

# Critérios de avaliação

Elisabete Pires



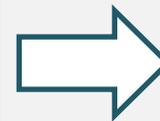
## HORIZONTE 2020 | Processo de avaliação por pares (I)



**Tópicos mais abrangentes, trans- e multidisciplinares**



**Propostas multidisciplinares**



**Painéis de avaliação multidisciplinares**

## HORIZONTE 2020 | Novos tipos de concursos, propostas e de avaliação!

### Concursos mais abertos >> mais abertos a propostas inovadoras

- Concursos menos prescritivos – texto não identifica soluções nem abordagens possíveis

### Maior enfoque no impacto (*call* e tópico)

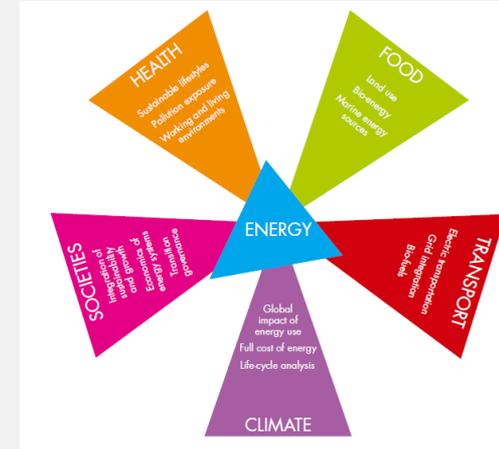
- Candidatos são solicitados a explicar como o seu trabalho contribui para impactos listados no concurso
- Peritos têm de avaliar a contribuição da proposta

### Maior enfoque na inovação

- Apoio a todas as fases da cadeia de investigação e inovação, como inovação não tecnológica, e social, e atividades mais próximas do mercado, incl. abordagens baseadas na procura (normalização, *procurement* de inovação, etc.) para acelerar *deployment*, chegada ao mercado e à sociedade.

### Aproximação de diferentes disciplinas, sectores e atores

- Ex. investigadores, industria, PME, parceiros sociais, utilizadores finais, ...



**PHC 4 – 2015: Health promotion for environment and health**  
Specific challenge: Better health and significant contribution to equitable and care systems. A “health in a means to stimulate and foster environmental change. This requires a multi-sector factors as housing; water and sanitation their mixtures; communication, and activity, food production and distribution

Scope: Given the breadth of sectors environment, climate and health sanitation, chemicals, occupational

Using a multidisciplinary approach makers, the private sector, civil society of the following elements:

Expected impact: This should provide

- On the basis of quantitative interventions taking a “health health, allowing informed decisions
- Impact on health and care sustainability,
- Contribution to the EU core Sustainable Development Goals

Type of action: Research and innovation



FP7-ICT-2011-9  
18/01/12 v1

Integrated project proposal  
uCapCortex

Large-scale integrating project (IP) proposal

ICT Call 9  
FP7-ICT-2011-9

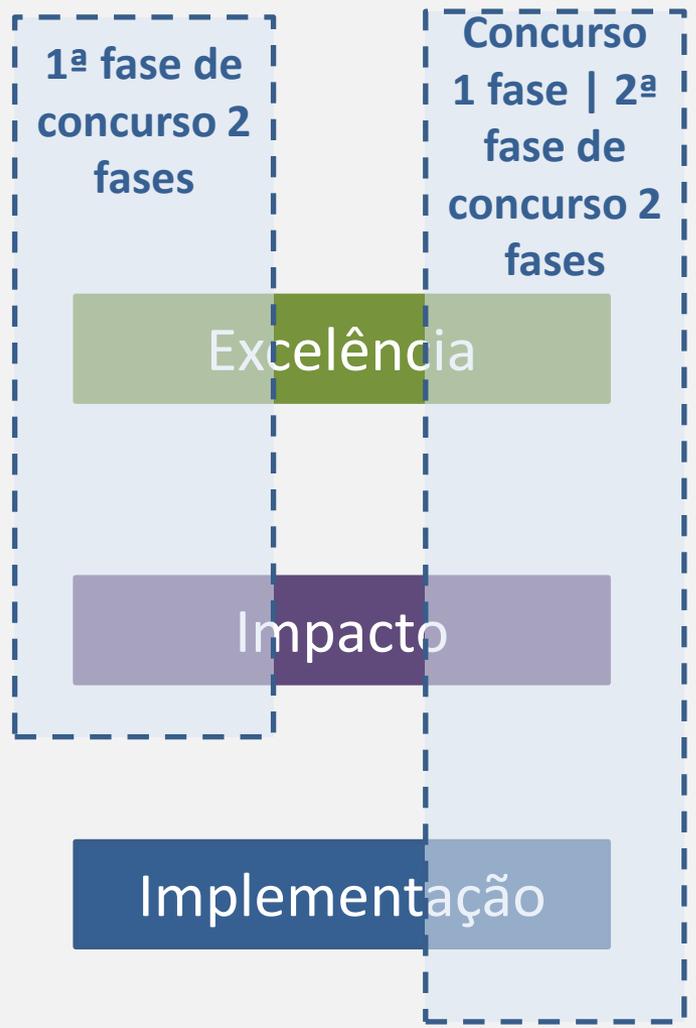
Ubiquitous Complex Event Processing in Exocortex Applications  
uCapCortex

Large scale integrating project (IP)  
Date of preparation: 2012-04-17  
Version number: V1.3

Work programme objective addressed:  
Challenge 2.16 Cognitive Systems

Name of the coordinating person: Paul Lukowicz  
e-mail: Paul.Lukowicz@d4k1.de  
fax: +49 631 205 75-2000

Participant no. *	Participant organisation name	Part. short name	Country
1 (Coordinator)	German Research Centre for Artificial Intelligence	DFKI	DE
2	Centrum für Informations-Technologie Transfer GmbH	CITT	DE
3	University of Lincoln	ULINC	UK
4	Technological Educational Institute of Lamia	TEILAM	GR
5	University of Würzburg	UWUE	DE
6	University of Garmisch	UOS	DE
7	University of Twente	UTWE	NL
8	Software AG	SAG	DE
9	SynKom	SYNK	NL



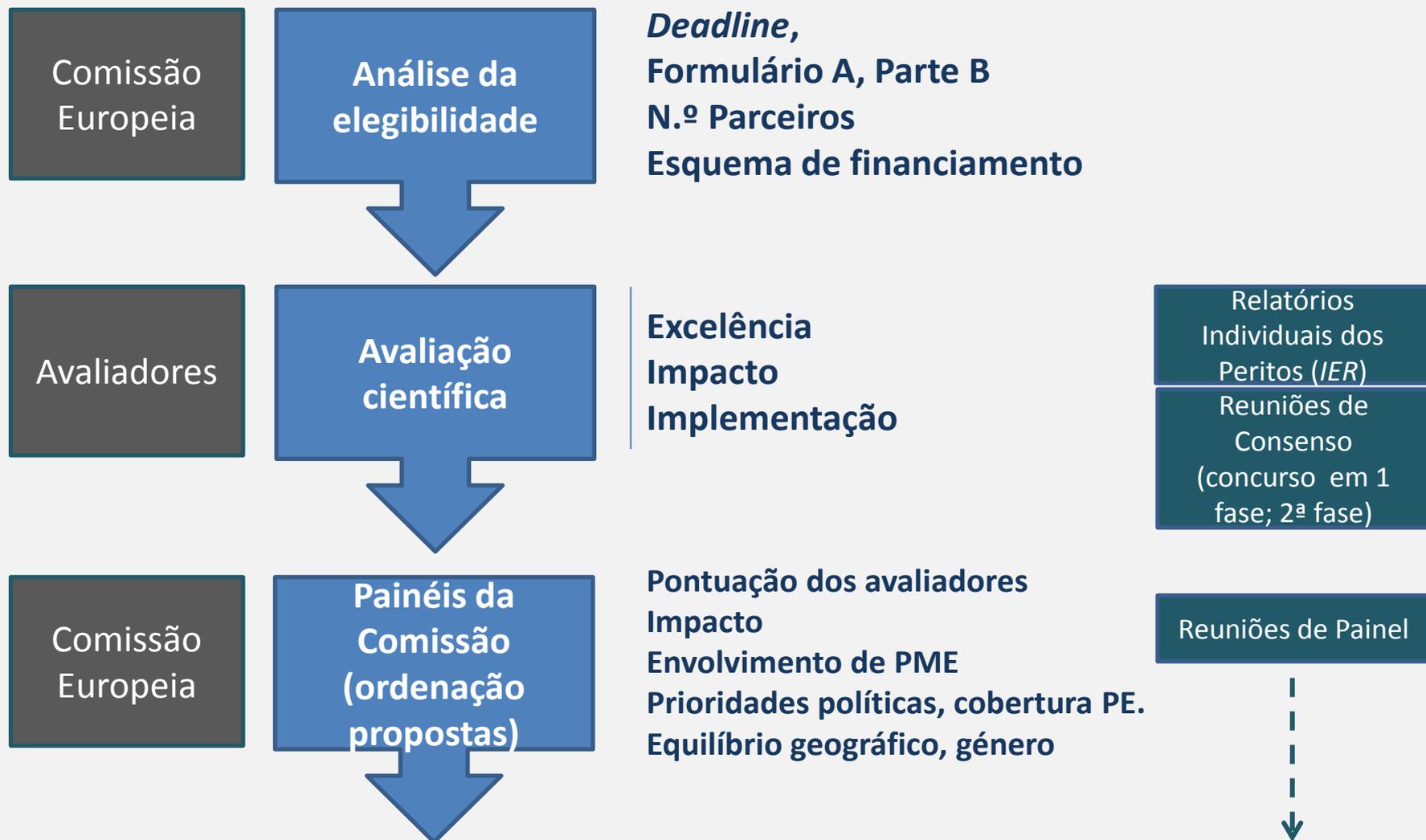
## HORIZONTE 2020 | Preparação da proposta -> *two stage vs. single stage topics*

<i>First stage</i>	<i>Second stage &amp; single stage topics</i>
<p><b><u>'Short outline proposal'</u></b></p> <ul style="list-style-type: none"> <li>- Parte A: no budget breakdown requested</li> <li>- Part B: máx. 7 or 15 pages</li> </ul>	<p><b><u>'Full proposal'</u></b></p> <ul style="list-style-type: none"> <li>- Parte A: budget breakdown</li> <li>- Parte B: máx. 70 pages (RIA/IA); max 50 pages (CSA)</li> </ul>
<p><b><u>Evaluation criteria (ex. DS1)</u></b></p> <ol style="list-style-type: none"> <li>1. Excellence (4/5)</li> <li>2. Impact (4/5)</li> </ol> <p><b>Total: 8/10</b></p>	<p><b><u>Evaluation criteria (ex. DS1)</u></b></p> <ol style="list-style-type: none"> <li>1. Excellence (4/5)</li> <li>2. Impact (4/5)</li> <li>3. Quality and efficiency of the implementation (3/5)</li> </ol> <p><b>Total: 12/15</b></p> <p>(IA: factor de 1,5 no critério Impacto)</p>



**Se a proposta não obtiver classificação mínima num critério, não será avaliada nos demais critérios!!**

## HORIZONTE 2020 | Processo geral de avaliação por pares



## HORIZONTE 2020 | Programa de Trabalho – Critérios de avaliação

### EXCELÊNCIA

- **Clareza** dos objectivos
- **Solidez** do conceito, incluindo considerações **transdisciplinares**
- **Credibilidade** da abordagem proposta
- Progresso **além do estado da arte**

### IMPACTO

- Impacto expectável evidenciado no Programa de Trabalhos
- **Aumento da capacidade de inovação** e a integração de novo conhecimento
- Fortalecimento da **competitividade** e o **crescimento das empresas** através do desenvolvimento de inovação que vá ao encontro às necessidades dos mercados Europeu e global
- Medidas para **disseminar e explorar os resultados (disseminação, comunicação, exploração dos resultados,...)**, envolvimento dos utilizadores finais da I&I

### IMPLEMENTAÇÃO

- Coerência e eficiência do plano de trabalhos (incluindo a descrição dos *work packages*) ... alocação de tarefas, recursos
- Competência, experiência e complementaridade dos participantes e do consórcio
- Adequabilidade das estruturas e procedimentos de gestão ... gestão de risco e planos de contingência

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**muito importante**

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## HORIZONTE 2020 | Interpretação da pontuação

**Pontuação de 1-5/ critério (meios pontos possíveis)**

**Pontuação global: 0-15**

**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*

## HORIZONTE 2020 | Impacto da preparação do contrato na avaliação

Diminuição do tempo para assinatura do contrato (ex.: 8 meses para RIA/IA)



**As propostas são avaliadas conforme são submetidas !!**

**Não há fase de negociação!**



### *Briefing* aos avaliadores dos primeiros concursos

- Não é possível solicitar/fornecer informação adicional (avaliação do mérito e *não do* potencial da proposta, caso fosse fornecida mais informação)
- *Shortcomings identificados*, que não sejam *minor*, têm de ser reflectidos na pontuação
- Explicação dos *shortcomings no Relatório Individual de avaliação (IER)*, mas sem recomendações (ex. parceiros, recursos, *work Packages*)
- Propostas com fraquezas significativas que impeçam o projeto de alcançar os objetivos, não devem ter pontuação *above-threshold*

## HORIZONTE 2020 | Critério 1 – EXCELÊNCIA (I)

### – algumas ilações da 1ª fase de concurso DS2 – Bioeconomia (I)

~2,5/5

- *The target audience identified in the proposal appears to be **overly academic***
- *The **concept is not convincing** as the proposal does not clearly and credibly explain the principle*
- ***Results of a patent search are not included** in the proposal.*
- *There is a **lack of technical information** to support and understand the expected achievements of the proposal.*
- *The consortium **does not point out how to tackle solutions to problems** described in the Call, with enough probability of success.*

~3/5

- *... although a multidisciplinary approach is announced in the proposal, there are **only a limited number of disciplines involved**.*
- *The **socio-environmental system approach concept is not fully described** and covered*
- *The proposal is **overambitious** and at the same time it shows a good innovation potential, mainly in the field of data handling and technology integration*
- ***no clear distinction is provided between the integration of existing technologies and technologies to be developed by the project***

## HORIZONTE 2020 | Critério 1 – EXCELÊNCIA (II)

### – algumas ilações da 1ª fase de concurso DS2 – Bioeconomia (I)

~3,5/5

- *The proposal **would also be improved by emphasising more the applied aspects of the work** which presently appear **rather narrow** in relation to the **scientific ambition***
- ***some of these devices have analogs in the practice, while others will have to prove their reliability.** This may reduce significantly the chance for ground-breaking results*
- *The multi-actor approach could have been better developed to **explain how endusers are supposed to be involved***

4-4,5/5

- *The **diversity of partners** strengthens the **international character of the project.***
- *The **specific objectives** are clearly written, pertinent to the call topic, ... and **include time lines***
- ***additional subset of measurable objectives is also an excellent idea** and this sets out extremely clearly how the objectives will be assessed and the targets the proposal has for each objective.*

## HORIZONTE 2020 | Critério 1 – IMPACTO (I)

### – algumas ilações do primeiro concurso DS2 – Bioeconomia (I)

~2-2,5/5

- the **scientific innovations proposed are somewhat limited** and are therefore likely to have **only marginal impacts**
- The **geographical span of the partnership suggests** that the main focus of the work will be on .. And outside Europe. The proposal does **not properly outline how the expected outputs could benefit areas outside the geographic scope of the proposal**
- One of the risks of the proposal is **that it needs lot of research** for its development and subsequent validation by regulation bodies and stakeholders, and **the time frame of the proposal is of only 24 months.**

~3/5

- **Socio-economic benefits to consumers** are not considered in a sufficient way.
- The **market potential of the proposal** is considered in very good detail. The proposal is very specific about the intended impacts but **they seem to be based on over-optimistic assumptions.**
- A sustainability assessment is planned and is discussed in the proposal in very good detail.
- well addressed the call expected impacts (CEIs), **but it is lacking of indicators and estimates for specific socioeconomic and environmental impacts.**
- The proposal would be improved by providing **more information on how project outputs could contribute to increasing competitiveness of European**
- how the implementation of all envisaged activities ... **will fit into the temporal limits of the project, especially the long-term activities**
- However, **improved competitiveness as well as opportunities for growth, diversification and job creation for the EU .....** sector in general and SMEs in particular **are not convincingly described in the proposal.**

**Self-evaluation form**  
**Societal challenge 1**  
**Two-stage**

**Research and innovation actions**  
**Innovation actions**  
**SME instrument**

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 1-5. Half marks may be given.

**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.
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**Thresholds**

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

**Two-stage submission schemes**

The scheme below is applicable to a full proposal. For the evaluation of first-stage proposals under a two-stage submission procedure, only the criteria 'excellence' and 'impact' will be evaluated. Within these criteria, only the aspects in bold will be considered. The threshold for both individual criteria will be 4.

**Weighting**

For Innovation actions and the SME instrument (phases 1 and 2), to determine the ranking, the score for the criterion 'impact' will be given a weight of 1.5.

**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;**
- **Credibility of the proposed approach;**
- **Soundness of the concept, including trans-disciplinary considerations, where relevant;**
- **Extent that proposed work is ambitious, has innovation potential, and is beyond the state of the art (e.g. ground-breaking objectives, novel concepts and approaches).**

Comments:

**Score 1:**  
*Threshold 4/5*

**2. Impact**

*Note: The following aspects will be taken into account, to the extent to which the outputs of the project should contribute at the European and/or International level:*

- **The expected impacts listed in the work programme under the relevant topic;**
- **Enhancing innovation capacity and integration of new knowledge;**
- **Strengthening the competitiveness and growth of companies by developing innovations meeting the needs of European and global markets, and where relevant, by delivering such innovations to the markets;**
- **Any other environmental and socially important impacts;**
- **Effectiveness of the proposed measures to exploit and disseminate the project results (including management of IPR), to communicate the project, and to manage research data where relevant.**

Comments:

**Score 2:**  
*Threshold 4/5*

**3. Quality and efficiency of the implementation<sup>†</sup>**

*Note: The following aspects will be taken into account:*

- **Coherence and effectiveness of the work plan, including appropriateness of the allocation of tasks and resources;**
- **Complementarity of the participants within the consortium (when relevant);**
- **Appropriateness of the management structures and procedures, including risk and innovation management.**

Comments:

**Score 3:**  
*Threshold 3/5*

**Total score (1+2+3)**  
*Threshold 12/15*

Para recolher parecer dos NCP e de Colega (s) independentes

## HORIZONTE 2020 | Participe como perito avaliador

### News

H2020 call for expression for interest for experts (11/2013)  
New calls for expression of interest for individual experts and for organisations to suggest

The Expert area in the Participant Portal may be unavailable **Tuesday 1st July 2014 from 17:00 (CET)** for an estimated duration of 60 minutes due to system maintenance. We are sorry for the inconvenience.



### Experts

H2020 ONLINE MANUAL

Join the database of independent experts for European research and innovation.

The European Commission appoints independent experts to assist with research and innovation assignments including the evaluation of proposals, monitoring of projects, and evaluation of programmes, and design of policy.

Possibilidade de registo como:  
-> **Perito individual**  
-> **Organização que destaca peritos**

the registration platform and update your expertise.

### Who can be an expert?

You have a chance of being selected as an expert if you:

- have high-level of expertise in the relevant fields of research and innovation (see call for details on types of expertise).
- can be available for occasional, short-term assignments

REGISTER AS EXPERT



### What do expert assignments involve?

Experts, as peer reviewers, assist in the:

- **evaluation** of proposals
- **monitoring** of actions

In addition, experts assist in the :

- **preparation, implementation or evaluation of programmes and design of policies.** This includes the Horizon 2020 Advisory Groups.

Assignments mainly concern research and innovation, falling within the Horizon 2020 programme designed to address the challenges Europe is facing through funding excellent science, technology and innovation.

Take a look at the most recently [funded projects](#).

### Quick Links

- [FAQ for Experts](#)
- [Expert recommendations](#)

### Logistics for Brussels

- [Map of evaluation area](#)
- [Info on hotels](#)
- [Metro map](#)
- [From airport to Brussels](#)