Horizon 2020
Il processo di valutazione ed errori comuni

Università degli Studi di Foggia
28 Ottobre 2019

Process

5 MONTHS

Submission
Admissibility & Eligibility check
Operational capacity
Evaluation by independent experts
Award criteria
Evaluation process
Outcome of the evaluation

3 MONTHS: TIME TO GRANT
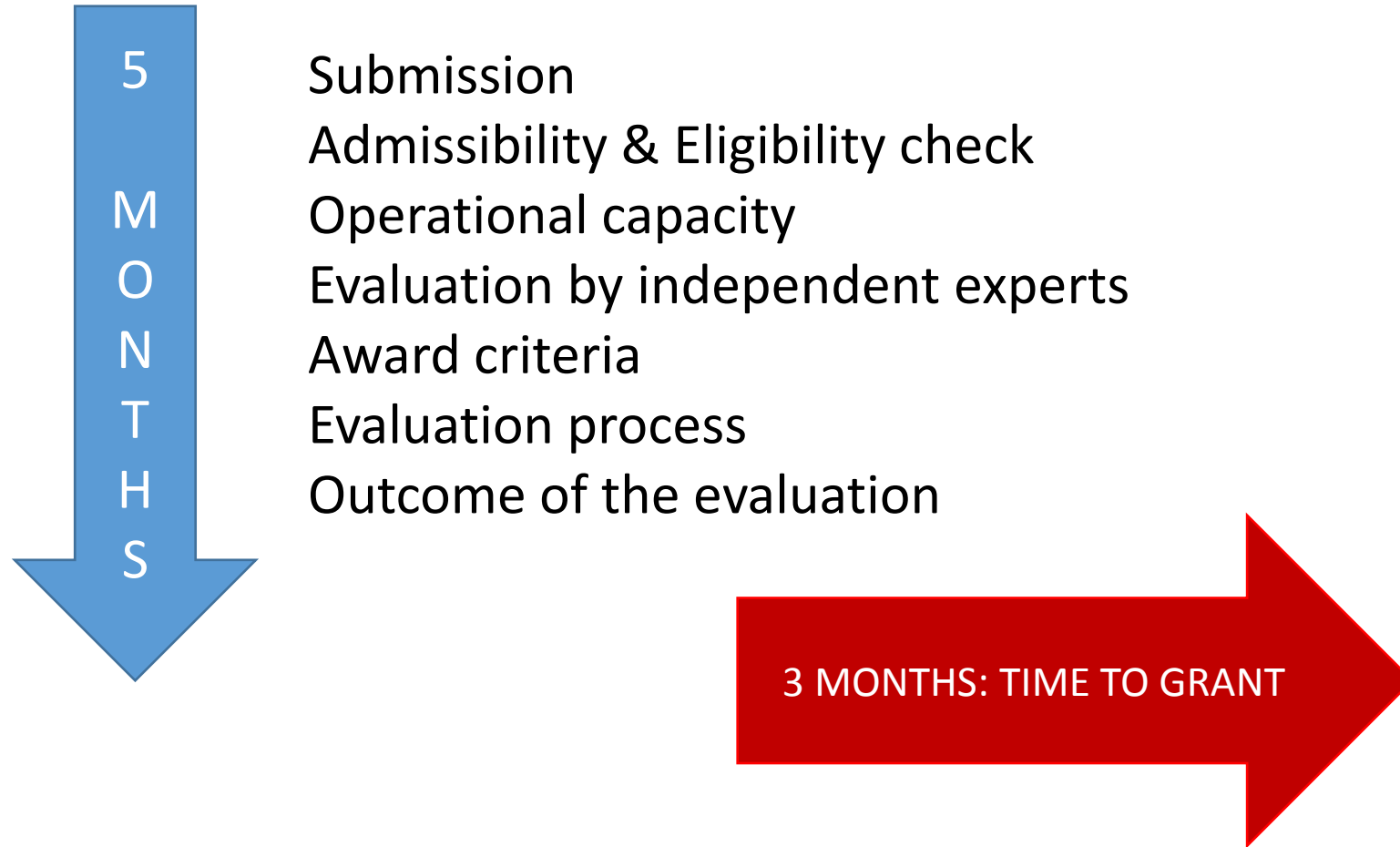
Submission in H2020

- Mock evaluation*

- Proposal fulfils the conditions set out in the call

- The requested declarations have been made

- All consortium members have their own PIC*

- The system will check page limits*

- Self check for SME status*

- Financial viability*

Award Criteria [Single and second stage]

Excellence*
Thresholds 3/5

Impact**
Thresholds 3/5

Implementation
Thresholds 3/5
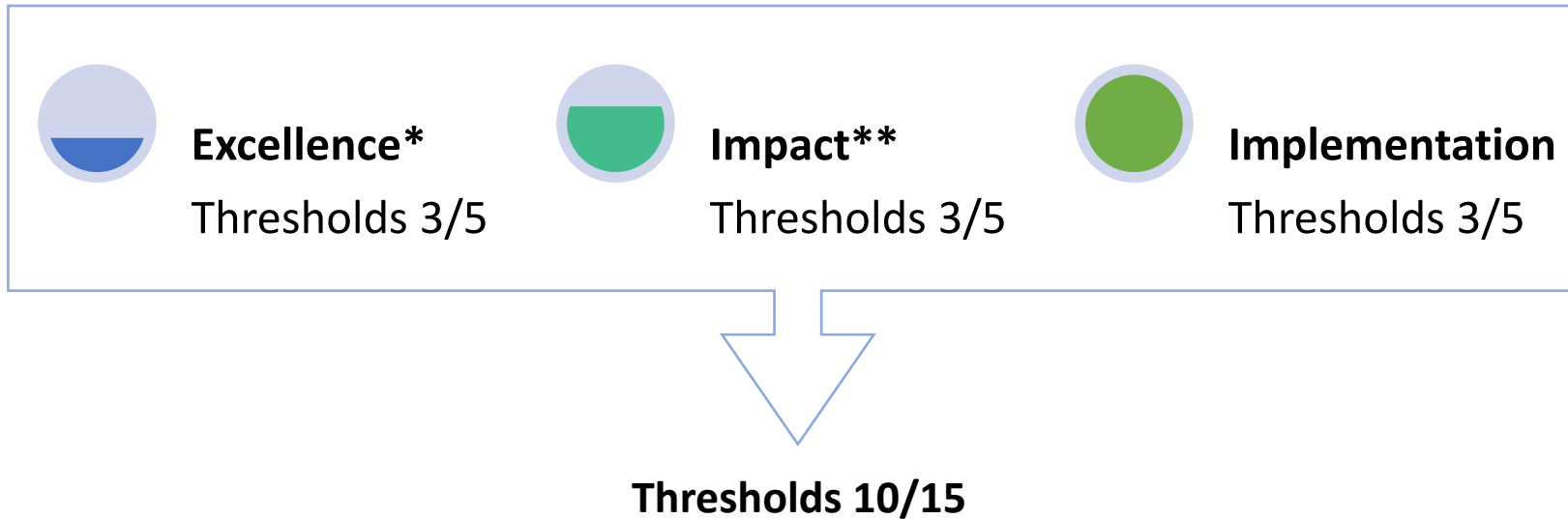
Thresholds 10/15
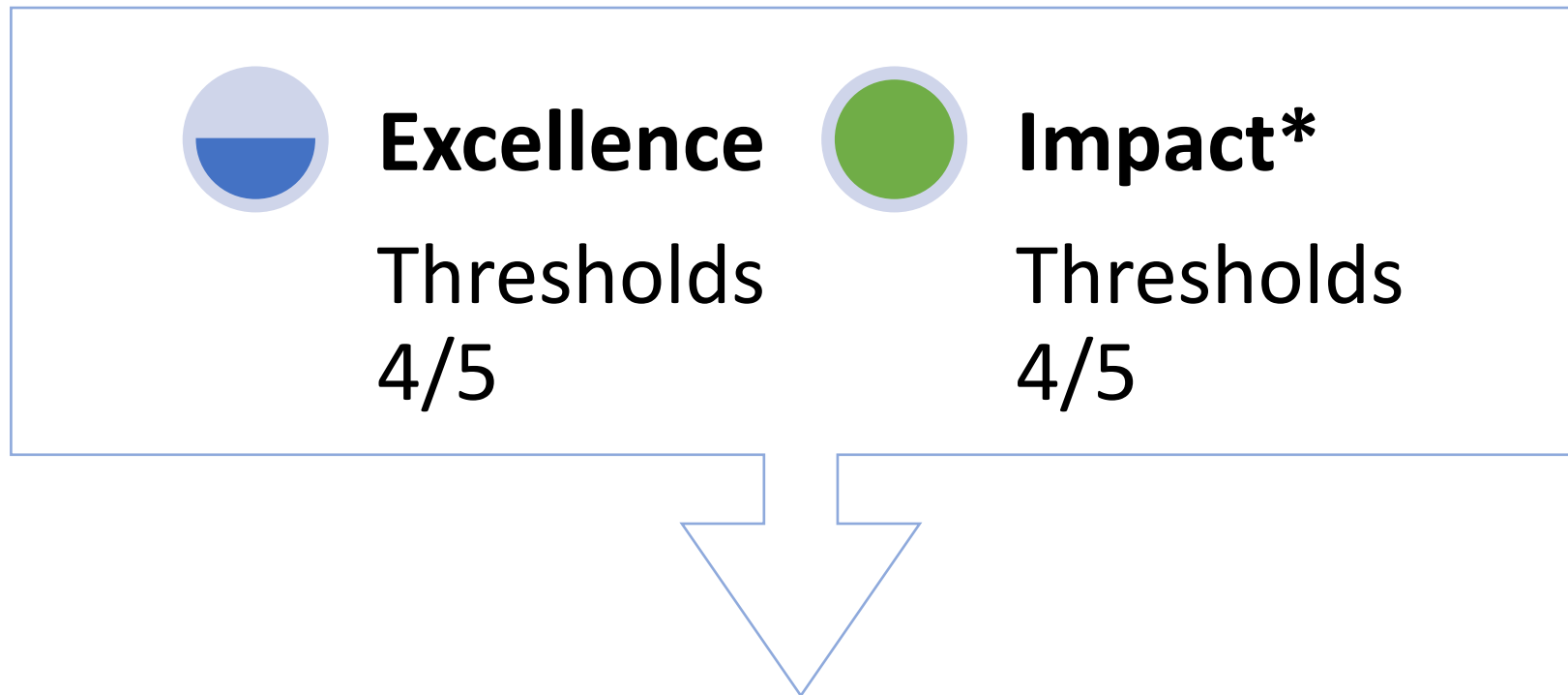
Details, Weightings and thresholds to be laid down in WP

*Excellence
Sole criterion for ERC frontier research actions
**Impact
Higher weighting for innovation actions

Award Criteria [first stage]

Excellence

Thresholds
4/5

Impact*

Thresholds
4/5

Thresholds 08/10

*Impact
Evaluated only the expected impact

Evaluation criteria (RIA/IA)

Excellence

Clarity and pertinence of the objectives

Soundness of the concept, and credibility of the proposed methodology

Extent that the 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 organisational models)

Appropriate consideration of interdisciplinary approaches and, where relevant, use of stakeholder knowledge

Impact

The extent to which the outputs of the project would contribute to each of the expected impacts mentioned in the work programme under the relevant topic

Any substantial impacts not mentioned in the work programme, 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 the proposed measures to:
- Exploit and disseminate the project results (including management of IPR), and to manage research data where relevant.
- Communicate the project activities to different target audiences

Implementation

Quality and effectiveness of the work plan, including extent to which the resources assigned to work packages are in line with their objectives and deliverables

Appropriateness of the management structures and procedures, including risk and innovation management

Complementarity of the participants and extent to which the consortium as whole brings together the necessary expertise

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

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Agenzia per la Promozione
della Ricerca Europea

Proposal scoring

Give a score between 0 and 5 to each criterion based on the comments

- Half-marks can be used
- The whole range of scores should be used
- Scores must pass thresholds if a proposal is to be considered for funding

Thresholds apply to individual criteria…
The default threshold is 3 (unless specified otherwise in the WP)

…and to the total score
The default overall threshold is 10 (unless specified otherwise in the WP)

For Innovation actions and the SME instrument, the criterion Impact is given a weight of 1.5 to determine the ranking

Instructions: The weight of 1.5 applies for ranking only
- Experts give a score out of 5 for all criteria
- Thresholds to individual criteria and total score apply
- For above-threshold proposal, impact is multiplied by 1.5, giving a total score out of 17.5.
- If IA and RIA in the same ranked lists, then a normalisation (out of 15) is needed.

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europe
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Business Support on Your Doorstep

Interpretation of the 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.**

Evaluation Process
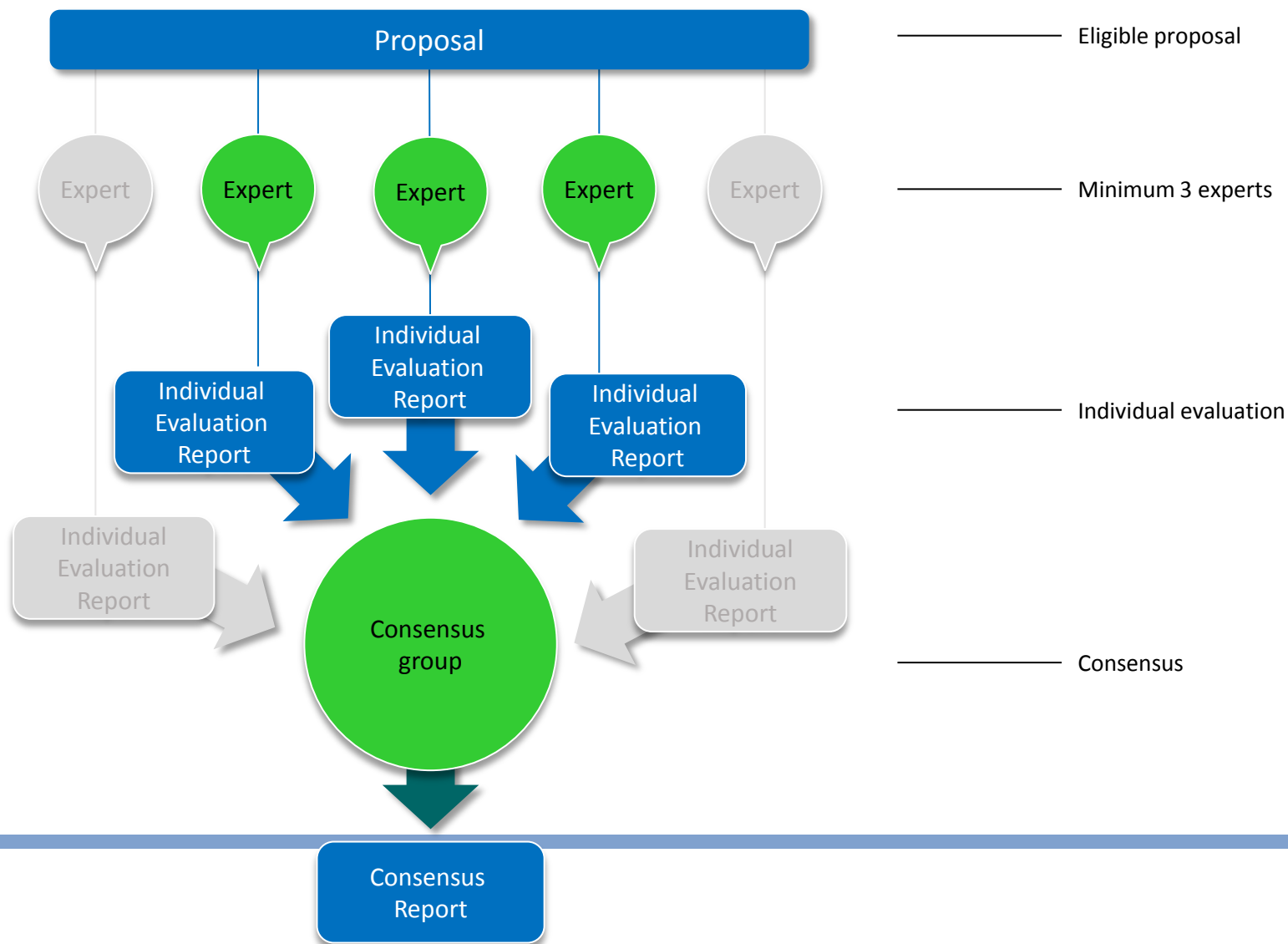
Proposals with identical total scores

For each group of proposals with identical total scores, the panel considers first proposals that address topics that are not already covered by more highly-ranked proposals

The panel then orders them according to:
- First, their score for Excellence, and second, their score for Impact
- Except for Innovation action, first their score for Impact and second their score for Excellence

If there are ties, the panel takes into account the following factors:
- First, the size of the budget allocated to SMEs
- Second, the gender balance of personnel carrying out the research and/or innovation activities

If there are still ties, the panel agrees further factors to consider:
- e.g. synergies between projects or contribution to the objectives of the call or of Horizon 2020

The same method is then applied to proposals that address topics that are already covered by more highly-ranked proposals

Criterion 1 - Excellence

Clarity and pertinence of the objectives

- Objectives are not quantifiable/No quantitative indicators for the proposed objectives./Some of the objectives are missing measurable targets to enable benchmarking of the project results.
- Objectives are expressed in generic terms.
- Objectives are not pertinent with the Work Programme/not fully aligned with the scope of the call.
- Specific objectives inconsistent with the target of the proposal.
- Objectives are not convincingly addressed, especially concerning the actual analysis of drivers of change and causalities.
- Lack of details on the mechanisms to implement some of the objectives.

Credibility of the proposed approach

- Lack of credibility due to lack of details concerning the models to be used.
- Disadvantages of the proposed approach are not considered enough in the proposal.
- Large number of variables considered and poor accuracy of data.
- A lot of activities are planned but not described in sufficient detail.
- No reference to the methodological background and standards.
- Replicability issues.

Criterion 1 - Excellence

Soundness of the concept, including trans-disciplinary considerations, where relevant

- The conceptual framework insufficiently elaborated.

- Targeted TRL values are not consistent.

- The linkage with other on-going activities is provided. However the description on how to effectively build upon the achieved results and to cooperate with them is minimal.

- A clear sequence of coordination and support measures is outlined, even if these could have been presented in a more diagrammatic manner.

- The involvement of stakeholders/end users is not sufficiently considered.

- The results depend on the active participation of citizens and stakeholders and their readiness to embrace the proposed solutions, but the link between measures and desired participation and behaviour change of citizens is not convincingly presented.

- The proposal could have developed the gender issues more clearly./the gender dimension is not sufficiently integrated.

- The choice of cases and particular technologies to be demonstrated is not sufficiently justified.

Extent that proposed work is ambitious, has innovation potential, and is beyond the state of the art (e.g. ground breaking objectives, novel concepts and approaches)

- Limited overall ambition of the proposal/Innovation beyond the state-of-the-art is insufficiently developed.

- No clear evidence of innovation potential.

Best practices: Excellence

- Strutturare chiaramente gli **obiettivi** (anche con l'aiuto di grafici), che siano rilevanti rispetto alla call e **<u>misurabili</u>**.

- Costruire su progetti EU in atto o conclusi.

- Descrivere I **concetti base** e le diverse componenti tecnologiche del progetto in maniera esaustiva ed organica in tutta la proposta.

- Stabilire un **equilibrio credibile** tra ricerca, dimostrazione e first market replication action (laddove applicabile).

- Interdisciplinarietà: combinare efficacemente diversi domini di expertise.

- Adottare un approccio interdisciplinare che includa per esempio '*policy development, citizen science, data interoperability and capacity building*'.

- Ambition ed innovatività possono essere espressi anche attraverso la partecipazione degli stakeholders.

- Non trascurare end-users e/o technology transfer providers!

- Adottare una metodologia che si basi su un approccio step by step.

Criterion 2 - Impact

The expected impacts listed in the work programme under the relevant topic

- The proposal **lacks a proper description and justification of the important impact categories** that would allow to better estimate its real contribution at European and/or International level.

- Not **quantified** impact/clear justification of the forecasts on impacts is missing.

- Provided numbers are not fully convincing, as **supporting facts** are missing.

- Quantitative estimation of the **contribution of the project output to the expected impacts** are not given.

- Achievement of the described coverage of the market is not likely to happen. The **calculated revenues are too optimistic.**

Enhancing innovation capacity and integration of new knowledge

- **Enhancement of innovation capacity, although projected to be attainable whithin both the consortium and societal impacts, is not explicitly presented in the proposal.**

- Details on the **integration of knowledge from other sectors** (e.g. social science) is weak.

Criterion 2 - Impact

Strengthening the competitiveness and growth of companies by developing innovations meeting the needs of European and global markets and where relevant, by delivering such innovations to the markets

- Absence of perspectives on **consumers' acceptance of the project outcomes.**

- The proposal does not provide sufficient elaboration on **social innovation .**

- Barriers like the **lack of EU standardization in the sector** and the barriers faced when trying to access new international markets are identified, but the means to overcome them are minimally addressed.

- Although **scientific peer-reviewed publications** will derive from the project, the proposal does not specify their expected number, or targeted journals.

- The boundary between IPR restrictions and open access of data is not always clear.

Any other environmental and socially important impacts

- **No significant environmental and social impacts** beyond the call targets.
- Enhanced **citizen awareness and participation** mentioned but not sufficiently developed.
- Impact of the actions on day-to-day activities of citizens is not sufficiently explained.

Criterion 2 - Impact

Effectiveness of the proposed measures to exploit and disseminate the project results (including management of IPR), to communicate the project, and to manage research data where relevant

- Insufficient/standard **communication measures**.

- In the **dissemination strategy** a clear targeted strategy to reach different stakeholders' groups is not well mentioned.
- The **performance indicators for dissemination** are not ambitious.

- The possibility to set up **training workshops towards end users** as a way to decrease the barrier for adoption of the project results is not considered enough.

- Ability to effectively r**eplicate the concept and technology throughout Europe** is not evident.

- **Exploitation plan** is absent/partial or vague.

- Lack of details on **IPR management**.

- Numerous deliverables are intended to have **restricted dissemination**.

Best practices: Impact

- Descrivere gli impatti attesi in una **tavola sinottica**.
- Definire una **exploitation strategy** che contenga 4 elementi fondamentali:
  1. analisi del mercato (e possibile impatto sullo stesso),
  2. management della proprietà intellettuale,
  3. innovation management
  4. business plan
- Non trascurare gli aspetti della **standardizzazione** (e.g. attraverso link con il CEN/CENELEC)
- Creare **una connessione** tra le azioni di **disseminazione** e di **exploitation** al fine di operare in vista di una futura commercializzazione del prodotto/servizio oggetto della proposta (a tal fine, eventualmente sviluppare una SWOT analisys).

Best practices: Impact

- Sia nelle IA che nelle RIA, prevedere un **business case** preliminare che mostri i vantaggi in termini di costi del prodotto/servizio oggetto della proposta.

- Trattare esaustivamente gli aspetti dell'**IPR** e dei diritti di accesso per lo **sfruttamento commerciale**.

- Sviluppare misure di disseminazione e comunicazione modellate sulle esigenze dei vari **target groups**.

- Laddove possibile, promuovere il coinvolgimento della **società civile** (e.g. attraverso la *citizen science*).

- Prevedere il coinvolgimento degli attori impegnati nel *policy* e *decision making*.

Best practices: Impact

- Coinvolgere direttamente **PMI e centri di ricerca privati** così che possano direttamente beneficiare dei risultati del progetto, generando nuova innovazione. Le potenzialità di sfruttamento in questo senso sono indice della futura capacità del progetto di generare opportunità di lavoro e benessere economico.

- Stabilire meccanismi di valutazione **dell'efficacia delle misure** di comunicazione lungo che operino durante tutto l'arco del progetto al fine di garantirne l'efficacia.

- Strutturare le attività di comunicazione e disseminazione in modo da permettere la **validazione dei risultati** del progetto da parte degli utilizzatori finali, massimizzando così il loro potenziale. Stabilire meccanismi che consentano agli end-user di dare il proprio feedback sul progetto.

- Fare un uso proattivo e mirato dei **social media**.

Criterion 3 - Quality and efficiency of the implementation

Coherence and effectiveness of the work plan, including appropriateness of the allocation of tasks and resources

- The **share of technical/research activities versus networking and dissemination ones** and viceversa is sometimes imbalanced comparing with the type of action considered.
- **Work packages** do not build into a coherent approach.
- The **logical flow of the work plan** is not appropriate to the core objective of the proposal.
- The **work plan is overloaded** as well as tasks and deliverables lists./WPs' and tasks' overlap.
- The content of the **work plan** is unequal in the level of details provided.
- **Discrepancies** between work packages, tasks and person months.
- Allocation of budget raises questions.
- The **allocated resources for coordination and management** are high comparing with other WPs.
- The **allocation of person months** for the project is overestimated.
- More **public deliverables** needed.
- Deliverables defined are limited to reports (e.g. demonstrator deliverables, both for technical demonstrations and for first market exploitation, are missing)

Criterion 3 - Quality and efficiency of the implementation

Complementarity of the participants within the consortium (when relevant)

- Limited array of potential end-users included in the **advisory board**.
- **Social scientists are insufficiently represented** which raises questions as to the ability of the consortium partners in delivering the full range of expected impacts.
- The consortium does not provide a **exhaustive geographical coverage**.
- Limited participation of industrial sectors *(if IA).*
- Misuse of **subcontracting** (showing lack of expertise whithin the consortium).

Appropriateness of the management structures and procedures, including risk and innovation management

- **Impropriety of the management structures** (e.g. The project executive board is too large, the role of the general assembly is not sufficiently explain or justified).
- **Weak innovation management**. It does not describe enough the potential impact of the project on the innovation capacity of every partner separately, nor is addressed the way new rising ideas will be handled during the project.
- **Poor risk manageme**nt.
- The risks related to regulatory constraints of innovation are not clearly addressed.
- Only a minority of the **staff** in the project teams consists of women.

Best practices: Implementation

- Descrivere logicamente e distribuire le attività dei Work Packages coerentemente lungo la durata del progetto assicurando la loro corretta implementazione, coordinamento ed integrazione.

- Dividere budget e person-months equamente tra partners e coerentemente con le loro attività.

- Costruire un consorzio multidisciplinare ed integrato che copra tutte le task del progetto in termini di expertise e di posizionamento sulla catena del valore.

- L'interdisciplinarietà del consorzio deve servire a prendere in considerazione non solo gli aspetti tecnici , ma anche gli aspetti legati a società, normativa e mercato.

- Il coordinatore deve preferibilmente avere esperienza pregressa nel coordinamento.

Best practices: Implementation

- Valorizzare il ruolo delle PMI nel consorzio.

- Laddove possibile, coinvolgere le autorità locali.

- Definire delle chiare strutture e procedure di management (e.g. che coinvolgano 'steering committee' , 'End-users committee', un 'communication manager', un 'innovation manager').

- Descrivere esaustivamente rischi e azioni di mitigazione degli stessi.

- Allocare le risorse economiche in maniera appropriata e ragionevole.

- Non trascurare gli aspetti di genere nella definizione dello staff (legato anche alla sezione 4 – Individual Participants)