



The EU Framework Programme
for Research and Innovation

HORIZON 2020



2016-2017

Self-evaluation form

Fast Track to Innovation pilot

Version 1.0
4 December 2015

*Research and
Innovation*

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

The threshold for impact criteria is 4.. The overall threshold, applying to the sum of the three individual scores, is 12.

Weighting

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:**
 - The objectives of the proposed action are defined in a clear and pertinent way, which implies that the proposed innovation/solution is in line with Horizon 2020 objectives under Societal Challenges and/or Leadership in Enabling and Industrial Technologies, and has clear potential for wide (market) deployment
- **Credibility of the proposed approach:**
 - The proposed activities to be executed and funded under the action are realistic and optimal for developing the innovation up to the level of wide (market) deployment
- **Soundness of the concept, including trans-disciplinary considerations:**
 - The underlying, jointly developed concept of the proposed innovation/solution is sound; the proposed innovation has been tested in an operational or production environment (stage of development TRL 6 or similar for non-technological innovations).
- **Ambition, innovation potential and comparison with the state of the art:**
 - The proposed innovative concept is ambitious but attainable/realistic; it is set to add something new that will add value to Europe, and this is identified and elaborated in the proposal.
 - The proposal describes in a convincing and realistic way its innovative potential and demonstrates that the intrinsic quality of the proposed innovation will be higher than the current state-of-the-art solutions (in terms of value for money, problems solved, new applications, sustainability, etc.).

Comments:

Score 1:
Threshold 3/5

2. Impact

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

- **The expected impacts listed in the work programme under the relevant topic:**
 - The objectives of the proposed action are in line with the expected impacts of the Fast Track to Innovation pilot (please consider in particular the following issues: fast development, commercial take-up and/or wide deployment of sustainable innovative solutions, time to initial market take-up, leveraging of private investment in research and/or innovation)
- **Enhancing innovation capacity and integration of new knowledge:**
 - The proposed innovation will lead to enhanced innovation capacity of the consortium partners, for instance through new value chain development and/or internationalisation
- **Strengthening the competitiveness and growth of companies by developing innovations meeting the needs of European and global markets:**
 - The proposed innovation/solution has a clear European dimension in the sense that it is set to meet an existing or new demand from European and global markets. The proposal contains a clear and convincing description of a business opportunity and of the way to commercially capitalise on it.
 - The proposal provides a realistic and convincing analysis of the targeted market(s) and client/user base and how the innovation will meet their needs
 - Framework conditions such as regulation and standards, market size, prospects for growth, competitive edge and intended positioning of the solution towards possible others (competitor analysis) are documented, and the outlook can be described as positive for market launch
 - Based on the provided market analysis and the projected commercialisation strategy, the likely return on investment of the proposed solution/innovation (for instance in the form of job creation or company growth) is sufficiently attractive to justify EU funding under the Fast Track to Innovation Pilot

<ul style="list-style-type: none"> • Any other environmental and socially important impacts (not already covered above): <ul style="list-style-type: none"> - The proposed innovation/solution is expected to generate a positive impact at the European level other than economic (social, environmental, scientific ...) • Effectiveness of the proposed measures to exploit and disseminate the project results: <ul style="list-style-type: none"> - The commercialisation plan is realistic and convincing, and includes effective measures to exploit and disseminate the action's results (including management of IPR). There is a broader strategy for knowledge management and protection with regards to the proposed innovation/solution, ensuring “freedom to operate”. Key stakeholders that can help with market introduction are identified, and a convincing strategy to get them on board exists. Communication, marketing and sales efforts are planned in a coordinated way, on the basis of a realistic timetable, and fit into a solid commercial strategy. - The proposed financing plan is realistic and convincing and offers a sufficient guarantee and coverage to allow for further project development and further go-to-market. <p><u>Comments:</u></p>	<p style="text-align: right;">Score 2: <i>Threshold 4/5</i></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"> • Coherence and effectiveness of the work plan, including appropriateness of the allocation of tasks and resources: <ul style="list-style-type: none"> - The work plan is coherent and effective. It takes into account the project's ambition and objectives, includes a realistic and relevant time-frame, and refers to a sound and comprehensive implementation description, in particular in relation to major deliverables and milestones listed. Tasks and resources are allocated in an appropriate and cost-effective way • Complementarity of the participants within the consortium: <ul style="list-style-type: none"> - The proposal demonstrates that the partners of the consortium are complementary, and together have what it takes (personnel, skills, facilities, networks,...) to develop the innovation to the level of full market maturity and (wide) deployment. • Appropriateness of the management structures and procedures, including risk and innovation management: <ul style="list-style-type: none"> - Both the organisational framework /governance structure underpinning the action and the decision-making processes are established in a clear and efficient way - Implementation risks (if any) and threats are well identified; in order to address them, the proposal contains a convincing mitigation plan, with detailed actions. <p><u>Comments:</u></p>	<p style="text-align: right;">Score 3: <i>Threshold 3/5</i></p>
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<p style="text-align: right;">Total score (1+2+3) <i>Threshold 12/15</i></p>	
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* Experts will also be asked to assess the operational capacity of applicants to carry out the proposed work.