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# Horizon 2020 Work Programme for Research & Innovation 2018-2020

## H2020 Evaluation processes

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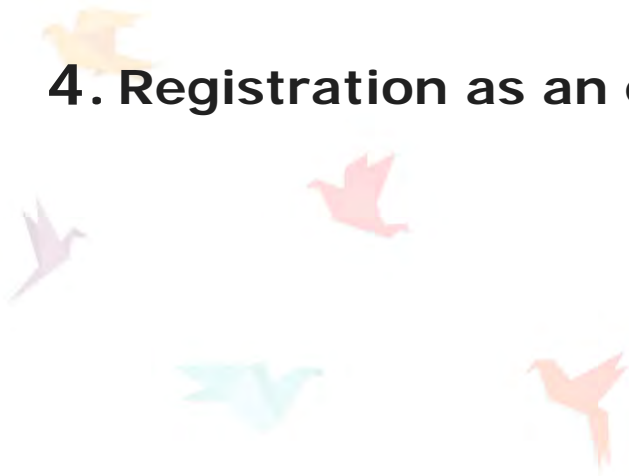
# Overview

**1. Warm-up session**

**2. Evaluation criteria, process and scores**

**3. Evaluators**

**4. Registration as an expert**



# 1. Warm-up session



# 1. Warm-up session

- What are the benefits of working as an evaluation expert for Horizon 2020 proposals?



## 2. Evaluation criteria, process and scores



# Standard evaluation criteria

There are three evaluation criteria for full proposals:

1 Excellence

2 Impact

3 Quality and efficiency of implementation

- The (sub-)criteria are adapted to each type of action, as specified in [Annex H](#) of the Work Programme
- There are two evaluation criteria for first stage proposals (Excellence and Impact)
- The evaluation criteria reflect the proposal structure (part B)

# Remember: Writing the proposal

**Tip: Write your proposal with the evaluation criteria in mind!**

## 1. Excellence

- › 1.1 Objectives
- › 1.2 Relation to the work programme
- › 1.3 Concept and methodology
- › 1.4 Ambition

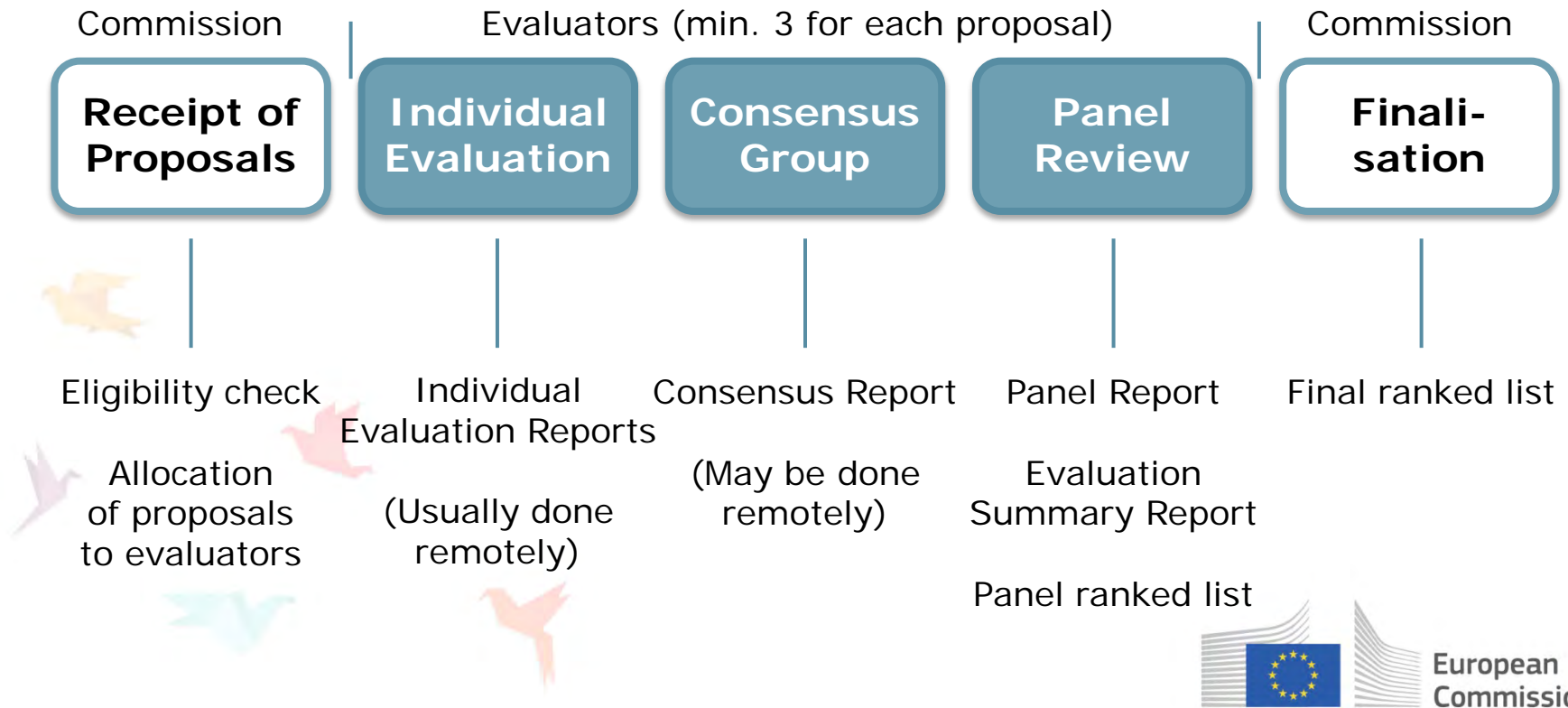
## 2. Impact

- › 2.1 Expected impacts
- › 2.2 Measures to maximise impact
  - › Dissemination and exploitation of results
  - › Communication activities

## 3. Implementation

- › 3.1 Work plan – work packages, deliverables
- › 3.2 Management structure, milestones and procedures
- › 3.3 Consortium as a whole
- › 3.4 Resources to be committed

# Overview of the Evaluation Process





## Evaluation scores

- The maximum overall score is 15 (3x5), unless a weighting is applied.
- Generally a pre-defined qualifying score on each criterion and an overall qualifying score needs to be achieved.
- Qualifying scores may vary
  - according to the type of action
  - between the first and second stage proposals in the case of two-stage procedures.



# Evaluation scores

Experts score each award criterion on a **scale from 0 to 5** (half point scores may be given):

- 0** Proposal fails to address the criterion or cannot be assessed due to missing or incomplete information
- 1** **Poor** – criterion is inadequately addressed or there are serious inherent weaknesses
- 2** **Fair** – proposal broadly addresses the criterion, but there are significant weaknesses
- 3** **Good** – proposal addresses the criterion well, but a number of shortcomings are present
- 4** **Very good** – proposal addresses the criterion very well, but a small number of shortcomings are present
- 5** **Excellent** – proposal successfully addresses all relevant aspects of the criterion. Any shortcomings are minor.

## Priority order for proposals with the same score

- a) Proposals that address topics, or sub-topics, not otherwise covered by more highly-ranked proposals
- b) Proposals are prioritised according to their score for Excellence. When these scores are equal, priority will be based on scores for Impact. (In the case of Innovation actions this prioritisation will be done in reverse order.)
- c) size of EU budget allocated to SMEs; gender balance among the personnel named in the proposal who will be primarily responsible.
- d) synergies between projects, or contribution to the objectives of the call or to Horizon 2020

## Final evaluation results

- The Commission produces a final ranked list according to the results of the evaluation:
  - **Main list**
  - **Reserve list**
  - **Below available budget**
  - **Below threshold**
- Applicants receive invitations for grant preparation / rejection decisions
- All applicants receive an Evaluation Summary Report

## What else you need to know about the evaluation process

- The European Commission organises the evaluation and accompanies the evaluation process as a moderator.
- Independent observer check the functioning and running of the overall process and advise, in their report, on the conduct and fairness of the evaluation sessions and, if necessary, suggest possible improvements.
- An ethics review takes place for proposals above threshold and considered for funding. Only proposals that comply with the ethical principles and legislation may receive funding.



# 3. Evaluators



## How are the evaluators selected?

- Independent evaluators are selected from the database of experts in the Participant Portal
- Independent experts need a high level of skills, experience and knowledge in the relevant areas
- Additionally a balance will be aimed for in terms of:
  - skills, experience and knowledge
  - geographical diversity
  - gender
  - where appropriate, the private and public sectors, and
  - an appropriate turnover from year to year.



# The guiding principles for evaluators

Evaluators are evaluating in a personal capacity. They represent neither their employer, nor their country

**Independence**

Evaluators treat all proposals equally and evaluate them impartially on their merits, irrespective of their origin or the identity of the applicants

Evaluators evaluate each proposal as submitted; meaning on its own merit, not its potential if certain changes were to be made

**Impartiality**

**Objectivity**

Evaluators make their judgment against the official evaluation criteria and the call or topic the proposal addresses only

**Accuracy**

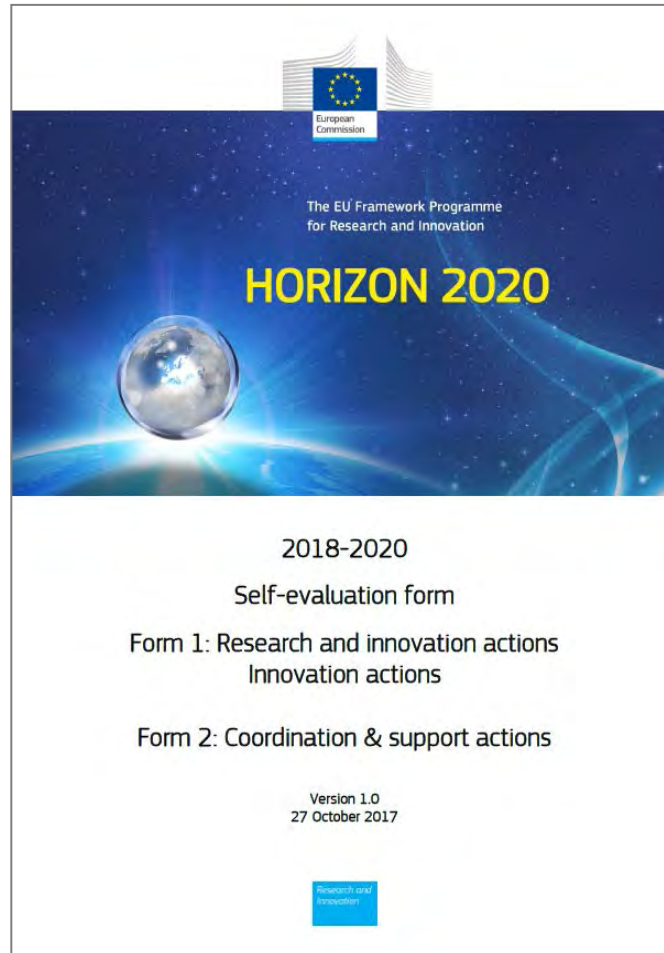
Evaluators apply the same standard of judgment to all proposals

**Consistency**



# Check your proposal with the eyes of an evaluator

## Use the Self-evaluation form



# 4. Registration as an expert



REGISTER AS EXPERT

## Register to become an independent expert!

- Registrations from independent experts from **all over the world** are welcome!
- **You have a chance of being selected as an expert if you:**
  - have high-level of expertise in the relevant fields ([see calls for experts for details](#))
  - can be available for occasional, short-term assignments
  - have no conflicts of interest in regards to the requested evaluation

**Go to:**

<https://ec.europa.eu/research/participants/portal/desktop/en/experts/index.html>

## Expert Registration Content

- You are asked to fill-in information concerning:

- **Personal Details**
- **Contact Details**
- **Programme Selection**
- **Languages**
- **Education**
- **Area of Expertise**
- **Professional Experience**

## What else you should know about working as an expert

- **Experts sign a contract**

- Have a look at the Model Contract for experts:

[http://ec.europa.eu/research/participants/data/ref/h2020/experts\\_manual/h2020-experts-mono-contract\\_en.pdf](http://ec.europa.eu/research/participants/data/ref/h2020/experts_manual/h2020-experts-mono-contract_en.pdf)

- **Experts receive a briefing**

- Have a look at the standard briefing:

[http://ec.europa.eu/research/participants/data/support/expert/h2020\\_expert-briefing\\_en.pdf](http://ec.europa.eu/research/participants/data/support/expert/h2020_expert-briefing_en.pdf)

- **Lists of contracted experts are published on an annual basis in the Participant Portal**

- Have a look at the lists:

[http://ec.europa.eu/research/participants/portal/desktop/en/funding/reference\\_docs.html#h2020-expertslists](http://ec.europa.eu/research/participants/portal/desktop/en/funding/reference_docs.html#h2020-expertslists)

- **Up to 450 Euro honorary per working day, reimbursement of travel expenses**

# Thank you!

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[www.ec.europa.eu/research](http://www.ec.europa.eu/research)

Participant Portal

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