



Institut
Européen des
Membranes



PROJECT MODEL: FROM EXCELLENCE TO IMPLEMENTATION

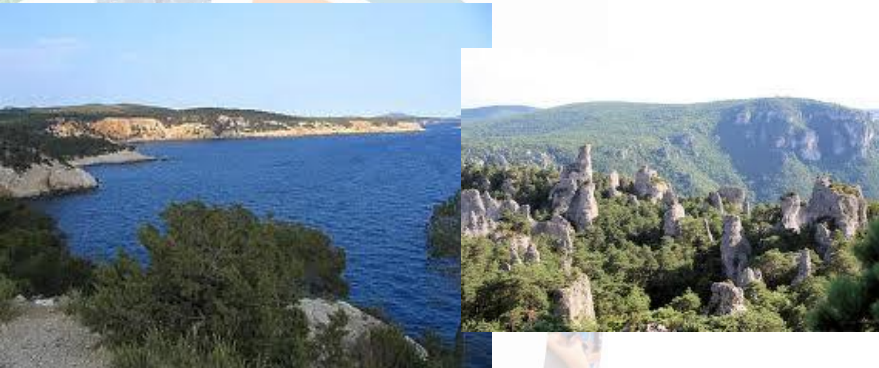
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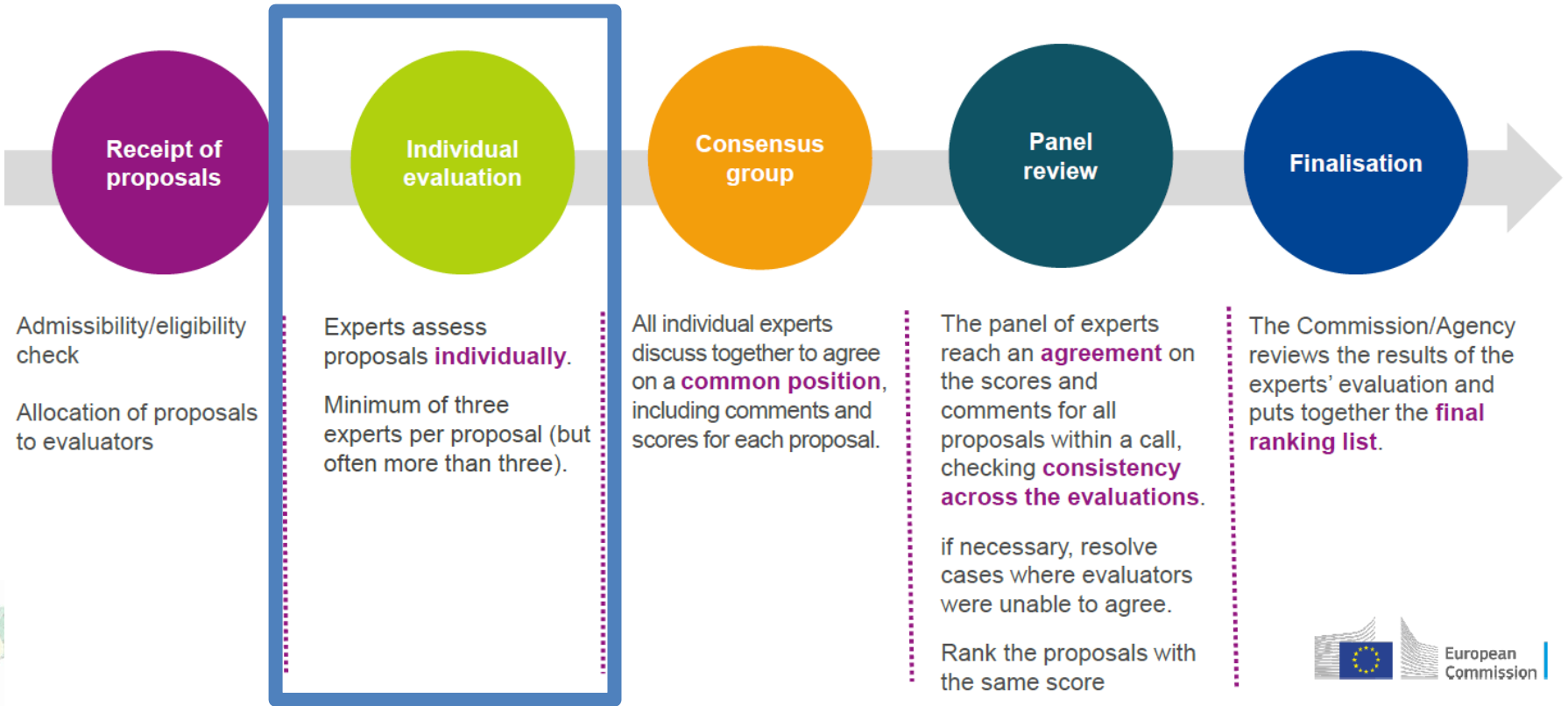


HORIZON EUROPE PROPOSAL EVALUATION

HORIZON EUROPE: AN EU R&I PROGRAMME



Standard evaluation process



Activities eligible for funding



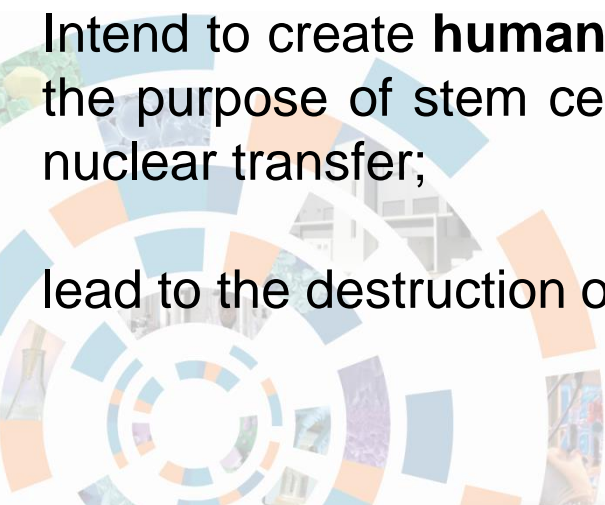
Eligible activities are the ones described in the call and topic conditions. The types of action include different activities eligible for funding.

Activities must **focus exclusively on civil applications** and **must not:** aim at human cloning for reproductive purposes;

Intend to modify the **genetic heritage** of human beings which could make such changes heritable (except for research relating to cancer treatment of the gonads, which may be financed);

Intend to create **human embryos** solely for the purpose of research, or for the purpose of stem cell procurement, including by means of somatic cell nuclear transfer;

lead to the destruction of **human embryos**.



Evaluation (award) criteria

Three evaluation criteria

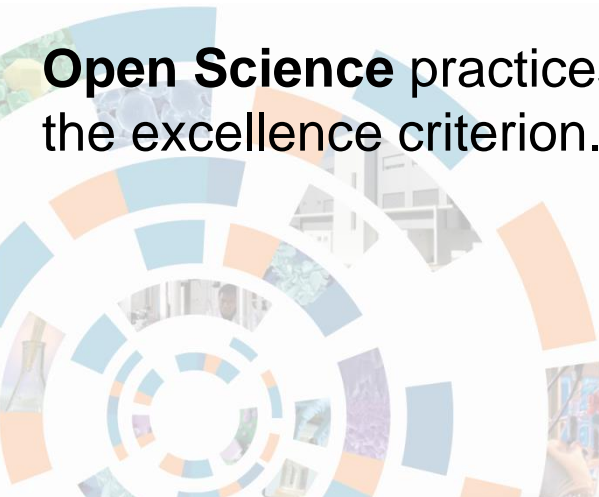
‘**Excellence**’, ‘**Impact**’ and ‘**Quality and efficiency of the implementation**’.

(Only one evaluation criterion for ERC -Excellence)

Evaluation criteria are **adapted** to each **type of action**, as specified in the WP

Each criterion includes the ‘**aspects to be taken into account**’. The same aspect is not included in different criteria, so it is not assessed twice.

Open Science practices are assessed as part of the scientific methodology in the excellence criterion.



EXCELLENCE



- ✓ 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.



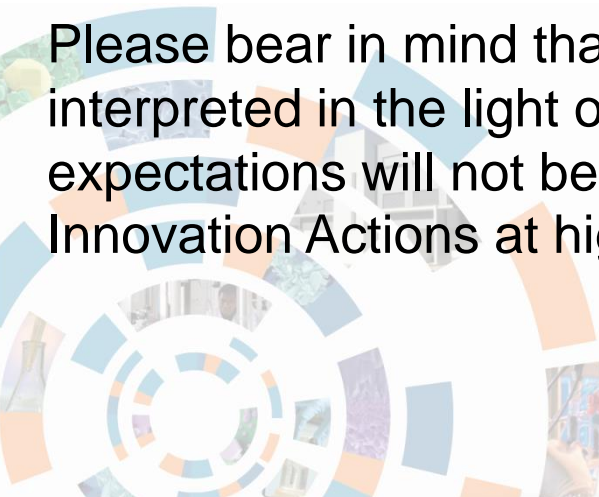
Evaluating the excellence criterion



Assess the project's objectives:

- Are they clear and pertinent to the topic?
- Are they measurable and verifiable?
- Are they realistically achievable?
- Is the proposed work ambitious and goes beyond the state-of-the-art?
- Does the proposal include ground-breaking R&I, novel concepts and approaches, new products, services or business and organizational models?
- Is the R&I maturity of the proposed work in line with the topic description?

Please bear in mind that advances beyond the state of the art must be interpreted in the light of the positioning of the project. For example, expectations will not be the same for RIAs at lower **TRL**, compared with Innovation Actions at high **TRLs**.



Evaluating the excellence criterion



Assess the scientific methodology:

- Is the scientific methodology (i.e. the concepts, models and assumptions that underpin the work) clear and sound?
- Is it clear how expertise and methods from different disciplines will be brought together and integrated in pursuit of the objectives? If applicants justify that an inter-disciplinary approach is unnecessary, is it credible?
- Has the gender dimension in research and innovation content been properly taken into account?
- Are open science practices implemented as an integral part of the proposed methodology?
- Is the research data management properly addressed?
- For topics indicating the need for the integration of social sciences and humanities, is the role of these disciplines properly addressed?



Open Science



Open science is an approach based on open cooperative work and systematic sharing of knowledge and tools as early and widely as possible in the process, including active engagement of society

Open science practices include:

- Early and open sharing of research (for example through preregistration, registered reports, pre-prints, or crowd-sourcing).
- Research output management including research data management (RDM).
- Measures to ensure reproducibility of research outputs.
- Providing open access to research outputs (e.g. publications, data, software, models, algorithms, and workflows) through deposition in trusted repositories.
- Participation in open peer review.
- Involving all relevant knowledge actors including citizens, civil society and end users in the co-creation of R&I agendas and contents (such as citizen science).

Gender dimension in R&I content



Addressing the gender dimension in research and innovation entails taking into account sex and gender in the whole research & innovation process.

Why is gender dimension important? It brings added value of research in terms of excellence, rigor, reproducibility, creativity and business opportunities It enhances the societal relevance of research and innovation



IMPACT



✓ 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 maximize expected outcomes and impacts**, as set out in the dissemination and exploitation plan, including communication activities.

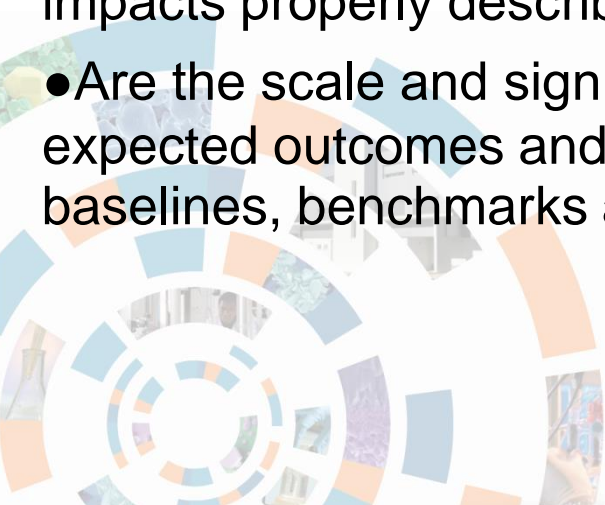


Evaluating the impact criterion



Assess the proposed pathways towards impact:

- Is the contribution of the project towards the 1) expected outcomes of the topic and 2) the wider impacts, in the longer term, as specified in the respective destinations of the WP, credible?
- Are potential barriers to the expected outcomes and impacts identified (i.e. other R&I work within and beyond Horizon Europe; regulatory environment; targeted markets; user behavior), and mitigation measures proposed? Is any potential negative environmental outcome or impact (including when expected results are brought at scale, such as at commercial level) identified? Is the management of the potential negative impacts properly described?
- Are the scale and significance of the project's contribution to the expected outcomes and impacts estimated and quantified (including baselines, benchmarks and assumptions used for those estimates)?



Evaluating the impact criterion

Assess the measures to maximise impact –

Dissemination, exploitation and communication :

- Are the proposed dissemination, exploitation and communication measures suitable for the project and of good quality? All measures should be proportionate to the scale of the project, and should contain concrete actions to be implemented both during and after the end of the project.
- Are the target groups (e.g. scientific community, end users, financial actors, public at large) for these measures identified?
- Is the strategy for the management of intellectual property properly outlined and suitable to support exploitation of results? If exploitation is expected primarily in non-associated third countries, is it properly justified how that exploitation is still in the Union's interest?



Management of intellectual property (IP)



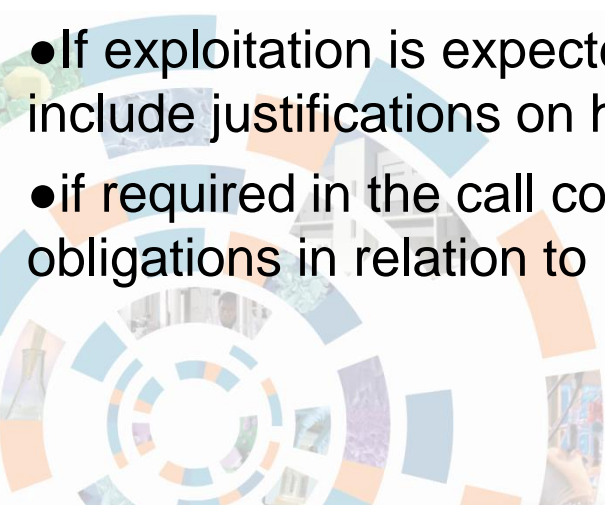
Each Horizon Europe beneficiary shall use its best efforts to exploit the results it owns, or to have them exploited by another legal entity, in particular through the transfer and licensing of results. In this respect beneficiaries are required to adequately protect their results – if possible and justified – taking account of possible prospects for commercial exploitation and any other legitimate interest.



Management of intellectual property (IP)

The strategy for IP management in a proposal

- Should be comprehensive and feasible and should include protection measures whenever relevant.
- Should be commensurate with the described pathways to outcomes and impacts and therefore underpins the 'credibility' of these pathways.
- Should consider 'freedom to operate' regarding the background owned by consortium members and/or third parties outside the consortium.
- Should give due thought to balancing between publication of results and plans to protect IP, e.g. in terms of timing the respective activities, involvement of IP experts.
- If exploitation is expected primarily in non-associated third countries, it must include justifications on how that exploitation is still in the Union's interest.
- If required in the call conditions, it must consider additional exploitation obligations in relation to IP.



QUALITY AND EFFICIENCY OF THE IMPLEMENTATION



- ✓ 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.



Evaluating the Quality of implementation



Assess the proposed work plan, and the effort and resources:

- Is the work plan of good quality and effective?
- Does it include quantified information so that progress can be monitored?
- Does it follow a logic structure (for example regarding the timing of work packages)?
- Are the resources allocated to the work packages in line with their objectives and deliverables?
- Are critical risks, relating to project implementation, identified and proper risk mitigation measures proposed?



Evaluating the Quality of implementation

Assess the quality of participants and the consortium as a whole:

(Note that important information on role of individual participants and previous experience is included in part A of proposal)

- Does the consortium match the project's objectives, and bring together the necessary disciplinary and inter-disciplinary knowledge.
- Does the consortium include expertise in open science practices, and gender aspects of R&I, as appropriate?
- For topics flagged as SSH relevant, does the consortium include expertise in social sciences and humanities?
- Do the partners have access to critical infrastructure needed to carry out the project activities?
- Are the participants complementing one another (and cover the value chain, where appropriate)
- In what way does each of them contribute to the project? Does each of them have a valid role, and adequate resources in the project to fulfil that role (so they have sufficient operational capacity)?
- Is there industrial/commercial involvement in the project to ensure exploitation of the results?

Additional questions in the evaluation form



Evaluation form includes:

- Main part with the three **evaluation criteria** where you give comments and scores
- **Additional questions:** The evaluators are asked to take a position on additional questions linked to the selection procedure or policy considerations.

Additional questions in Horizon Europe evaluations

- Scope of the application
- Additional funding
- Use of human embryonic stem cells (hESC)
- Use of human embryos (hE)
- Activities not eligible for funding
- Exclusive focus on civil applications
- Do not significant harm principle
- Artificial Intelligence

Interpretation of 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.



Thank you for your attention

For more information:

[HE Programme Guide](#)

[General Annexes of the WP](#)

[Standard application form \(RIAs/IAs\)](#)

[Support video briefings to help experts evaluate policy aspects](#)

