



The EU Framework Programme
for Research and Innovation

HORIZON 2020



2018-2020

Self-evaluation form

Form 1: Research and innovation actions
Innovation actions

Form 2: Coordination & support actions

Version 1.0
27 October 2017

Research and
Innovation

History of changes

Version	Date	Change	Page
1.0	27.10.2017	WP 2018-20	

Self-evaluation form

Research and innovation actions Innovation actions

This form is made available to applicants who may themselves wish to arrange an evaluation of their proposal (e.g. by an impartial colleague) prior to final editing, submission and deadline. The aim is to help applicants identify ways to improve their proposals.

The forms used by the experts for their evaluation reports will be broadly similar, although the detail and layout may differ.

These forms are based on the standard criteria, scores and thresholds. Check whether special schemes apply to the topics of interest to you. The definitive evaluation schemes are given in the work programme.

A self-evaluation, if carried out, is not to be submitted to the Commission, and has no bearing whatsoever on the conduct of the evaluation.

Scoring

Scores must be in the range 0-5. Evaluators will be asked to score proposals as they were submitted, rather than on their potential if certain changes were to be made. When an evaluator identifies significant shortcomings, he or she must reflect this by awarding a lower score for the criterion concerned.

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.

Thresholds & weighting

The standard threshold for individual criteria is 3. The standard overall threshold, applying to the sum of the three individual scores, is 10.

Scores are normally NOT weighted. Weighting is only used for some type of actions (see below) — and only for the *ranking* (not to determine *if* the proposal passed the thresholds.)

Specific cases:

Innovation actions (IA)

For the ranking, the score for the criterion ‘impact’ will be given a weight of 1.5.

Two-stage submission schemes

For stage 1-proposals, only the criteria ‘excellence’ and ‘impact’ will be evaluated and within those criteria only the aspects indicated in bold will be considered. The threshold for each of the two individual criteria is 4.

After the evaluation, the call coordinator will then fix an overall threshold, to limit the proposals that will be invited to stage 2. (This overall threshold will be set at a level which ensures that the total requested budget of

proposals admitted to stage 2 is as close as possible to three times the available budget, and in any case, not less than two and a half times the available budget. The actual level will therefore depend on the volume of proposals received. The threshold is expected to normally be 8 or 8.5.)

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**
- **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 and gender dimension in research and innovation content**

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;**
- 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 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

Score 3:
Threshold 3/5

* Experts will also be asked to assess the operational capacity of applicants to carry out the proposed work.

- 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:

Total score (1+2+3)
Threshold 10/15

Self-evaluation form

Coordination & support actions

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Thresholds

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Two-stage submission schemes

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<p>1. Excellence</p> <p><i>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:</i></p> <ul style="list-style-type: none"> • 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 <p><u>Comments:</u></p>	<p>Score 1: Threshold 3/5</p>
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<p>2. Impact</p> <p><i>Note: The following aspects will be taken into account:</i></p> <ul style="list-style-type: none"> • 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: <ul style="list-style-type: none"> ➤ 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 <p><u>Comments:</u></p>	<p>Score 2: Threshold 3/5</p>
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<p>3. Quality and efficiency of the implementation*</p> <p><i>Note: The following aspects will be taken into account:</i></p> <ul style="list-style-type: none"> • 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. <p><u>Comments:</u></p>	<p>Score 3: Threshold 3/5</p>
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Total score (1+2+3)
Threshold 10/15

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