



The EU Framework Programme  
for Research and Innovation

# HORIZON 2020



Self-evaluation form

SME instrument

Version 1.2  
10 March 2014

*Research and  
Innovation*

## History of changes

<b>Version</b>	<b>Date</b>	<b>Change</b>	<b>Page</b>
1.1	27.02.2014	<ul style="list-style-type: none"><li>Information on Evaluation added - scoring of proposals as they were submitted, rather than on their potential if certain changes to be made</li></ul>	1
1.2	10.03.2014	<ul style="list-style-type: none"><li>updated to apply only to the SME instrument</li></ul>	

# Self-evaluation form

## 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 and submission. 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.

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. 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

For phase 1 the threshold for individual criteria will be 4. The overall threshold, applying to the sum of the three individual scores, will be 13.

For phase 2 the threshold for the criterion Impact will be 4. The overall threshold, applying to the sum of the three individual scores, will be 12.

The criterion Impact will be evaluated first, then Excellence and Implementation. If the proposal fails to achieve the threshold for a criterion, the evaluation of the proposal will be stopped.

### 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.

<p><b>1. Excellence</b></p> <p><i>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:</i></p> <ul style="list-style-type: none"> <li>• Clarity and pertinence of the objectives;</li> <li>• Credibility of the proposed approach;</li> <li>• Soundness of the concept, including trans-disciplinary considerations, where relevant;</li> <li>• 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).</li> </ul> <p><u>Comments:</u></p>	<p><b>Score 1:</b>  <u>Phase 1</u>  Threshold 4/5  <u>Phase 2</u>  Threshold 3/5</p>
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<p><b>2. Impact</b></p> <p><i>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:</i></p> <ul style="list-style-type: none"> <li>• The expected impacts listed in the work programme under the relevant topic;</li> <li>• Enhancing innovation capacity and integration of new knowledge;</li> <li>• 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;</li> <li>• Any other environmental and socially important impacts;</li> <li>• 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.</li> </ul> <p><u>Comments:</u></p>	<p><b>Score 2:</b>  <u>Phase 1 &amp; 2</u>  Threshold 4/5</p>
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<p><b>3. Quality and efficiency of the implementation */**</b></p> <p><i>Note: The following aspects will be taken into account:</i></p> <ul style="list-style-type: none"> <li>• Coherence and effectiveness of the work plan, including appropriateness of the allocation of tasks and resources;</li> <li>• Complementarity of the participants within the consortium (when relevant);</li> <li>• Appropriateness of the management structures and procedures, including risk and innovation management.</li> </ul> <p><u>Comments:</u></p>	<p><b>Score 3:</b>  <u>Phase 1</u>  Threshold 4/5  <u>Phase 2</u>  Threshold 3/5</p>
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**Total score (1+2+3)**  
Phase 1: Threshold 13/15  
Phase 2: 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.