

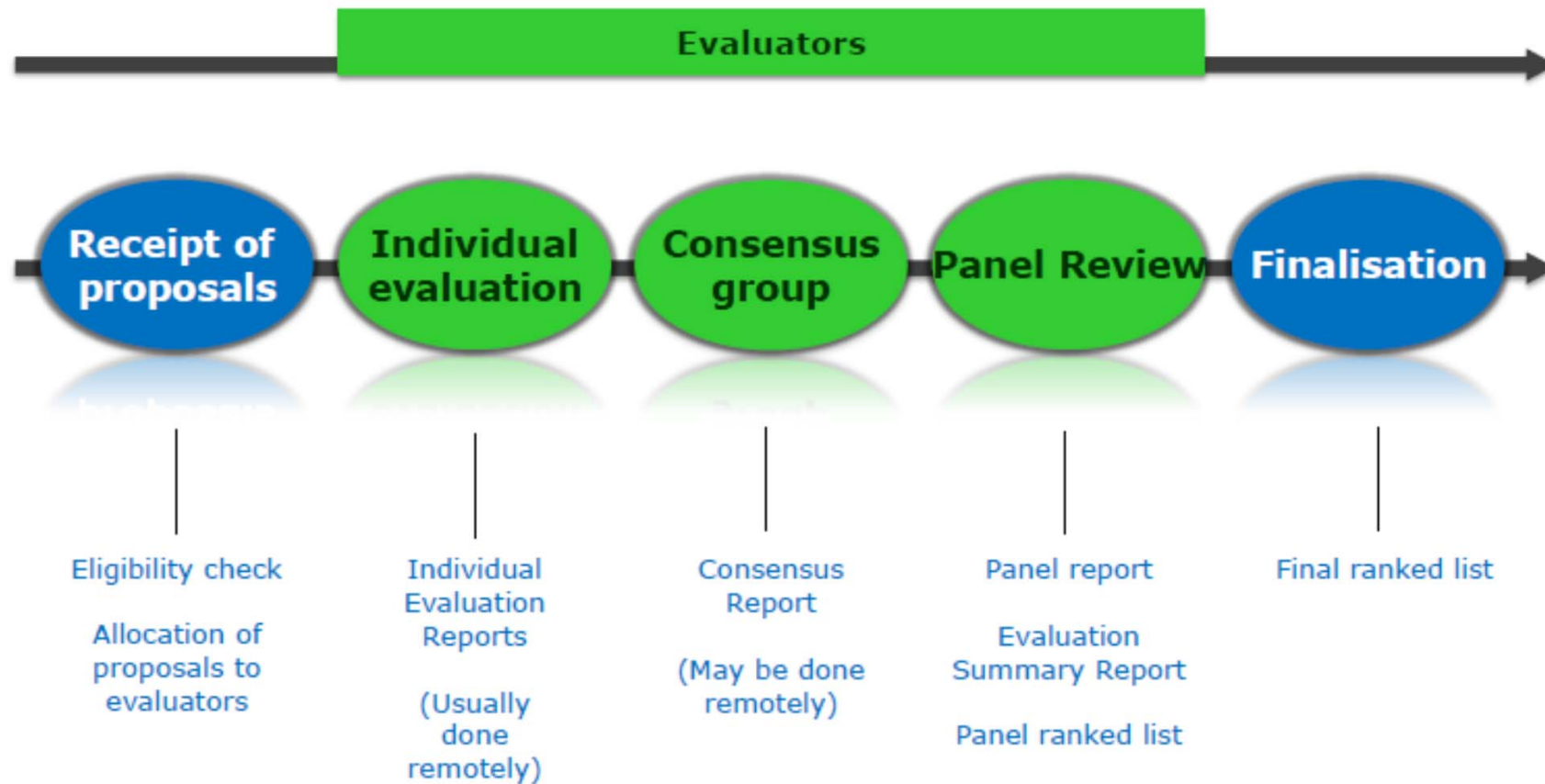
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# **Erfahrungen bei der Begutachtung von Verbundforschungsanträgen in Horizont 2020**

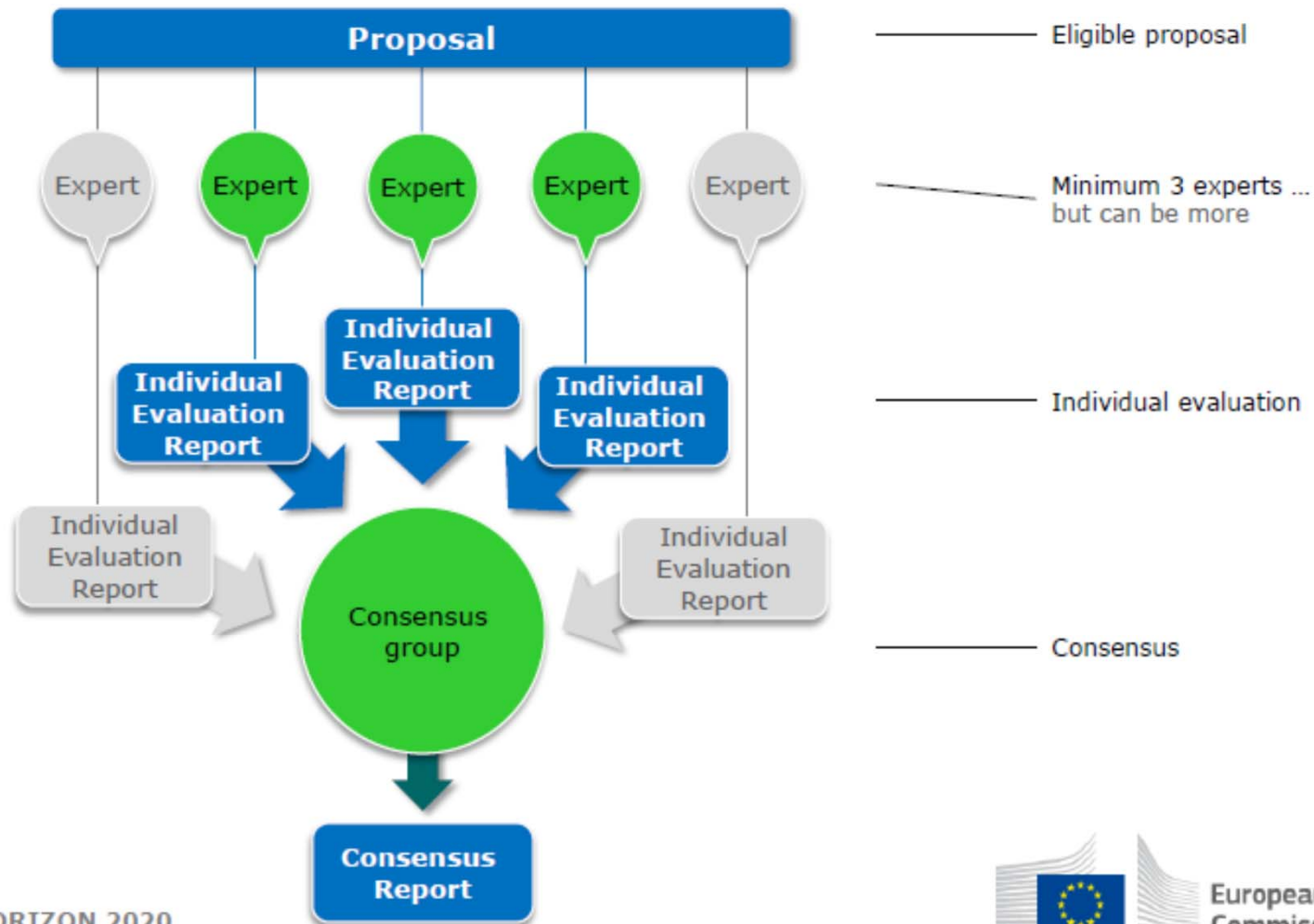
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# Übersicht über den Evaluationsprozess



# Der Evaluationsprozess



# Ausschreibungen und Projektvorschläge im Vergleich zu früheren Rahmenprogrammen

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## **Greater emphasis on impact, through '*Expected impact statements*'**

- Applicants asked to explain how work will bring about described impacts
- During the evaluation, the evaluators are asked to assess this potential contribution

## **More emphasis on innovation**

- Horizon 2020 supports all stages in the research and innovation chain including non-technological, social innovation and activities closer to the market

## **Proposals may bring together different disciplines, sectors and actors to tackle specific challenges**

- e.g. scientists, industry, SMEs, societal partners, end-users...

# Zulässigkeit, Eignungsprüfungen und zusätzliche Anforderungen

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## **Admissibility is checked by Commission/Agency:**

- Readable, accessible and printable
- Completeness of proposal, presence of all requested forms
- Inclusion of a plan for exploitation and dissemination of results (n/a first stage of two stage proposals or unless otherwise specified in the WP)

## **Eligibility checked by the Commission/Agency - however, if evaluators spot an issue relating to eligibility, they inform the Commission/Agency**

- Minimum number of partners as set out in the call conditions
- Other criteria may apply on a call-by-call basis as set out in the call conditions

## **“Out of scope” – content of a proposal corresponds, wholly or in part, to the description of the call or topic**

- A proposal will only be deemed ineligible in clear-cut cases when there is no obvious link between proposal and call topic

# Operative Kapazität

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**As part of the Individual Evaluation, give your view on whether each applicant has the necessary **basic operational capacity** to carry out their proposed activity(ies) based on the information provided**

- Curriculum Vitae or description of the profile of the applicant
- Relevant publications or achievements
- Relevant previous projects or activities
- Description of any significant infrastructure or any major items of technical equipment

**The consensus group considers whether an applicant lacks basic operational capacity**

**If yes, the consensus group makes comments and scores the proposal without taking into account this applicant and its associated activity(ies) (Not for stage one of two-stage procedures)**

# Evaluationskriterien

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**There are three evaluation criteria for full proposals:**

- Excellence (relevant to the description of the call or topic)
- Impact
- Quality and efficiency of the implementation

(Requests for 'exceptional funding' from third country participants not included in the list are also checked)

- **The criteria are adapted to each type of action, as specified in the work programme**

# Research and Innovation Actions

For the first stage of a two-stage procedure,  
only the aspects of the criteria in **bold** are evaluated

## Excellence

*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**
- **Extent that 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 expected impacts listed in the work programme under the relevant topic**
- Any substantial impacts not mentioned in the WP, 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 proposed measures to exploit and disseminate project results (including IPR, manage data research where relevant); communicate the project activities to different target audiences (n/a SME Phase 1)

## Implementation

- Quality and effectiveness of the work plan, including extent to which resources assigned in work packages are in line with objectives/deliverables
- Appropriateness of management structures and procedures, including risk and innovation management
- Complementarity of the participants which the consortium as a whole brings together expertise
- Appropriateness of allocation of tasks, ensuring that all participants have a valid role and adequate resources in the project to fulfill that role



# Kriterium: Exzellenz

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*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**
- **Extent that proposed work is beyond the state of the art, and demonstrates innovation potential (e.g. groundbreaking 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.**

# Innovation

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## **Balanced approach to research and innovation**

- not limited to the development of new products and services on basis of scientific and technological breakthroughs
- incorporate use of existing technologies in novel applications, and continuous improvements

**Activities close to market emphasise the widest possible use of knowledge generated by supported activities, up to the commercial exploitation**

**Emphasis on activities operating close to end-users and the market, e.g. demonstration, piloting or proof-of-concept**

- include support to social innovation, and support to demand side approaches (standardisation, innovation procurement, user-centred measures ...) to help accelerate the deployment and diffusion of innovative products and services into market

# Beispiele für Schwächen beim Kriterium: Exzellenz

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- Der Projektvorschlag kann exzellent sein, ist aber nur teilweise relevant in Bezug auf die Inhalte der Ausschreibung
- Mängel in der Planung der vorgeschlagenen Studien
- Die Komplexität der Thematik wird unzureichend beachtet.
- Keine Nutzung von Stakeholder-Wissen
- Hypothesen basieren nicht auf systematischen Reviews oder Meta-Analysen
- Keine wirklich neuen Ansätze erkennbar
- Es wird nicht klar, welche neuen Produkte und Ansätze entwickelt werden sollen
- Methodische Aspekte werden ungenau beschrieben  
z.B. Datengenerierung
- ...

# Kriterium: Impakt

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- **The expected impacts listed in the work programme under the relevant topic**
- Any substantial impacts not mentioned in the WP, 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 proposed measures to exploit and disseminate project results (including IPR, manage data research where relevant); communicate the project activities to different target audiences

# Beispiele für Schwächen beim Kriterium: Impact

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- Der Projektvorschlag berücksichtigt nur teilweise die in der Ausschreibung genannten und erwarteten Auswirkungen
- Keine zielgruppenspezifische Kommunikation der Projektaktivitäten (z.B. Entwicklung einer neuen APP)
- Eigentliche Risikogruppen werden nicht erreicht (z.B. bildungsferne Gruppen)
- Die Heterogenität der Zielgruppen wird unzureichend beachtet
- IPR Management wird ungenügend beschrieben
- Verbreitung und Verwertung der Ergebnisse (dissemination and exploitation) wird nicht genügend erläutert
- ...

# Kriterium: Implementation

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- **Quality and effectiveness of the work plan, including extent to which resources assigned in work packages are in line with objectives/deliverables**
- **Appropriateness of management structures and procedures, including risk and innovation management**
- **Complementarity of the participants which the consortium as a whole brings together expertise**
- **Appropriateness of allocation of tasks, ensuring that all participants have a valid role and adequate resources in the project to fulfill that role**

# Beispiele für Schwächen beim Kriterium: Implementation

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- Wichtige Risiken werden nicht erkannt/genannt.
- Unausgewogenheit des Konsortiums: z.B. Überrepräsentanz von naturwissenschaftlicher Grundlagenforschung, Unterrepräsentanz von Kommunikations- und Sozialwissenschaften
- Teilnehmer ohne erkennbare Rolle
- ...

# Wenn ein Projektvorschlag ...

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- Is only marginally relevant in terms of its scientific, technological or innovation content relating to the call or topic addressed, this is reflected in a lower score for the Excellence criterion
  - No matter how excellent the science!
- Does not significantly contribute to the expected impacts as specified in the WP for that call or topic, this is reflected in a lower score for the Impact criterion
- Would require substantial modifications in terms of implementation (i.e. change of partners, additional work packages, significant budget or resources cut...), this is reflected in a lower score for the “Quality and efficiency of the implementation” criterion
- If cross-cutting issues are explicitly mentioned in the scope of the call or topic, and not properly addressed (or their non-relevance justified), this is reflected in a lower score for the relevant criterion
  - A successful proposal is expected to address them, or convincingly explain why not relevant in a particular case
  - proposals addressing cross-cutting issues which are not explicitly mentioned in the scope of the call or topic can also be evaluated positively



# Benotung des Projektvorschlags und Schwellenwerte

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**Scores are given between 0 and 5 to each criterion based on the comments**

- The whole range of scores is used; by steps of 0.5
- 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 first stage of a two-stage procedure, only the criteria *Excellence*  
and (part of) *Impact* are evaluated**

- In that case, only the aspects of the criteria in bold are considered
- Default threshold for individual criteria is 4
- The level of overall threshold will be set so that success rate at stage 2 will be as close as possible to 1:3 (in terms of budget)

# Interpretation der Punkte/Noten (Scores)

## Bedeutung von Mängel und Schwächen

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- 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.

# Querschnittsthemen (Cross-cutting issues)

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- **Cross-cutting issues are integrated in the work programme (WP)**
- **Social Sciences and Humanities (SSH)** integrated across all Horizon 2020 activities
- **Gender dimension in the content of R&I** - question on the relevance of sex/gender analysis is included in proposal templates
- The strategic approach to **international cooperation** consists of a general opening of the work programme and targeted activities across all relevant Horizon 2020 parts
- Information on 'automatic funding' to third country participants is restricted – see list of countries
- **Other cross-cutting issues may also be included in the WP**  
Responsible Research and Innovation (RRI) including science education, open access to scientific publications, ethics...; standardisation; climate change and sustainable development ...

# Länder, deren Einrichtungen förderfähig sind

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- **Member States of the European Union, including their overseas departments and outermost regions.**
- **Associated Countries** – Iceland, Norway, Albania, Bosnia and Herzegovina, FYRM, Montenegro, Serbia, Turkey, Israel, Moldova, Switzerland (partial), Faroe Islands, Ukraine, Tunisia, Georgia
- **Third Countries – see the 'Annex A - List of countries, and applicable rules for funding'** for the list of third countries that are eligible for funding.
- **Exceptionally, other countries if:**
  - Bilateral agreement e.g. EU-US/NIH arrangement
  - Identified in the work programme
  - Deemed essential for carrying out the action.

# Erzielung eines Konsens

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**It usually involves a discussion on the basis of the individual evaluations**

- For full proposals, the average score is not converged on immediately.
- For first stage proposals, the average is a starting point.

**The aim is to find agreement on comments and scores**

- **First** the agreement on **comments** has to be achieved before scores!
- If an applicant lacks basic operational capacity, comments are made and the proposal is scored without taking into account this applicant and its associated activity(ies)

**Deviating “outlying” opinions need to be explored**

- They might be as valid as others – and are explored open-minded.
- It is normal for individual views to change.

**Moderated by Commission/Agency staff (or an expert in some cases)**

- Neutral and manages the evaluation, protects confidentiality and ensures fairness
- Ensures objectivity and accuracy, all voices heard and points discussed
- Helps the group keep to time and reach consensus

# Konsensbericht (consensus report (CR))

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## **The rapporteur is responsible for drafting the CR**

- Including consensus comments and scores
- In some cases, the rapporteur does not take part in the discussion

## **The quality of the CR is of great importance**

- It often remains unchanged at the panel stage

## **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.
- Explains shortcomings, but does not make recommendations

## **Avoidance:**

- Scores that don't match the comments
- Marking down a proposal for the same critical aspect under two different criteria

# Der Panelbericht

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- **Panel consists of 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 CR**
- **Endorses the final scores and comments for each proposal**
  - Any new comments and scores (if necessary) have to be carefully justified
- **Recommends a list of proposals in priority order**
- **Prioritises proposals with identical total scores**

# Projektvorschläge mit identischer Punktzahl

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**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

**In the event of ties, the panel takes into account the following factors:**

- First, the absolute EU budget allocated to SMEs
- Second, the gender balance of personnel carrying out the research and/or innovation activities



# Zusammensetzung der Gutachterpanels

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- Multidisziplinäre Expertise mit eigener Forschungs- bzw. beruflicher Erfahrung im Themenbereich der Ausschreibung (z.T. inkl. Medien- und Kommunikationswissenschaften)
- Keine Interessenkonflikte der Gutachter
- Regionale Balance

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**Vielen Dank!**