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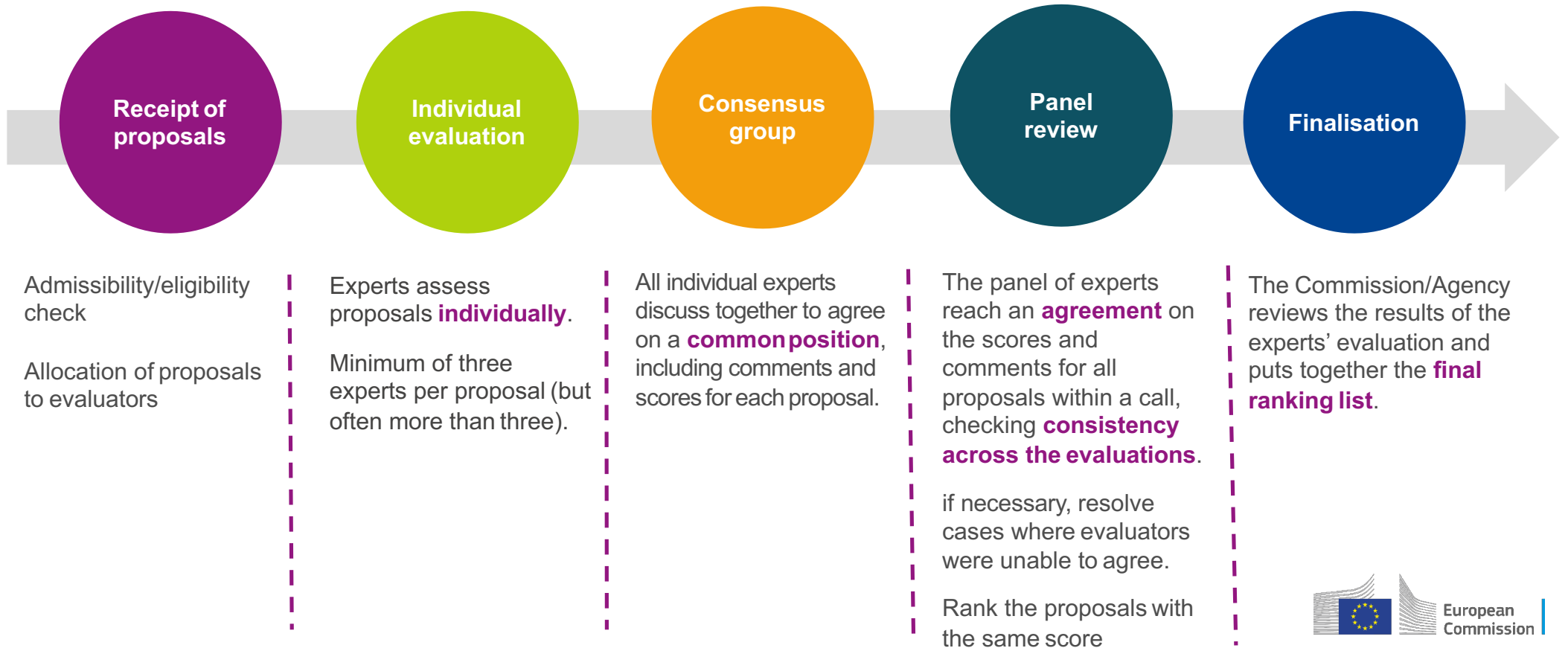
HORIZON EUROPE

# Steps in the evaluation process





# Standard evaluation process





# Individual evaluation

- Experts read the proposal and evaluate it against the evaluation criteria, without discussing it with anybody else and as submitted and not on its potential if certain changes were to be made.
- Experts complete an Individual Evaluation Report (IER).
  - Experts evaluate each proposal as submitted and not on its potential if certain changes were to be made.
  - If experts identify shortcomings (other than minor ones and obvious clerical errors), they reflect those in a lower score for the relevant criterion. Proposals with significant weaknesses that prevent the project from achieving its objectives or with resources being seriously over-estimated must not receive above-threshold scores.
  - Experts provide comments and scores for all evaluation criteria (scores must match comments).
  - Experts explain shortcomings, but do not make recommendations (e.g. no additional partners, work packages, resource cuts).
  - Experts sign and submit the form in the electronic system.



# Proposal scoring, thresholds and weighting

- Experts provide a **score** in the range from 0-5 to each criterion based on their comments. Maximum score for a proposal is 15.  
The whole range of scores should be used with steps of 0.5.
- **Thresholds** apply to individual criteria and to the total score. The default threshold for individual criteria is 3 and the default overall threshold is 10 (unless specified otherwise in the WP).  
Scores must pass the individual threshold AND the overall threshold if a proposal is to be considered for funding within the limits of the available call budget.
- **Weighting**: scores are normally NOT weighted. Weighting is used for some types of actions — and only for the ranking (not to determine if the proposal passed the thresholds). For example, for innovation actions, the criterion impact is given a weight of 1.5 to determine the ranking.
- Specific calls or topics may have **different rules** regarding thresholds and weighting



# 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.



# Consensus

- It usually **involves a discussion on the basis of the individual evaluations**.
  - For full proposals, we ask experts to don't immediately converge on the average score.
  - For first stage proposals, the average is a starting point.
- The aim is to **find agreement on comments and scores**. Experts agree on comments before scores!
- **'Outlying' opinions need to be explored**.
  - They might be as valid as others. Experts need to be open-minded.
  - It is normal for individual views to change.
- **Moderated by EU staff (or an expert in some cases)**.
  - Neutral and manages the evaluation, protects confidentiality and ensures fairness.
  - Ensures objectivity and accuracy, all voices are heard and points discussed.
  - Helps the group keep to time and reach consensus.
- **Final decision is taken unanimously**
  - If not possible, minority views are recorded and discussed later in in the panel phase.



# Consensus report

- **The rapporteur is responsible for drafting the consensus report (CR).** The rapporteur includes consensus comments and scores and, in some cases, does not take part in the discussion.
- **The quality of the CR is of utmost importance.** It will be the basis for the **evaluation summary report (ESR)** sent to applicants together with the evaluation result letters. It often remains unchanged at the panel stage, so in most of the cases ESRs are identical to CRs.
- 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.
  - **Explain shortcomings**, but not to make recommendations.



# The panel review

- 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 consensus phase
- Endorses the final scores and comments for each proposal
  - Any new comments and scores should be carefully justified. These changes may come as a result of:
    - checking on possible inconsistencies
    - benchmarking proposals belonging to different areas and/or subtopics
    - resolving minority views
    - cross-reading proposals with equal scores.
- Recommends a list of proposals in priority order
- Prioritises proposals with identical total scores
- May also hold hearings at which applicants are invited to present their proposal
- **The discussion is led by the panel chair (normally EU staff, but also an expert in some cases).**
  - The chair must ensure fair and equal treatment of the proposals and seek agreement on a common view.



# Thank you!

## # HorizonEU

<http://ec.europa.eu/horizon-europe>



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