European Commission

#HorizonEU

HORIZON EUROPE

THE EU
RESEARCH &
INNOVATION
PROGRAMME 2021 – 27

RESEARCH AND INNOVATION

1. Horizon Europe application form

Horizon Europe application form

Standard Horizon Europe application form RIA/IA: https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/horizon/temp-form/af/af_he-ria-ia_en.pdf

- Always doublecheck for the latest template updates.
- All partners need to register on the platform to receive a PIC number for the organisation.
- **NB! Fill in everything**, answer to every question (e.g., open science, gender, social sciences and humanities etc)

Part A
(online form)

- Administrative forms

Part B

(narrative to be uploaded as pdf PDF)

1. Excellence
2. Impact
3. Quality and efficiency of implementation

->additional Annex with information on financial support to third parties (if applicable)

PART A, web-based forms to be filled in online the Funding and Tenders portal (SYGMA)
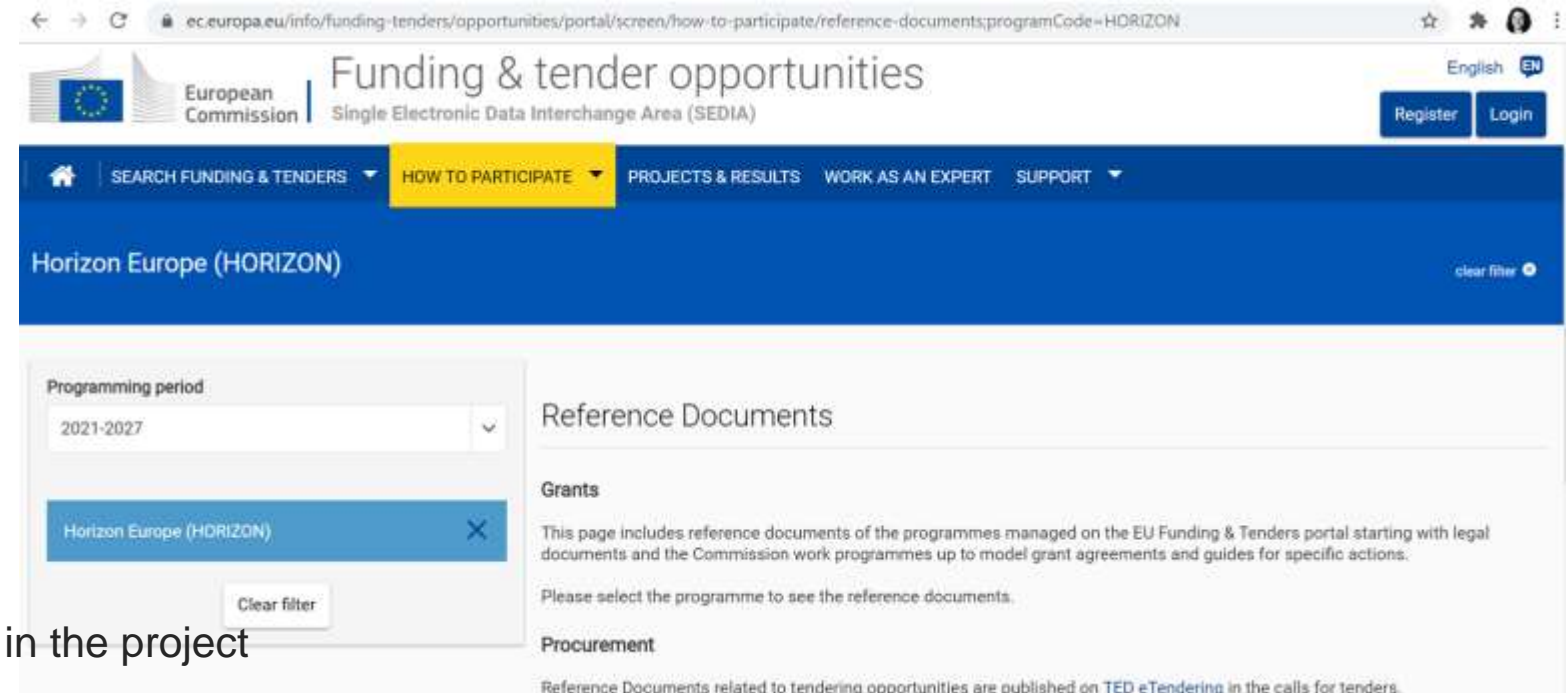
1. General information
Abstract
Declarations

3. Budget
4. Ethics and security
5. Other questions

6. Participants data

- Gender equality plan

- Researchers involved

- Role of participating organisation in the project

- List of up to 5 (open access) publications, widely-used datasets, software, goods, services, or any other achievements relevant to the call content.

- List of up to 5 most relevant previous projects or activities, connected to the subject of this proposal

- Description of any significant infrastructure and/or any major items of technical equipment, relevant to the proposed work

PART A

Horizon Europe

Application forms (Part A)

Topic:

Type of action:

Type of Model Grant Agreement:

Proposal number:

Proposal acronym:

Table of contents

Section	Title	Action
1	General information	
2	Participants	
3	Budget	
4	Ethics and security	
5	Other questions	

1 – General information

Section 1 provides basic data on the proposal. It can be filled in by contacts of the coordinator. Other participants may view this section only. Read-only parts are marked in blue.

Topic	Type of action
Call	Type of Model Grant Agreement

Acronym	*Acronym is mandatory*
Proposal title	*Max 200 characters (with spaces). Must be understandable for non-specialists in your field.*
	Note that for technical reasons, the following characters are not accepted in the Proposal Title and will be removed: < > " &
Duration in months	*Estimated duration of the project in full months.*
Fixed keyword	
Fixed keyword	
Free keywords	*Enter any words you think give extra detail of the scope of your proposal (max 200 characters with spaces).*

Abstract

The abstract should provide the reader with a clear understanding of the objectives of the proposal, how they will be achieved, and their relevance to the Work Programme. This summary will be used as the short description of the proposal in the evaluation process and in communications to the programme management committees and other interested parties. It must therefore be short and precise and should not contain confidential information. Use plain typed text, avoiding formulas and other special characters. If the proposal is written in a language other than English, please include an English version of this abstract in the Part B (technical description) of the proposal.

Has this proposal (or a very similar one) been submitted in the past 2 years in response to a call for proposals under any EU programme, including the current call? *A "similar" proposal or contract is one that differs from the current one in minor ways, and in which some of the present consortium members are involved.*	○ Yes	○ No
Please give the proposal reference or contract number	XXXXX-X	

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PART A

Proposal ID XXXXXXXXX   Acronym XXXXXXX

2 – Participants

List of participating organisations

#	Participating Organisation Legal Name	Country
1		
2		
3		

Coordinator contacts have the rights to:

- add, delete, edit and re-order partners in the consortium
- add, delete, edit and re-order contact points for those organisations
- edit all sections of the administrative forms
- upload, delete, view and download Part B and Annexes (when required for the call)
- submit the proposal

Participant contacts may:

- view all the information in this screen, but not edit it
- edit only the section for their organisation in the administrative forms (including budget)
- view the entire administrative forms
- view/download the Part B and other Annexes

You can manage the list of organisations and access rights of persons at Step 4 of the submission process. You may identify and give access to as many contact persons of the selected organisations as you wish. The identification is based upon the e-mail address of the person. When you add a contact person, you will be prompted to supply the contact details: name, e-mail, phone.

Person in charge of the proposal (main contact person): Each organisation needs to have one main contact person identified; the main contact person will have to fill in full contact details in the administrative form. The 'Main Contact Person' for the coordinating organisation (Participant no. 1) will become the primary contact person for the Services. Other contact persons may also be identified and may receive read-only or full access rights. Contact persons with full access rights of the coordinator (Participant no. 1) will be called 'Coordinator contacts' in the Funding & Tenders Portal, while for the other participants 'Participant Contacts'; contact persons with read-only rights will be called 'Team Members'. Other contact persons are listed with basic details in the administrative form.

Access rights: The main contact person and contact persons of the coordinator with full access rights have the same level of rights: they can manage the list of participants and contacts, edit any part of the administrative part of the proposal and upload any attachments (eg. Part B - technical description), and submit the proposal. Contact persons with read-only rights can only view/download the information. Participant contacts with full access rights can only edit their section of the administrative form and view all proposal data. Access rights can be revoked by the Coordinating Organisation contacts. The person who created the proposal cannot be deleted.

Invitation: All contacts will receive an e-mail and a notification to the Portal about the invitation to the proposal upon saving the data at Step 4 of the submission process.

Proposal ID XXXXXXXXX   Acronym XXXXXXX   Participant short name: XXXX

Researchers involved in the proposal

Include only the researchers involved in the proposal, (see below definition of 'researcher'). You do not need to include in the table the identity of other persons involved in the proposal who are not researchers.

'Researchers are professionals engaged in the conception or creation of new knowledge. They conduct research and improve or develop concepts, theories, models, techniques instrumentation, software or operational methods. (Frascati Manual 2015)'

Include also person in charge of the proposal if a researcher.

Title	First Name	Last Name	Gender	Nationality	E-mail	Career stage[1]	Role of researcher (in the project)	Reference Identifier	Type of identifier
			[Woman] [Man] [Non-binary]			[Category A – Top grade researcher] [Category B – Senior researcher] [Category C – Recognised researcher] [Category D – First stage researcher]	[Leading] [Team member]		[ORCID] [Researcher Id] [Other - specify]

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[1] Career stages as defined in Frascati 2015 manual:

Category A – Top grade researcher: the single highest grade/post at which research is normally conducted. Example: 'Full professor' or 'Director of research'.

Category B – Senior researcher: Researchers working in positions not as senior as top position but more senior than newly qualified doctoral graduates (IsCED level 8). Examples: 'associate professor' or 'senior researcher' or 'principal investigator'.

Category C – Recognised researcher: the first grade/post into which a newly qualified doctoral graduate would normally be recruited. Examples: 'assistant professor', 'investigator' or 'post-doctoral fellow'.

Category D – First stage researcher: Either doctoral students at the IsCED level 8 who are engaged as researchers, or researchers working in posts that do not normally require a doctorate degree. Examples: 'PhD students' or 'junior researchers' (without a PhD).

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PART A

Application Forms

Proposal ID **XXXXXXXXX**   Acronym **XXXXXXX**   Participant short name: **XXXX**

Role of participating organisation in the project
Applicants may select more than one option.

Project management	☐
Communication, dissemination and engagement	☐
Provision of research and technology infrastructure	☐
Co-definition of research and market needs	☐
Civil society representative	☐
Policy maker or regulator, incl. standardisation body	☐
Research performer	☐
Technology developer	☐
Testing/validation of approaches and ideas	☐
Prototyping and demonstration	☐
IPR management incl. technology transfer	☐
Public procurer of results	☐
Private buyer of results	☑
Finance provider (public or private)	☐
Education and training	☐
Contributions from the social sciences or/and the humanities	☐
Other Specify (50 character limit):	☐

List of up to 5 publications, widely-used datasets, software, goods, services, or any other achievements relevant to the call content.

Type of achievement	Short description
[Publication] [Dataset] [Software] [Good] [Service] [Other achievement]	Key elements of the achievement, including a short qualitative assessment of its impact and (where available) its digital object identifier (DOI) or other type of persistent identifier (PID). Publications, in particular journal articles, are expected to be open access. Datasets are expected to be FAIR and 'as open as possible, as closed as necessary'.

Application Forms

Proposal ID **XXXXXXXXX**   Acronym **XXXXXXX**   Participant short name: **XXXX**

List of up to 5 most relevant previous projects or activities, connected to the subject of this proposal

Name of Project or Activity	Short description

Description of any significant infrastructure and/or any major items of technical equipment, relevant to the proposed work

Name of infrastructure or equipment	Short description

PART A

Gender equality plan

	Yes	No

Having a gender equality plan is an eligibility criteria for Public bodies, Higher education establishments and Research organisations. Be aware that if the proposal is selected, having a Gender Equality Plan will be necessary before the grant signature (applicable on calls published from 2022 on).
 	
Does the organisation have a Gender Equality Plan (GEP) covering the elements listed below?
 	
Minimum requirements (building blocks) for a GEP
 	
Public GEP: formal document published on the institution's website and signed by the top management, addressing the following issues:
 	
– **Dedicated resources:** commitment of human resources and gender expertise to implement it.
 	
– **Data collection and monitoring:** sex/gender disaggregated data on personnel and students and annual reporting based on indicators.
 	
– **Training:** Awareness raising/trainings on gender equality and unconscious gender biases for staff and decision-makers.
 	
– **Minimum areas** to be **covered** and addressed via concrete measures and targets:
 	
    o   work-life balance and organisational culture;
    o   gender balance in leadership and decision-making;
    o   gender equality in recruitment and career progression;
    o   integration of the gender dimension into research and teaching content;
    o   measures against gender-based violence including sexual harassment.
	○ Yes	○ No

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PART A

3 – Budget for the proposal

No	Participant name	Country	A. Personnel costs/€	B. Subcontracting costs/€ (b)	C. Purchase costs			D. Other cost categories	E. Indirect costs/€ (a) = 25% * ((a1) + (c1) + (c2) + (c3) + (d'))	Total eligible costs (h) = (a1) + (b) + (c1) + (c2) + (c3) + (d) + (e)	Funding rate (U)	Maximum EU contribution to eligible costs	Requested EU contribution to eligible costs/€ (Requested grant amount) (m) (n)	Income generated by the action (o)	Financial contributions (q)	Own resources (r)	Total estimated income (x)=(n) +(o)+(p)+ (q) + (r)
					C.1 Travel and subsistence/€ (c1)	C.2 Equipment/€ (c2)	C.3 Other goods, works and services /€ (c3)	D.X [specific cost category] /€ (dx)			(l) = (U) * (h)						
1	Participant 1	NL															
2	Participant 2	LB															
	Affiliated Entity	LB															
3	Participant 3	DE															
	Associated Partner	AR															
4	Participant 4 (without funding)	US															
	Total																

Possible 'Other cost categories' for Horizon Europe

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PART A

4 – Ethics and Security

Ethics issues table
This table should be completed as an essential part of your proposal. Please go through the table and indicate which elements concern your proposal by answering 'Yes' or 'No'. If you answer 'Yes' to any of the questions,
- indicate in the adjacent box at which page in your full proposal further information relating to that ethics issue can be found, and
- provide additional information on that ethics issue in the Ethics Self-Assessment section.

For more information on each of the ethics issues and how to address them, including detailed legal references, see the guidelines 'How to Complete your Ethics Self-Assessment'.

1. HUMAN EMBRYONIC STEM CELLS AND HUMAN EMBRYOS			Page
Does this activity involve Human Embryonic Stem Cells (hESCs)?		○ Yes ○ No	
If YES:	Will they be directly derived from embryos within this project?	○ Yes ○ No	
	Are they previously established cells lines?	○ Yes ○ No	
	Are the cell lines registered in the European registry for human embryonic stem cell lines?	○ Yes ○ No	
Does this activity involve the use of human embryos?		○ Yes ○ No	
If YES:	Will the activity lead to their destruction?	○ Yes ○ No	
2. HUMANS			Page
Does this activity involve human participants?		○ Yes ○ No	
If YES:	Are they volunteers for nonmedical studies (e.g. social or human sciences research)?	○ Yes ○ No	
	Are they healthy volunteers for medical studies?	○ Yes ○ No	
	Are they patients for medical studies?	○ Yes ○ No	
	Are they potentially vulnerable individuals or groups?	○ Yes ○ No	
	Are they children/minors?	○ Yes ○ No	
	Are they other persons unable to give informed consent?	○ Yes ○ No	
Does this activity involve interventions (physical also including imaging technology, behavioural treatments, etc.) on the study participants?		○ Yes ○ No	
If YES:	Does it involve invasive techniques?	○ Yes ○ No	
	Does it involve collection of biological samples?	○ Yes ○ No	

5 – Other questions

Two-stage calls

The full stage-2 proposal must be consistent with the short outline proposal submitted to the stage 1 – in particular with respect to the proposal characteristics addressing the concepts of excellence and impact.

Are there substantial differences compared to the stage-1 proposal?	○ Yes	○ No

Questions showed only in answer is Yes:
Please list the substantial differences, and indicate the reasons

☐	Partnership	*List the substantial differences and indicate the reasons*
☐	Budget	*List the substantial differences and indicate the reasons*
☐	Approach	*List the substantial differences and indicate the reasons*

[Additional modular extension for Calls with clinical trials: Essential information to be provided for proposals including clinical trials / studies / investigations

A 'clinical study' is defined as any clinical research involving a substantial amount of work related to the observation of, data collection from, or diagnostic or therapeutic intervention on multiple or individual patients. It includes but is not limited to clinical studies defined by the Clinical trials regulation (REGULATION (EU) No 536/2014).

Are clinical studies / trials / investigations included in the work plan of this project?	○ Yes	○ No

Please upload the dedicated annex 'Essential information for clinical studies / trials / investigations' (a Word template is provided under 'download templates' in the up-load section for Part B and Annexes).

This document should include the relevant information of each clinical study / trial / investigation included in the work plan of this project.

Please give a short title, an acronym or a unique identifier to each clinical study / trial / investigation, to be used as a reference / identifier in the other parts of the proposal

`Add` `Remove`

pean mission

PART B, narrative of the proposal

To be uploaded to the Funding and Tenders portal as pdf
Note the suggested page limits per topic

1. EXCELLENCE
RIA and IA: 1.1 Objectives and ambition (e.g., 4 pages)   1.2 Methodology (15 pages)   CSA: 1.1. Objectives (2 pages)   1.2. Coordination and/or support measures and methodology (6 pages)
2. IMPACT
2.1 Project's pathways towards impact (4 pages)   2.2 Measures to maximise impact - Dissemination, exploitation and communication (5 pages)   2.3 Summary
3. IMPLEMENTATION
3.1 Work plan and resources (14 pages for RIA and IA, 10 pages for CSA)   3.2 Capacity of participants and consortium as a whole (3 pages)

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Admissibility and eligibility

- Applications must be submitted before the call deadline, **electronically** via the Funding & Tenders Portal

- Applications must be **complete, readable, accessible and printable**, and include a **plan for the exploitation and dissemination of results**, unless provided otherwise in the specific call conditions.

Proposal page limit
Substantial reduction in maximum length – **the page limit is strict**:

- RIAs and IAs type of actions: limit for a full application is **45 pages (exceptions are always highlighted, in case of lump sum projects 50 pages)**

- CSAs: limit is **30 pages**

- First stage proposals: limit is **10 pages**

- EIC Pathfinder: limit is **17 pages**

- Exceptions, if any, would be specified in the call text.

Consortium composition (collaborative projects)
- at least one independent legal entity established in a Member State, and
- at least two other independent legal entities each established either in a different Member State or an Associated Country.

Gender Equality Plan
Participants that are public bodies, research organisations or higher education establishments from Members States and Associated countries **must have a gender equality plan**, covering minimum process-related requirements.

European Commission

2. Evaluation process, criteria and scores

Standard evaluation process

Receipt of proposals

Admissibility/eligibility check

Allocation of proposals to evaluators

Individual evaluation

Experts assess proposals **individually**.

Minimum of three experts per proposal (but often more than three).

Consensus group

All individual experts discuss together to agree on a **common position**, including comments and scores for each proposal.

Panel review

The experts panel reach an **agreement** on scores and comments for all proposals, checking **consistency across the evaluations**.

Resolve possible cases where evaluators could not agree.

Rank proposals with total equal score.

Finalisation

The Commission/Agency reviews the results of the experts' evaluation and puts together the **final ranking list**.

European Commission

Standard evaluation criteria

There are three evaluation criteria for full proposals:

1 Excellence

2 Impact

3 Quality and efficiency of implementation

The criteria are adapted to each type of action, as specified in the Work Programme

An exception is the ERC, which uses a different set of criteria.

European Commission

Admissibility, Eligibility & Scope check

- Admissibility is checked by the Agency:
  - Readable, accessible and printable
  - Completeness of proposal presence of all requested forms
  - Plan for exploitation and dissemination of results (unless otherwise specified in the WP)

Page limits: Clearly set out in electronic system; excess page(s) marked with a watermark

- Eligibility checked by the Agency
  - Minimum number of partners as set out in the call conditions
  - Other criteria may apply on a call-by-call basis as set out in the call conditions

- "Out of scope" – you need to check the scope of proposals
  - A proposal will only be deemed ineligible in clear-cut cases

European Commission

Overview of the evaluation process

Check the videos: https://ec.europa.eu/info/funding-tenders/opportunities/portal/screen/support/videos

Commission

Evaluators
(min.3
For each
proposal)

Commission

Receipt of
Proposals

Individual
Evaluation

Consensus
Group

Panel
Review

Finalisation

Eligibility check

Allocation
of proposals
to evaluators

Individual
Evaluation Reports

(Usually done
remotely)

Consensus
Report

(May be done
remotely)

Panel Report

Evaluation
Summary Report

Panel ranked list

Final ranked list

European Commission

What else you need to know about the evaluation process

- The European Commission **organises** the evaluation and **moderates** the process

- **Independent observers** 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

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Novelties 2026 - Updated criterion RIA, IA, CSA, COFUND

Criterion 2, Impact, has been updated for RIA, IA, CSA and COFUND type of actions.

The **"likely scale and significance of the contributions from the project"** is no longer part of the evaluation of impact.

The updated impact criterium reads:

• Credibility of the pathways to achieve the expected outcomes and impacts specified in the work programme.

• Suitability and quality of the measures to maximise expected outcomes and impacts, as set out in the dissemination and exploitation plan, including communication activities.

Excellence and Implementation criteria are unchanged.

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Evaluation criteria (RIAs and IAs)

Research and innovation action (RIA)

Activities to establish new knowledge or to explore the feasibility of a new or improved technology, product, process, service or solution.

This may include basic and applied research, technology development and integration, testing, demonstration and validation of a small-scale prototype in a laboratory or simulated environment.

Innovation action (IA)

Activities to produce plans and arrangements or designs for new, altered or improved products, processes or services.

These activities may include prototyping, testing, demonstrating, piloting, large-scale product validation and market replication.

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.

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.

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.

Proposals aspects are assessed to the extent that the proposed work is within the scope of the work programme topic

European Commission

Evaluation criteria (CSAs)

Coordination and support actions (CSA)

Activities that contribute to the objectives of Horizon Europe. This excludes R&I activities, except those carried out under the 'Widening participation and spreading excellence' component of the programme (part of 'Widening participation and strengthening the European Research Area').

Also eligible are bottom-up coordination actions which promote cooperation between legal entities from Member States and Associated Countries to strengthen the European Research Area, and which receive no EU co-funding for research activities.

EXCELLENCE

✓ Clarity and pertinence of the **project's objectives**.

✓ Quality of the proposed coordination and/or support measures, including soundness of methodology.

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.
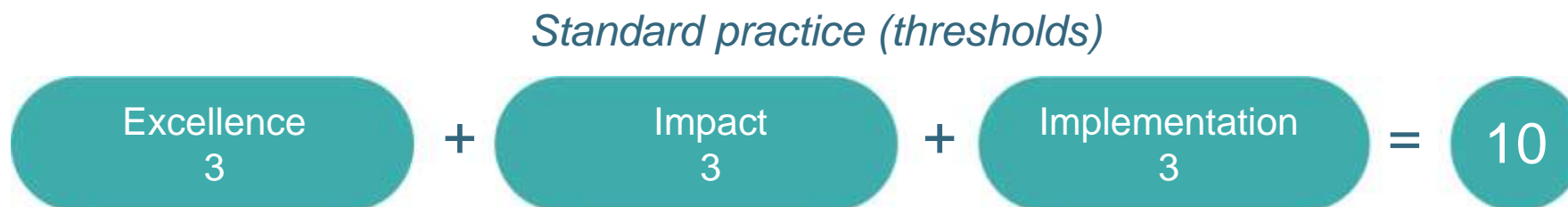
QUALITY AND EFFICIENCY OF THE IMPLEMENTATION

✓ 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.

Proposals aspects are assessed to the extent that the proposed work is within the scope of the work programme topic

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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.

Standard practice (thresholds)

Excellence
3
+
Impact
3
+
Implementation
3
=
10

- Qualifying scores may vary

  - according to type of action

  - between the first and second stage proposals in two-stage procedures

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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

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Proposals with identical scores

For each group of proposals with the same score, starting with the group achieving the highest score and continuing in descending order:

1. Proposals that address **aspects of the call that have not otherwise been covered** by more highly ranked proposals will be considered to have the highest priority.

2. The proposals identified under 1), if any, will themselves be prioritised according to the **scores** they have been awarded for 'Excellence'. When these scores are equal, priority will be based on scores for 'Impact'. In the case of 'Innovation actions', priority will be given to the score for 'Impact', followed by that for 'Excellence'.

3. If necessary, the **gender balance** among the personnel named in the proposal who will be primarily responsible for carrying out the research and/or innovation activities, and who are included in the researchers table in the proposal, will be used as a factor for prioritisation.

4. If necessary, any further prioritisation will be based on **geographical diversity**, defined as the number of Member States or Associated Countries represented in the proposal, not otherwise receiving funds from projects higher up the ranking list (and if equal in number, then by budget).

5. If a distinction still cannot be made, the panel may decide to further prioritise by considering **other factors** related to the objectives of the call, or to Horizon Europe in general. These may include, for example, enhancing the quality of the project portfolio through synergies between projects or, where relevant and feasible, involving SMEs.

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Evaluating the excellence criterion (1/2)

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 organisational 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.

Following questions are adapted to RIA and IA type of actions (ToA). Similar questions will be asked for other ToAs, in line with the instructions in the specific applications forms.

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Evaluating the excellence criterion (2/2)

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?

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Evaluating the impact criterion (1/2)

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)?

  - Scale' refers to how widespread the outcomes and impacts are likely to be. For example, in terms of the size of the target group, or the proportion of that group, that should benefit over time;

  - 'Significance' refers to the importance, or value, of those benefits. For example, number of additional healthy life years; efficiency savings in energy supply.

Evaluating the impact criterion (2/2)

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?

  o If exploitation is expected primarily in non-associated third countries, is it properly justified how that exploitation is still in the Union's interest?

European Commission

Evaluating the Quality of implementation (1/2)

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?

Do not penalize applicants that did not provide detailed breakdown of costs as they are not required. Exception: In the case of lumps sums, there is a requirement of a detailed budget table.

European Commission

Evaluating the Quality of implementation (2/2)

Assess the quality of participants and the consortium as a whole:
(Note that important information on role of individual participants
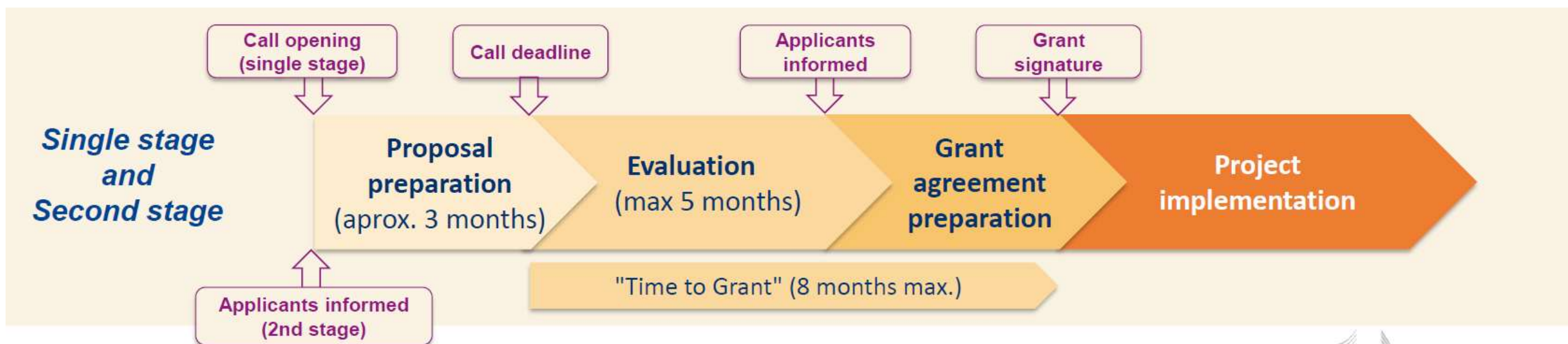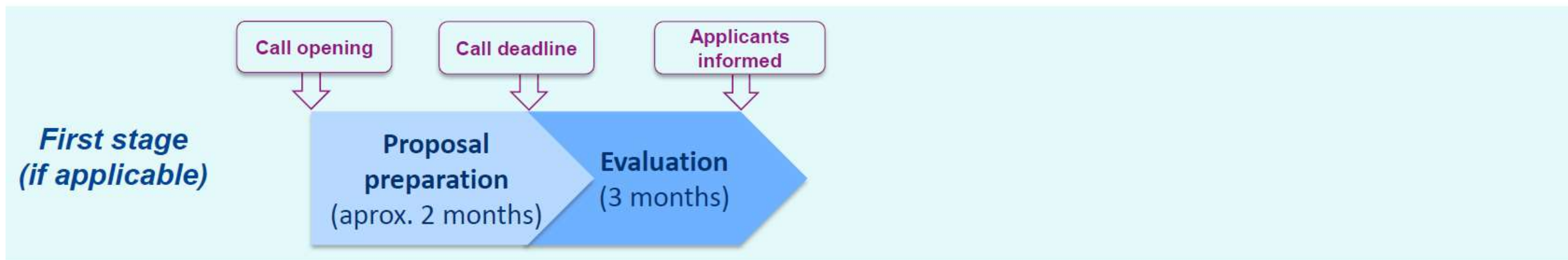and previous experience is included in part A of proposal)

- 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?

Participants' previous publications, in particular journal articles, are expected to be open access and existing datasets FAIR and 'as open as possible, as closed as necessary'. Evaluate positively if this is sufficiently addressed.

European Commission

Evaluation – new elements in Horizon Europe

- Pilot on „Blind evaluation" in first HE two-stage calls: anonymised short proposals in 1st stage

- Pilot on '**Right to react**' (rebuttal): more transparency and more detailed feedback option

- **Portfolio-based calls** (e.g. Missions, EIC pathfinder): portfolio considerations

European Commission

Timeline - Evaluation

First stage (if applicable)

Call opening → | Call deadline → | Applicants informed →

Proposal preparation (aprox. 2 months) → Evaluation (3 months)

Single stage and Second stage

Call opening (single stage) → | Call deadline → | Applicants informed → | Grant signature →

Proposal preparation (aprox. 3 months) → Evaluation (max 5 months) → Grant agreement preparation → Project implementation

Applicants informed (2nd stage) ↑

"Time to Grant" (8 months max.)

European Commission

Where to find the full information?

https://ec.europa.eu/info/research-and-innovation/funding/funding-opportunities/funding-programmes-and-open-calls/horizon-europe_en

Evaluation Summary Report – example of the Implementation evaluation

Exercise: Evaluation Summary report H2020

Analysis of an extract of an Evaluation Summary Report (ESR)

- Read an extract from an ESR, call 2025 on Knowledge Valorisation; ESR report received in January 2026

- We take Criterion 3 - Quality and efficiency of the implementation (criterion 1 excellence and criterion 2 impact not discussed in this example)

- Review of implementation (work-packages, tasks, management, budget items)

- When you read the comments of evaluators, how would you score the project on implementation, on a scoring range 0-5?

- Text will be displayed & handed out in paper copy

- At the end of exercise the original will be displayed with score for this criterion: are the score and comments justified/ok, or too high, or too low?

Example: Evaluation Summary report

Criterion 3 - Quality and efficiency of the implementation

The following aspects will be taken into account:

- 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.

Example: Evaluation Summary report

Criterion 3 - Quality and efficiency of the implementation

The work plan is coherent and effective, with a logical sequence from design to implementation, validation, and sustainability; interdependencies are clear; milestones and deliverables are monitorable. Secondments are operationalised (matching logic, timing windows, supervision/reporting, learning outcomes) and feed directly into toolbox validation and replication.

The allocation of resources to work packages is clearly defined and in accordance with objectives.

The use of Financial Support to Third Parties (FSTP) is coherent with the topic's scope. It targets mobility/secondments and replication pilots with clear objectivesand expected results, and the compulsory annex provides the budget envelope and the distribution/management arrangements required by the topic. However, the process is very complex and will require strong project management to maintain efficiency and the necessary follow-up. This is a minor shortcoming.

Risk management is adequate with respect to ownership and mitigation. However, likelihood and severity are underestimated. In addition, limited attention is given to operational risks linked to the mobility framework. In this regard, the risk register does not sufficiently cover legal-entity set-up and governance. This is a shortcoming.

The work plan foresees coordination with sibling actions funded under this topic, including participation in annual status seminars where work plans are presented.

This meets expectations for project-to-project collaboration during implementation.

The consortium does not sufficiently cover the value chain of knowledge valorisation. Partners have limited involvement in actual research and innovation knowledge valorisation, which reduces direct access to new knowledge and practical valorisation pathways. This is a shortcoming.

Criterion 3 - Quality and efficiency of the implementation

Score: **4.00** (Threshold: 3 / 5.00 , Weight: -)

The following aspects will be taken into account, to the extent that the proposed work corresponds to the description in the work programme:
- 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.

The work plan is coherent and effective, with a logical sequence from design to implementation, validation, and sustainability; interdependencies are clear; milestones and deliverables are monitorable. Secondments are operationalised (matching logic, timing windows, supervision/reporting, learning outcomes) and feed directly into toolbox validation and replication.

The allocation of resources to work packages is clearly defined and in accordance with objectives.

The use of Financial Support to Third Parties (FSTP) is coherent with the topic's scope. It targets mobility/secondments and replication pilots with clear objectives and expected results, and the compulsory annex provides the budget envelope and the distribution/management arrangements required by the topic. However, the process is very complex and will require strong project management to maintain efficiency and the necessary follow-up. This is a minor shortcoming.

Risk management is adequate with respect to ownership and mitigation. However, likelihood and severity are underestimated. In addition, limited attention is given to operational risks linked to the mobility framework. In this regard, the risk register does not sufficiently cover legal-entity set-up and governance. This is a shortcoming.

The work plan foresees coordination with sibling actions funded under this topic, including participation in annual status seminars where work plans are presented. This meets expectations for project-to-project collaboration during implementation.

The consortium does not sufficiently cover the value chain of knowledge valorisation. Partners have limited involvement in actual research and innovation knowledge valorisation, which reduces direct access to new knowledge and practical valorisation pathways. This is a shortcoming.

Example: Evaluation Summary report

Criterion 3 - Quality and efficiency of the implementation

Overall, the proposal addresses the criterion well. In particular:

*The work plan is coherent and effective, with a logical sequence from design to implementation, validation, and sustainability; interdependencies are clear; milestones and deliverables are monitorable. Secondments are operationalised (matching logic, timing windows, supervision/reporting, learning outcomes) and feed directly into toolbox validation and replication.

The allocation of resources to work packages is clearly defined and in accordance with objectives.

The use of Financial Support to Third Parties (FSTP) is coherent with the topic's scope. It targets mobility/secondments and replication pilots with clear objectives and expected results, and the compulsory annex provides the budget envelope and the distribution/management arrangements required by the topic

Example: Evaluation Summary report

Criterion 3 - Quality and efficiency of the implementation

Nevertheless, a number of shortcomings are present, namely:

* Risk management is adequate with respect to ownership and mitigation. However, likelihood and severity are underestimated. In addition, limited attention is given to operational risks linked to the mobility framework. In this regard, the risk register does not sufficiently cover legal-entity set-up and governance. This is a shortcoming.

The consortium does not sufficiently cover the value chain of knowledge valorisation. Partners have limited involvement in actual research and innovation knowledge valorisation, which reduces direct access to new knowledge and practical valorisation pathways. This is a shortcoming.

European Commission

Questions and discussion

Thank you!

#HorizonEU

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

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