



The EU Framework Programme
for Research and Innovation

HORIZON 2020



H2020 Programme

Self-evaluation form

Form 1: SME instrument phase 1
Form 2: SME instrument phase 2

Version 2.2
2 February 2017



HISTORY OF CHANGES

Version	Publication Date	Change	Page
1.1	27.02.2014	▪ Information on Evaluation added – scoring of proposals as they were submitted, rather than on their potential if certain changes to be made	1
1.2	10.03.2014	▪ Updated to only apply to the SME instrument	
2.0	04.12.2015	▪ Wording in sections 1, 2 and 3 adjusted to align with revised "aspects to be taken into account" under the three evaluation criteria (re General Annex H)	
2.1	13.10.2016	▪ Wording updated to clarify and better capture the evaluation criteria	2,3,5,6
2.2	02.02.2017	▪ Information on environmental and socially important impacts added	2,5,6

Self-evaluation form

SME instrument phase 1

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

SME phase 1

The threshold for individual criteria is 4. The overall threshold, applying to the sum of the three individual scores, is 13.

Weighting

For 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:**
-The objectives for the feasibility study and the approach and activities to be developed are consistent with the expected impact of the project.
- **Credibility of the proposed methodology:**
- The expected performance of the innovation is convincing and has the potential to be relevant in terms of best value for money.
- The history and current stage of development of the innovation are well described. The steps planned to take this innovation to the market are clearly outlined.
- **Soundness of the concept, including appropriate consideration of interdisciplinary approaches and, where relevant, use of stakeholder knowledge:**
-The proposal reflects a very good understanding of both risks and opportunities related to a successful market introduction of the innovation, from a technical, commercial and regulatory point of view.
- **Extent that the proposed work is beyond the state of the art, and demonstrates innovation potential:**
- With the proposed innovation, the company aims to explore new market opportunities addressing EU/global challenges.
-The proposal makes a realistic comparison with the current state-of-the-art solutions, including costs, technical performance, environmental benefits, gender dimension, ease-of-use and other features, or includes plans for achieving this information.
- **Overall assessment of the Excellence criterion (25% weight in the assessment of this criterion)**

Comments:

Score 1:
Threshold 4/5

2. Impact

Note: The following aspects will be taken into account:

- **The extent to which the outputs of the project would contribute to the expected impacts mentioned in the work programme under the relevant topic:**
- The proposal describes in a realistic and relevant way how the innovation has the potential to boost the growth of the applying company.
- **Enhancing innovation capacity:**
-The proposal demonstrates the alignment with the overall strategy of the participating SME(s) and the need for commercial and management experience, including understanding of the financial and organizational requirements for commercial exploitation.
- **Strengthening the competitiveness and growth of companies and create new market opportunities:**
-A European added value has been taken into account in the following aspects: a) the assessment of the market, b) the analysis of the competition, c) the impact on EU/global challenges.
-The proposal indicates in a convincing way that there will be demand/market (willingness to pay) for the innovation when the product /solution is introduced into the market.
-The targeted users or user groups of the final product/application, and their needs, are well described and the proposal provides a realistic description of why the identified groups will have an interest in using/buying the product/application, compared to current solutions available.
- **Address issues related to climate change or the environment, or bring other important benefits for society (not already covered above):**
-The proposal adequately addresses issues related to climate change or the environment, or bring other important benefits for society.

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

** Experts will also be asked to assess 'best value for money' of the subcontracts for Phase 2.

<ul style="list-style-type: none"> • Quality of the proposed measures to exploit and disseminate the project results: <ul style="list-style-type: none"> -The proposal demonstrates very good understanding of the needs for a realistic and relevant analysis of market conditions, total available market size and growth rate, competitors and competitive solutions and key stakeholders, or includes a plan for achieving this information -The initial commercialisation plan is outlined and explains how it will be further developed (in-house development, licensing strategy, etc.) -The proposal includes a realistic and relevant description of status and strategy of knowledge protection, the need of "freedom to operate analysis", and current IPR situation, which could include a plan for achieving this information. If relevant, potential regulatory requirements are also addressed. • Overall assessment of the impact criterion (25% weight in the assessment of this criterion) <p><u>Comments:</u></p>	<p>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"> • 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: <ul style="list-style-type: none"> -The proposal demonstrates that the project has or will have the relevant resources and skills available (management staff, other personnel and technical/scientific competences, facilities, networks, etc.) to develop its activities in the most suitable conditions. If relevant, describes in a realistic way how key stakeholders / partners / subcontractors could be involved. • Complementarity of the participants and extent to which the consortium as a whole brings together the necessary expertise: <ul style="list-style-type: none"> -The team has relevant technical/scientific knowledge/management experience, including a good understanding of the relevant market aspects for the particular innovation. If relevant, the proposal includes a plan to acquire missing competences. • Appropriateness of the allocation of tasks, ensuring that all participants have a valid role and adequate resources in the project to fulfil that role: <ul style="list-style-type: none"> -Taking the project's ambition and objectives into account, the proposal includes a realistic time frame and a comprehensive description of work. • Overall assessment of the Quality and Efficiency of Implementation criteria (25% weight in the assessment of this criterion) <p><u>Comments:</u></p>	<p>Score 3: <i>Threshold 4/5</i></p>
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<p>Total score (1+2+3) <i>Threshold 13/15</i></p>	
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Self-evaluation form

SME instrument phase 2

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

SME phase 2:

The threshold for impact is 4. The threshold for the other 2 criteria is 3. The overall threshold, applying to the sum of the three individual scores, is 12

Weighting

For 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.

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

** Experts will also be asked to assess 'best value for money' of the subcontracts for Phase 2.

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 for the project as well as the approach and activities to be developed are consistent with the expected impact (commercialisation/deployment). Specifications for the outcome of the project and criteria for success are well defined.
- **Credibility of the proposed approach:**
-The expected performances of the innovation are convincing and have the potential to be relevant in terms of value for money.
- **Soundness of the concept, including appropriate consideration of interdisciplinary approaches and, where relevant, use of stakeholder knowledge:**
-The proposal reflects a very good understanding of both risks and opportunities related to a successful market introduction of the innovation, from a technical, commercial and regulatory point of view.
-The feasibility assessment (developed under Phase I or through other means) demonstrates the technological/practical/economic viability of the innovation.
- **Extent that the proposed work is beyond the state of the art, and demonstrates innovation potential:**
-With the proposed innovation, the company aims to explore new market opportunities addressing EU/global challenges.
-The current stage of development (TRL 6 - see note 1- or similar for non-technological innovations) is well described. The steps planned to take this innovation to the market are clearly outlined.
-The proposal makes a realistic comparison with the current state-of-the-art solutions, including costs, environmental benefits, gender dimension- see note 2-, ease-of-use and other features.
- **Overall assessment of the Excellence criterion** (25% weight in the assessment of this criterion)

Comments:

Score 1:
Threshold 3/5

2. Impact

Note: The following aspects will be taken into account:

- **The expected impacts listed in the work programme under the relevant topic;**
- The proposal describes in a realistic and relevant way how the innovation has the potential to boost the growth of the applying company.
- **Enhance innovation capacity:**
-The proposal demonstrates the alignment with the overall strategy of the participating SME(s) and the need for commercial and management experience, including understanding of the financial and organizational requirements for commercial exploitation as well as key third parties needed
- **Strengthen the competitiveness and growth of companies and create new market opportunities:**
-A European added value has been used for all following aspects: a) the assessment of the market, b) the analysis of the competition, c) the impact on EU/global challenges.
-The proposal indicates in a convincing way that there will be demand/market (willingness to pay) for the innovation when the product /solution is introduced into the market.
-The targeted users or user groups are well described including a realistic description of why the identified groups will have an interest in using/buying the product/application, compared to current solutions available.
- **Address issues related to climate change or the environment, or bring other important benefits for society (not already covered above):**
-The proposal adequately addresses issues related to climate change or the environment, or brings other important benefits for society.

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

** Experts will also be asked to assess 'best value for money' of the subcontracts for Phase 2.

<ul style="list-style-type: none"> • Quality of the proposed measures to exploit and disseminate the project results, and communicate the project activities to different target audiences: <ul style="list-style-type: none"> -The applicant has made a thorough competition analysis including a) description of competitors and competing products or services, and b) reasons to buy the proposed innovation rather than alternatives. -The commercialisation strategy is described in a realistic and relevant way, including approximate time to market/deployment. Activities to be further developed after phase 2, including additional dissemination measures, are well outlined. -Measures to ensure "freedom to operate" (possibility of commercial exploitation) are realistic and there is a convincing strategy of knowledge protection, including current IPR filing status, IPR ownership and licensing issues. Regulatory and/or standard requirements are well addressed. • Overall assessment of the Impact criterion (25% weight in the assessment of this criterion) <p><u>Comments:</u></p>	<p>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"> • 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: <ul style="list-style-type: none"> -The proposal demonstrates that the project has the relevant resources (personnel, facilities, networks, etc.) to develop its activities in the most suitable conditions. If relevant, describes in a realistic way how key stakeholders / partners / subcontractors could be involved and why and how they were selected (subcontractors must be selected using the best-value-for-money principles). (Where relevant-participants in a consortium are complementary). • Complementarity of the participants and extend to which the consortium as a whole brings together the necessary expertise: <ul style="list-style-type: none"> -The team has relevant technical/scientific knowledge/management experience, and a very good understanding of the relevant market aspects for the particular innovation. If relevant, the proposal includes a plan to acquire missing competences, namely through partnerships or subcontracting (subcontractors must be selected using the best-value-for-money principles). • Appropriateness of the allocation of tasks, ensuring that all participants have a valid role and adequate resources in the project to fulfil that role: <ul style="list-style-type: none"> -Taking the project's ambition and objectives into account, the proposal includes a realistic time frame and a comprehensive implementation description. -The work package descriptions and major deliverables and milestones are realistic and relevant, including appropriateness of the allocation of tasks and resources, risk and innovation management. • Overall assessment of the Quality and Efficiency of Implementation Criterion (25% weight in the assessment of this criterion) <p><u>Comments:</u></p>	<p>Score 3: <i>Threshold 3/5</i></p>
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Total score (1+2+3)
Threshold 12/15

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* Experts will also be asked to assess the operational capacity of applicants to carry out the proposed work.
 ** Experts will also be asked to assess 'best value for money' of the subcontracts for Phase 2.