - High level of **skills, experience and knowledge in the relevant areas** (*e.g. field, project management, innovation, exploitation, dissemination and communication*);
  - Provided the above condition can be satisfied, a **balance in terms of:**
    - **skills, experience and knowledge;**
    - **geographical diversity;**
    - **gender;**
    - **where appropriate, the private and public sectors**



# EC Chooses its experts

- At least **three independent experts** per proposal (but can be more depending on WP).  
Exception: For the first stage in two-stage submission schemes and for low-value grants, it may be that only two experts are used.
- Additional experts appointed for **ethics review**.
- The evaluation process might be followed by one or more **independent observers**.



# Conflict of interest

**Is considered a conflict of interest exists, if an expert:**

- was involved in the preparation of a proposal;
- benefits directly or indirectly if a proposal is accepted;
- has a close family or personal relationship with any person representing an applicant;
- is a director, trustee or partner or is in any way involved in the management of an applicant;
- is employed or contracted by one of the applicants or any named subcontractors;
- is a member of an advisory group set up by the Commission to advise on the preparation of EU or Euratom Horizon 2020 work programmes or work programmes in an area related to the call;
- is a National Contact Point or is directly working for the Enterprise Europe Network;
- is a member of a programme committee;
- for Marie Skłodowska-Curie actions: is acting as a referee of the applicant.





# Think as you were an evaluator when writing the proposal

## On what do the evaluators focus?

### *Award criteria*



- **Criterion 1 : Excellence**

- Clarity and Pertinence of the Objectives
- Credibility of the proposed approach
- Soundness of the Concept
- Ambition and State of the Art.

- **Criterion 2: Impact**

- The expected impacts listed in the work plan
- Enhancing Innovation Capacity
- Strengthening Competitiveness
- Any other Environmental
- Effectiveness of the proposed measures to exp



- **Criterion 3: Implementation**

- Coherence and Effectiveness of the Work plan
- Complementarity
- Appropriateness of Structures





# Scoring/weights/thresholds

- Each criterion scored out of 5 (max 15)
- Proposal threshold of 10/**12** (out of 15)
- Individual criterion threshold of 3.
- Unlike FP7, for **Innovation Actions, Fast Track to Innovation** and **SME** instrument...
  - impact criterion weighted by factor of 1.5
  - Impact considered first when scores equal

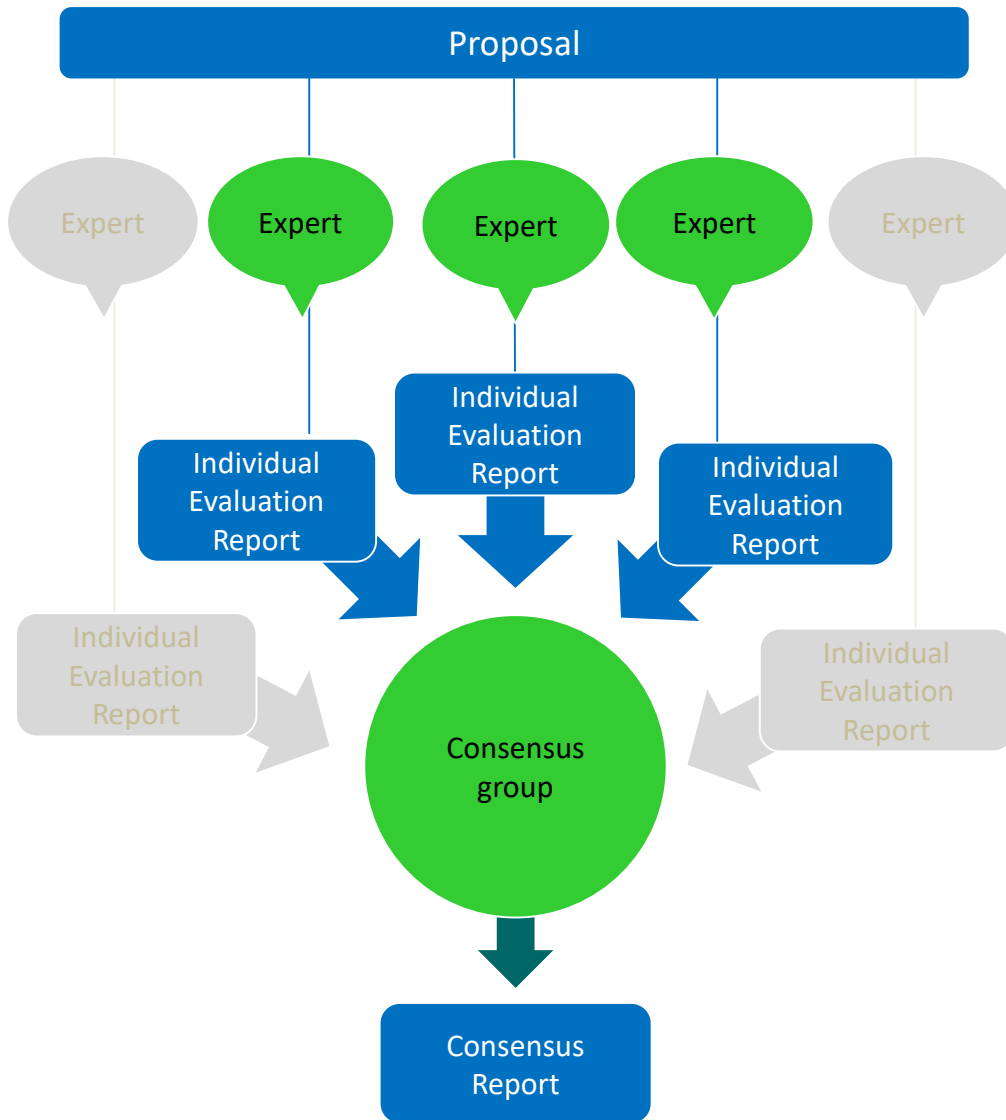


# Evaluation process phases

- Phase 1 — Individual evaluation
- Phase 2 — Consensus group
- Phase 3 — Panel review



# Evaluation Process



————— Eligible proposal

————— Minimum 3 experts

————— IER

————— Consensus



# Priority of proposals with equal score

- For each group of tied proposals
  1. First consider those that "**fill gaps**" in the WP/topic
  2. Of those, look at score for '**excellence**', then at score for '**impact**' (*reverse for Innovation actions & SME instrument*)
  3. If still equal, look at **SME** budget
  4. If still equal look at **gender** balance in key personnel
  5. If still equal, consider **other factors** (overall portfolio, wider H2020, EU objectives etc)

# COORDINATORS PERFORMANCE IN SC1-H2020 | CALL 2016-2017

	EXCELLENCE
SCORE 1	0
SCORE 2	1
SCORE 3	3
SCORE 4	1
SCORE 5	1
N° ESR	6
weighted average	3,3

## CHALLENGE DEEPENING

CLEAR GEOGRAPHICAL COVERAGE

CLINICAL STUDY CREDIBILITY

## CONCEPT SOUNDNESS

INTERDISCIPLINARITY

MARKET OPPORTUNITIES

## METHODOLOGICAL DETAILS

METHODOLOGICAL DETAILS ON STAKEHOLDER ENGAGEMENT

POLICY LEVEL ENGAGEMENT

RECRUITMENT CREDIBILITY

SMEs ENGAGEMENT

## STATE-OF-THE-ART



weaknesses

# COORDINATORS PERFORMANCE IN SC1-H2020 | CALL 2016-2017

	EXCELLENCE
SCORE 1	0
SCORE 2	1
SCORE 3	3
SCORE 4	1
SCORE 5	1
N° ESR	6
weighted average	3,3

*(...) The proposal has a ground-breaking potential and **clearly moves beyond existing research efforts** in (...)*

*The **clinical trial is very well designed** and follows the recommendations provided by the EMA. (...)*

*the approach is credible with **a clear recruitment strategy**.*

*The proposal includes an **innovative transdisciplinary component** (...)*

STATE-OF-THE-ART

CLINICAL TRIAL DESIGN

RECRUITMENT CREDIBILITY

TRANSDISCIPLINARITY



# COORDINATORS PERFORMANCE IN SC1-H2020 | CALL 2016-2017

	IMPACT
SCORE 1	0
SCORE 2	0
SCORE 3	3
SCORE 4	3
SCORE 5	0
N° ESR	6
weighted average	3,5

**COMMUNICATION & DISSEMINATION PLAN**  
**CREDIBILITY**  
**COMORBIDITIES CONSIDERATION**  
**EFFECTIVE PLANNING OF RESULTS DELIVERY**  
**EXPLOITATION (plan)**  
**IMPACT CREDIBILITY**  
**IMPACT ON SCIENTIFIC COMMUNITY**  
**IMPACT POTENTIAL DEEPENED**  
**IPR**  
**LICENSING ISSUES**  
**POLICY LEVEL ENGAGEMENT**  
**SMEs ENGAGEMENT**  
**SOCIAL IMPACT**  
**TARGET GROUPS**  
**WIDER IMPACT**





# IRCCS COORDINATORS PERFORMANCE IN SC1-H2020 | CALL 2016-2017

	IMPLEMENTATI ON
SCORE 1	0
SCORE 2	1
SCORE 3	2
SCORE 4	2
SCORE 5	1
N° ESR	6
<i>weighted average</i>	3,5

- CHALLENGE DEEPENING
- CLINICAL STUDY PHASE II JUSTIFICATION
- COSTS JUSTIFICATION
- EFFECTIVE WORKPLAN
- ETHICS and PRIVACY
- INTERDISCIPLINARITY**
- MANUFACTURING CHALLENGES INCLUDED IN WORKPLAN
- MILESTONES
- PROPERLY TARGETED DISSEMINATION
- QUALITY ASSURANCE
- REAL SCENARIO CONSIDERATION
- RISK MANAGEMENT/UNDERSTIMATION**
- STAKEHOLDERS COOPERATION AND/OR ENGAGEMENT
- SUBCONTRACTING JUSTIFICATION



# IRCCS COORDINATORS PERFORMANCE IN SC1-H2020 | CALL 2016-2017

	IMPLEMENTATION
SCORE 1	0
SCORE 2	1
SCORE 3	2
SCORE 4	2
SCORE 5	1
N° ESR	6
<b>weighted average</b>	<b>3,5</b>

*The work plan is coherent and consistent with the objectives of the proposal*

*All partners of the consortium have a valid role and have **complementary expertise** covering all areas concerned by the project*

*The **resources assigned** to the work packages and partners appear in line with their objectives and deliverables*

*The management structure and procedures are well organized. **Risks have been properly identified** and relevant risk-mitigation measures have been proposed.*

***Patient recruitment will be assured by a network of clinical centres specialized (...)** The involvement of **patient organizations** will ensure that the consortium properly understands end-users needs and expectations, and that their interests will be taken into account.*

**INTERDISCIPLINARITY**

**RISK MANAGEMENT/UNDERSTIMATION**

**STAKEHOLDERS COOPERATION AND/OR ENGAGEMENT**





# Useful links

- **Grant Manual – Section on: proposal submission and evaluation**

[http://ec.europa.eu/research/participants/data/ref/h2020/grants\\_manual/pse/h2020-guide-pse\\_en.pdf](http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/pse/h2020-guide-pse_en.pdf)

- **Lists of H2020 expert evaluators in SC1 2014 calls**

[http://ec.europa.eu/research/participants/data/ref/h2020/experts\\_lists/challenges/health/h2020-expertslists-challenges-health-2014\\_en.xlsx](http://ec.europa.eu/research/participants/data/ref/h2020/experts_lists/challenges/health/h2020-expertslists-challenges-health-2014_en.xlsx)

- **H2020 Manual - Working as an expert**

[http://ec.europa.eu/research/participants/docs/h2020-funding-guide/experts/experts\\_en.htm](http://ec.europa.eu/research/participants/docs/h2020-funding-guide/experts/experts_en.htm)



# Thanks for your attention!

## APRE

Agenzia per la Promozione della Ricerca Europea

via Cavour, 71

00184 - Roma

[www.apre.it](http://www.apre.it)

Tel. (+39) 06-48939993

Fax. (+39) 06-48902550