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LIVE WEBINAR

EXPERT INSIGHTS

Delving into the Evaluation Summary Report in Horizon EU

MAY 16, 2023 11:00 - 12:00 (+30 MIN Q&A)

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in Connect on LinkedIn with Kim

🐦 twitter.com/emdeskpm

Researchers are crucial in today's world and I want to do my part to help them.

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Marie COUSIN

Consultant @Welcomeurope

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In this webinar Marie Cousin, consultant at Welcomeurope, will prepare you to better understand the expert-evaluators expectations and consider a re-submission or another proposal submission.

Webinar will include:

- Presentation of the expertise-evaluation process

- Evaluation grid and criteria

- Expert advice and examples

This webinar is presented by EMDESK in cooperation with Welcomeurope.

EMDESK is a project and work management solution for research and innovation projects.

It helps large teams across organisations to organise and collaborate in EU funded projects while keeping maximum control and transparency.

HIGH DATA SECURITY
(AES256)

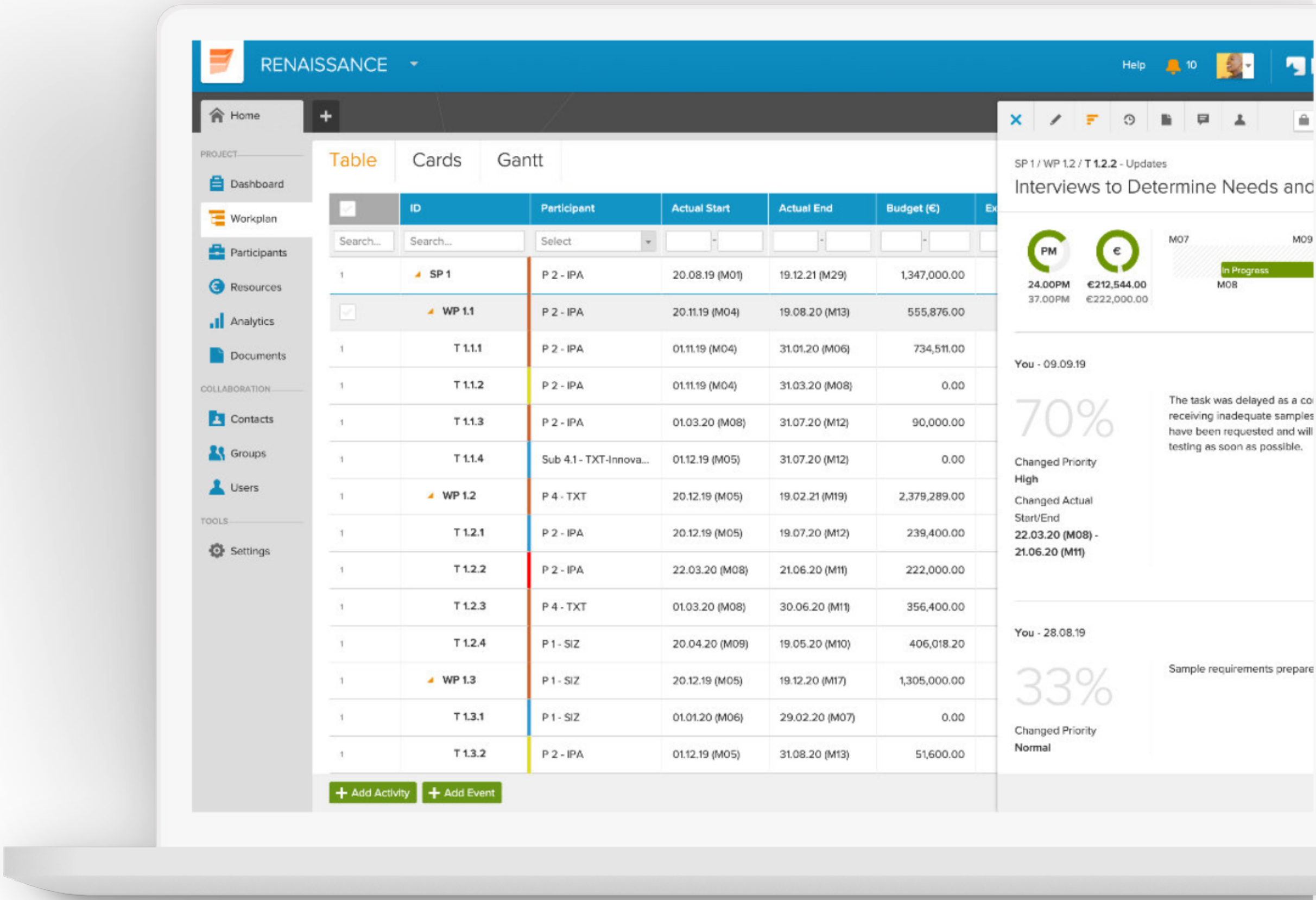FULL PROJECT
LIFE CICLE

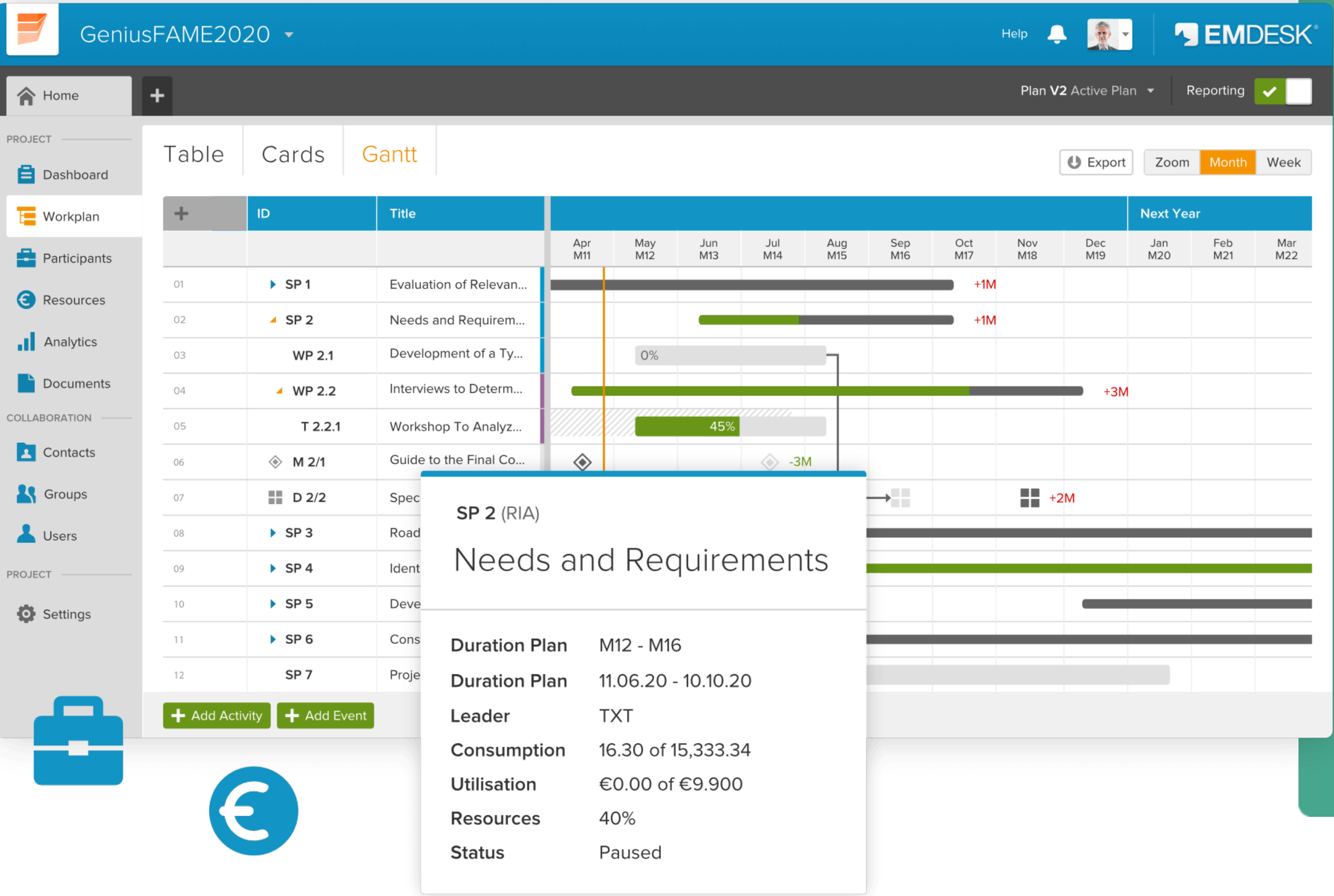DEVELOPED AND
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EMDESK - From planning, controlling, reporting, and collaboration. One stop solution you need to work more efficiently with others in real-time.
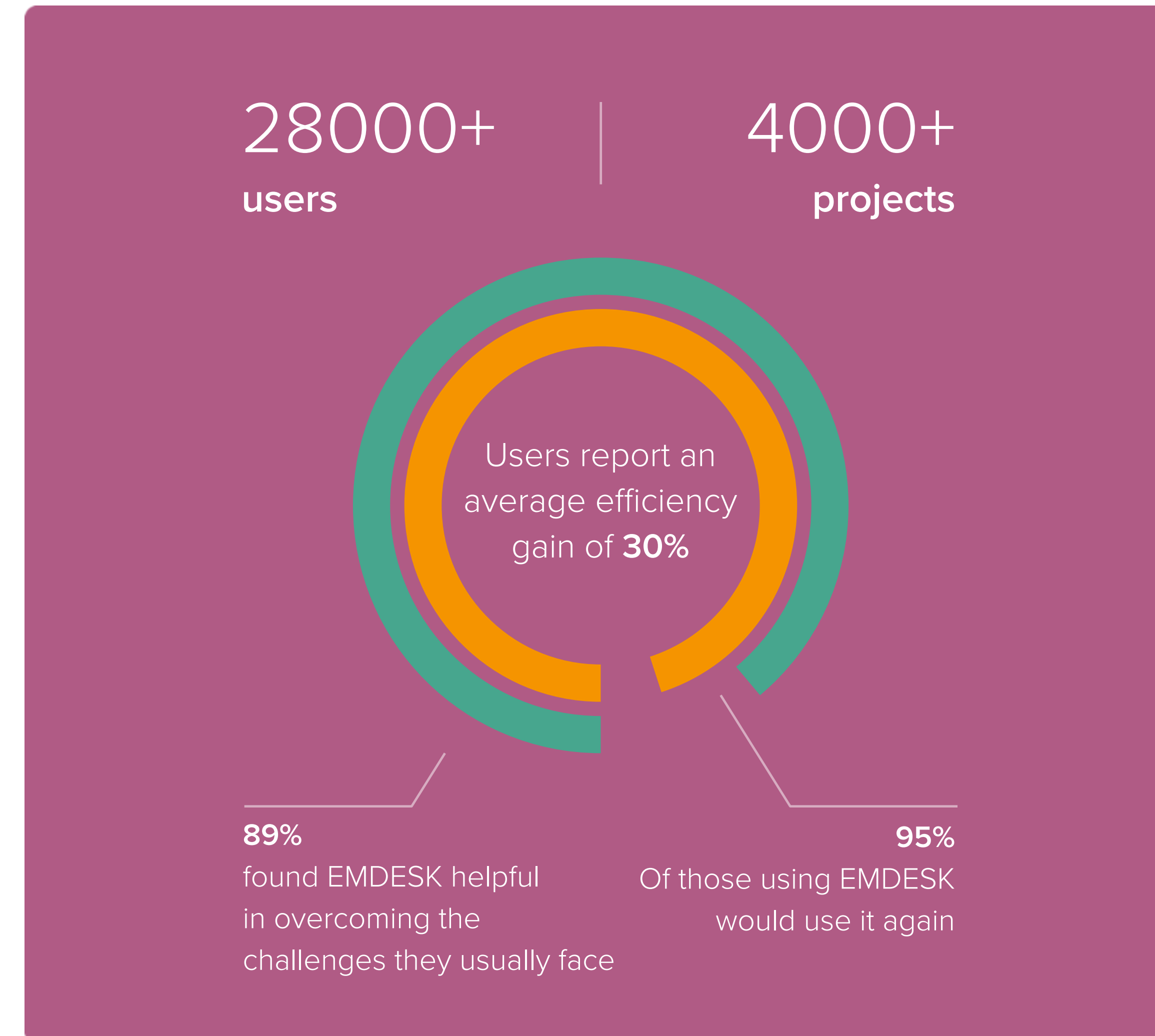
— Leading project and work management solution for H2020 projects

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Head of Administration of the EU FET Graphene Flagship at Chalmers University of Technology

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89%
found EMDESK helpful in overcoming the challenges they usually face

95%
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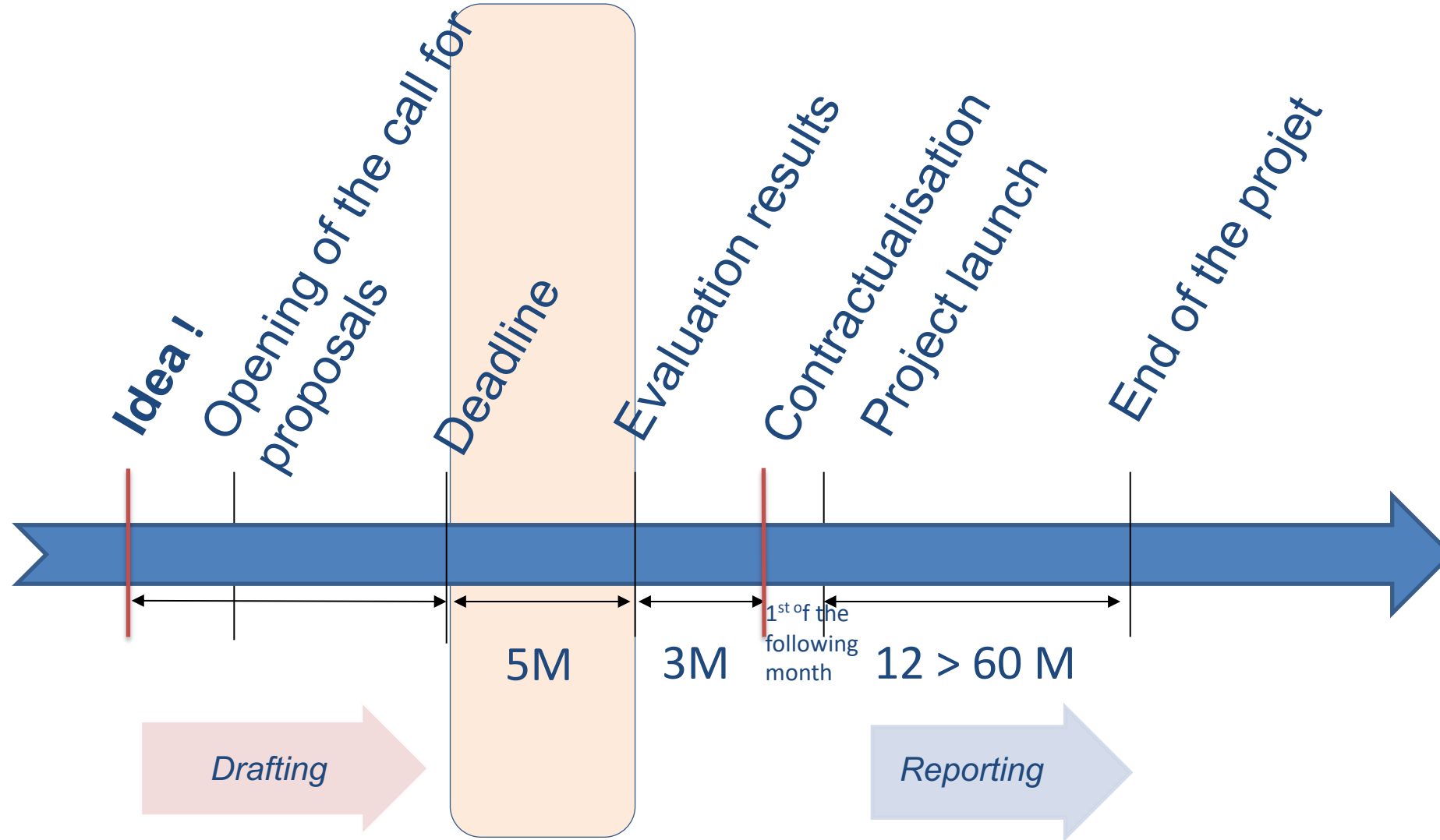# How to take into account the Evaluation Summary Reports (ESR) in order to improve your project?

✓ **Presentation of the expertise-evaluation process**

✓ **Evaluation grid and criteria**

✓ **Advices and examples**

How to better understand the process of expertise/evaluation of a proposal

« Time to Grant » in a Horizon Europe project

Idea !

Opening of the call for proposals

Deadline

Evaluation results

Contractualisation

Project launch

End of the projet

5M

3M

1st of the following month

12 > 60 M

Drafting

Reporting

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The evaluation procedure

CE / Agency

Eligibility criteria
- Readable, accessible, printable
- Completeness of the proposal
- In accordance with the template (online, limit page)

CE / Agency

Eligibility criteria
- Minimum number of partners as fixed by the text of the call
- Other criteria fixed in the conditions of the call (operational capacities…)

Distribution

Experts

Evaluation criteria
- Impact
- Implementation
- Excellency

The evaluation procedure

Proposal

Eligible proposal

Expert · Expert · Expert · Expert · Expert

Minimum 3 experts

Individual Evaluation report · Individual Evaluation report · Individual Evaluation report · Individual Evaluation report · Individual Evaluation report

Individual assessment

- *view on operational / financial capacity & ethical issues*
- *comments and scores for all evaluation criteria*
- *does not recommend substantial changes*

Consensus

Consensus Group

- *ensure that groups have been consistent in their assessments*
- *propose a new set of scores or comments*
- *resolve cases where consensus could not be reached*

Consensus Report → **Panel review** → Panel report / Evaluation summary report / Panel ranked list

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Consensus report

The rapporteur is responsible for drafting the consensus report (CR). The rapporteur includes consensus comments and scores and, in some cases, does not take part in the discussion.

- The quality of the CR is of utmost importance. It will be the basis for the evaluation summary report (ESR) sent to applicants together with the evaluation result letters. It often remains unchanged at the panel stage, so in most of the cases ESRs are identical to CRs.

- The aim of the CR is to give:

➢ A clear assessment of the proposal based on its merit, with justification.

➢ Clear feedback on the proposal's weaknesses and strengths, of an adequate length, and in an appropriate tone.

➢ Explain shortcomings, but not to make recommendations.

Panel Review

PR : experts from the consensus groups and/or new experts :
- Ensures the consistency of comments and scores given at the consensus stage
- Resolves any cases where a minority view is recorded in the consensus phase
- Endorses the final scores and comments for each proposal
- Any new comments and scores should be carefully justified.

- These changes may come as a result of:
- checking on possible inconsistencies
- benchmarking proposals belonging to different areas and/or subtopics
- resolving minority views
- cross-reading proposals with equal scores.

- Recommends a list of proposals in priority order
- Prioritises proposals with identical total scores
- May also hold hearings at which applicants are invited to present their proposal
- The discussion is led by the panel chair (normally EU staff, but also an expert in some cases).

The chair must ensure fair and equal treatment of the proposals and seek agreement on a common view

Profiles of expert evaluators

- Academics, researchers, industrialists (scientific subjects)

- End-users, socio-ecological actors, industry (impact)

- Consultants, industrialists (implementation)

- Recommended by organisations / calls for expressions of interest

Profiles of expert evaluators

Contracts

- Conflicts of interest
- Confidentiality
- Impartiality (non-biased)

Guidances

- Evaluation grids (3 criteria) :

The experts give a score and a comment for each criterion

1. Excellence

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

- **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**

Comments:

Score 1:
Threshold 3/5

2. Impact

Note: The following aspects will be taken into account:

- **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**
- 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

Comments:

Score 2:
Threshold 3/5

3. Quality and efficiency of the implementation *

Note: The following aspects will be taken into account:

- 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.

Comments:

Score 3:
Threshold 3/5

Individual Evaluation Report (IER) Checklists

IER checklist

This checklist aims to help you ensure that you have assessed all aspects of the proposals against the call text and you have placed your assessment in the most appropriate sub-criterion. The call text remains the definitive text on matters related to interpretation.

You **must assess the following points.** This includes writing a statement on each point, ideally in the order in this list (this is a considerable help for the rapporteurs when drafting the consensus report):

(...)

Soundness of the concept, and credibility of the proposed methodology

- Comment on the soundness of the concept – "it is sound"; "it is not sound" and explain your judgement.
- Comment on the analysis of the local case presented in the proposal and proposed to develop solutions and tools for the optimisation of ▮▮▮▮▮
- Comment on involvement of local consumers ▮▮▮▮▮ and commercial buildings in the project from the start.
- Comment if proposal includes international cooperation with India and the nature of this cooperation.
- Comment, with evidence/justification from the proposal, on the extent to which the methodology is credible.
- Comment on the ad-hoc indicators included to measure the progress against specific objectives.

(...)

CRITERION 3

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

- Comment on whether a task on the analysis of obstacles to innovation under the current context is included and whether coordination on policy relevant issues with similar EU-funded projects through the BRIDGE initiative is envisaged.
- Comment on whether the budget recommended for the research work associated with obstacles to innovation and budget for the coordination effort is envisaged.

(...)

! Evaluator does not have lot of time

- ✓ Use the same words as the call text (not synonyms)
- ✓ Go through the call text sentence by sentence. Close to the submission make sure the most important keywords and concepts are also in your proposal
- ✓ Evaluators must write a very precise justification from the proposal according to a standardized evaluation form.
- ✓ You must follow the proposal template : good information at the right section

Evaluation grid and criteria

The Horizon Europe application file

1. **EXCELLENCE**
   1.1 Objective
   1.2 Relation to the work programme
   1.3 Concept and approach
   1.4 Ambition

2. **IMPACT**
   2.1 Expected impact
   2.2 Dissemination & Exploitation

3. **IMPLEMENTATION**
   3.1 Workplan
   3.2 Management structure & Procedures
   3.3 Consortium as a whole
   3.4 Resources

4. **MEMBERS OF THE CONSORTIUM**
   4.1 Participants
   4.2 Third parties

5. **ETHICS & SECURITY**

The Horizon Europe Proposal Evaluation Form

Associated with document

Proposal Evaluation Form

EUROPEAN COMMISSION Horizon Europe (HORIZON)	Evaluation Summary Report - Research and innovation actions

Call: HORIZON-HLTH-2022-TOOL-11
Type of action: HORIZON-RIA
Proposal number:
Proposal acronym:
Duration (months):

Proposal title:

Activity:

N.	Proposer name	Country	Total Cost	%	Grant Requested	%
			1,110,000	17.00%	1,110,000	17.00%
			815,000	12.48%	815,000	12.48%
			123,625	1.89%	123,625	1.89%
			602,878.75	9.24%	602,879	9.24%
			402,000	6.16%	402,000	6.16%
			433,465	6.64%	433,465	6.64%
			123,125	1.89%	123,125	1.89%
			228,931.25	3.51%	228,931	3.51%
			275,500	4.22%	275,500	4.22%
			786,072.5	12.04%	786,073	12.04%
			867,875	13.29%	867,875	13.29%
			698,993.75	10.71%	698,994	10.71%
			60,625	0.93%	60,625	0.93%
Total:			6,528,091.25		6,528,092	

Abstract:

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The Horizon Europe Proposal Evaluation Form

Evaluation Summary Report

Evaluation Result

Total score: 9.50 (Threshold: 10)

Criterion 1 - Excellence

Score: **4.00** (Threshold: 3/5.00 , Weight: -)

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.

Criterion 2 - Impact

Score: **4.00** (Threshold: 3/5.00 , Weight: -)

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.

Criterion 3 - Quality and efficiency of the implementation

Score: **1.50** (Threshold: 3/5.00 , Weight: -)

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.

Due to the missing pages, the criterion is inadequately addressed.

Scores interpretations

- **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.

- Experts give a score out of 5 by section (so, out of 15 for the whole evaluation)

- Thresholds are applied to individual criteria and to the total score

- For some programmes (FTI, SME instrument), the impact component is multiplied by 1.5, resulting in a total score out of 17.5

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Proposals with identical scores

For each group of proposals with the same score, evaluators will start 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. First the proposals will be prioritised according to the scores they have been awarded for 'Excellence'. Then if these scores are equal, priority will be based on scores for 'Impact'.
In the case of 'Innovation actions' projects , priority will be given to the score for 'Impact', followed by '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

Advices and examples

Link between policy priorities and project results

SMART Project

S Specific

M Measureable

A Attainable

R Relevant

T Time Based
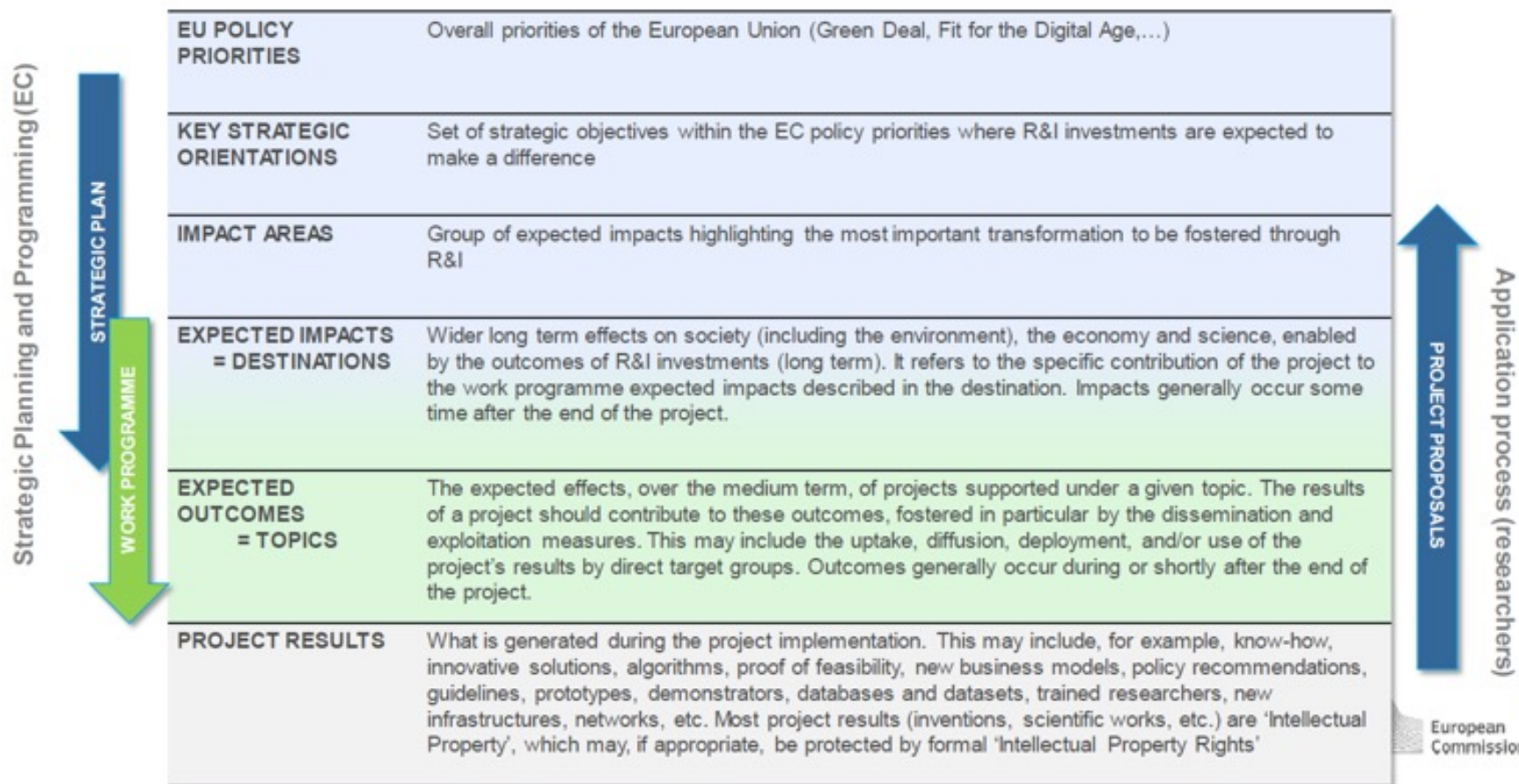
General objective

Express the main contribution of the project to the priorities of the call / topic> Attempt to address a broader strategic issue

➤ **we recommend to have 1 or 2**

Specific objectives

Specific ways in which your project will meet the overall objectives

➤ **we recommend 4 or 5**

Excellence

Key Points

- Objectives clearly formulated, ambitious, innovative
- Objectives timely and relevant to the topic
- European Green Deal objectives appropriately taken into account
- Contribution of project outcomes to existing challenges and benefits clearly explained

- *All projects must make a clear link to the European strategies associated with the call*

Weaknesses

- Objective not sufficiently explained
- Proposal does not clarify what is the scope
- Specific objectives are not clearly presented, especially in quantitative terms
- Link between objectives and targeted values and R&D areas as expected in the call are not always sufficiently explained and quantified

Impact

Key Points

- Proposal describes the expected outcomes and impacts and aligns them with the ones mentioned in the WP in a good final overview ; can be considerable ; are convincing
- Pathways to achieve outcomes and impacts are well described
- Pathways to achieve all expected outcomes of the topic, are clear and credible
- Very well addressed and intensively discussed with mitigation measures

Weaknesses

- Challenges are just addressed in a generic way
- Many of the required impacts addressed in a general way
- Lack of precision in implementation
- Not enough quantified, illustrated, convincing indicators
- Creation of jobs hasn't been supported by any valid proof or calculation
- Dissemination plan is too distant from the core of the project, and you exploitation plan is not significant enough

Implementation

Key Points	Weaknesses

Key Points

- Resources are fully balanced and reflects roles and activities of the partners in the proposal
- They are appropriate to the planned work and justified
- Coherent with the specific competencies of partners and demonstrates their strong contribution
- They realistically underpin the ambitions and excepted outcomes
- The number of work packages is proportioned and supports a lean management

Weaknesses

- There are challenges relating to the proposal's which are only stated in very general terms
- Several of the required impacts from the Call are illustrated with a very limited description
- Scalability of how expected outcomes will be achieved is not described in detail
- Pathways to the expected outcomes and impacts specified in the work programme are not convincingly illustrated & poorly quantified

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Members of the consortium

Key Points

- The description of partner's competencies and experience is robust. It demonstrates the expertise needed to achieve project goals
- Partners have the necessary skills/experience to undertake the work of your project
- Partners are complementary, there is a very good balance between the different disciplines and skills
- All participants have valid roles

Weaknesses

- The consortium is not complete : e.g. industrial involvement, SME's participation, specific competencies required by the call, …
- There is no evidence of relevant industrial/commercial involvement to ensure exploitation of the results
- Partners do not provide sufficient information on their infrastructure / previous experience of persons involved
- The link between the skills of each partner, and how this relates to their role in each WP is not clear enough
- It is not clear enough how the task/WP lead will coordinate the work of all the remaining partners

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The gender dimension in Horizon Europe

Eligibility criteria

- Gender Equality plan > mandatory for public bodies from 2022

- Provides added value to research in terms of :
  ➡ **Excellence ; Rigor ; Producibility ; Creativity ; Commercial opportunity**

- Aim : target of 50% women managers at all levels by 2024

- GEAR Tool (Gender Equality in Academia and Research) : making universities and research organisations equal for women and men

Evaluation

- Part B; 1.2 Description of the methodology

  ➡ *Describe how the gender dimension (i.e. sex and/or gender analysis) is taken into account in the project's research and innovation content [e.g. 1 page]. If you do not consider such a gender dimension to be relevant in your project, please provide a justification.*

key points

This may change depending on the call for proposals

✓ The gender dimension and inclusion are well taken into the content of the research, as well as in the tasks and actions.

✓ Very relevant objectives. Clear linkage of objectives to the content of the call, well built, well described.

✓ The proposal addresses the outcomes and impacts specified in the call. The expected impact on science, society, policy makers and industry is adequately presented.

✓ The proposal presents a solid work plan, ambitious, of a very high quality and presented in a comprehensive and very detailed manner.

✓ Each partner has a specific and well-established role, in line with its expertise and in accordance with its experience.

weaknesses

This may change depending on the call for projects

- ✓ Interdisciplinarity is not sufficiently integrated, the interdisciplinary approach is not sufficiently described.

- ✓ The gender dimension is covered, but it is presented as complementary element rather than one of the main objectives.

- ✓ Although the consortium plans to involve citizens from multiple social contexts, this involvement is too focused on evaluation, which undermines the impact of social innovation.

- ✓ Only the pathway to the scientific results of the project is adequately described, while the economic and social impact is not clearly demonstrated.

- ✓ There is a lack of coherence between the WPs : Avoid too much division between sections and demonstrate good integration of the work packages with each other.

- ✓ The activities are adapted to the scale of the project, but there are not enough specific information about the planned events and dissemination methods

Additional recommendations

- The GANTT chart is too generic, which, given the strong interdependencies between the proposed tasks, does not give sufficient confidence that the project will be delivered on time

- TRL scale is not respected from the call text : e.g. TRL 5 in the call text and the consortium wants to do more (TRL6)

- Unbalanced budget between partners: be careful with the subcontracting cost

- Examples of concrete data sources are not adequately specified in the proposal

- The comparison with the state of the art is not fully described in the proposal

- Any significant impacts not included in the work programme are not clearly described in the proposal

- The management of intellectual property rights is vaguely defined and does not take into account open licensing and royalty-free use of results

- Identification of technical and social risks is insufficient
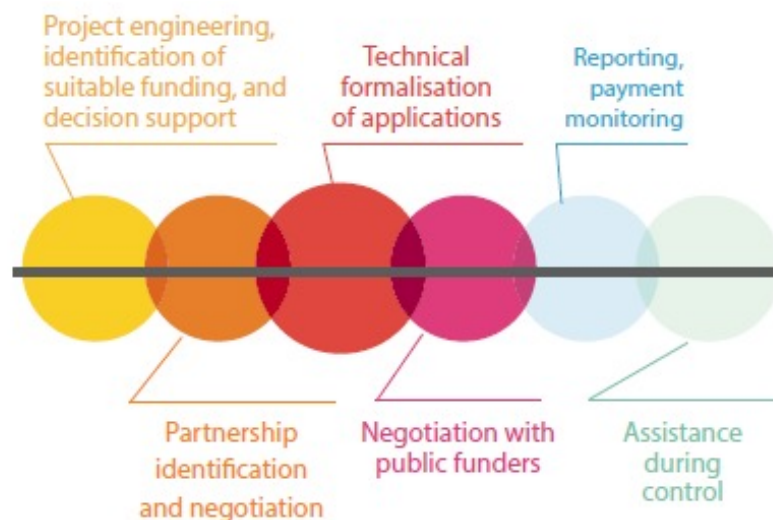
- Not enough Milestones

Additional recommendations
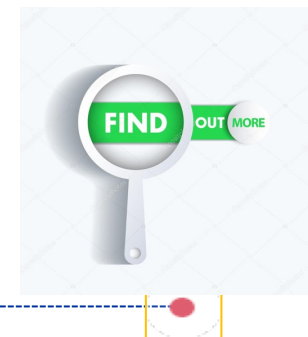
- A clear, precise and airy final version is the **result of successive simplifications made throughout the drafting process**

- Use visual **elements to highlight** important points: illustrations, graphs, tables

- **Quantify** (not just indicators) > this is a remark often found in projects

- Avoid **abbreviations** (insert glossary)

- Ask for a proofreading!

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Assistance during control

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Training: sessions on European funds

Consultancy: assistance from European funds

Thank you for
your attention and best chance of success in
your projects !

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16/05/2023

Q&A ?

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Q&A SESSION

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