



Horizon Europe

Evaluation Form (HE EIC Pathfinder Challenges)

Version 1.0
18 June 2021



IMPORTANT NOTICE

Scoring:


Scoring must be in the range from 0-5. Half-marks may be given.

- 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 & weighting:

The threshold for the Excellence criterion is 4, for the Impact criterion is 3 and for the Quality and efficiency of the implementation criterion is 3.

Weighting is only used for the ranking (not to determine if the proposal passed the thresholds).

 Specific calls or topics may have different rules regarding thresholds and weighting.

Specific cases:

Two-stage calls

For stage 1 proposals, only the criteria Excellence and Impact will be evaluated and within those criteria only the aspects indicated in bold in General Annex of the Main Work Programme. The threshold for each of the two individual criteria is 4.

After the evaluation, the call coordinator will then fix an overall threshold, to limit the proposals that will be invited to stage 2. (This overall threshold will be set at a level which ensures that the total requested budget of proposals admitted to stage 2 is as close as possible to three times the available budget, and in any case, not less than 2.5 the available budget. The actual level will therefore depend on the volume of proposals received. The threshold is expected to normally be around 8 or 8.5.)



SENSITIVE

**[INDIVIDUAL EVALUATION REPORT (IER)]/[CONSENSUS REPORT (CR)]
[EVALUATION SUMMARY REPORT]**


PROJECT	
Project number:	[project number]
Project name:	[project title]
Project acronym:	[acronym]
Coordinator contact:	[PCoCo name NAME], [organisation]
Call:	[call ID]
Topic:	[topic ID]
Type of action:	[ToA ID]
Responsible service:	[responsible unit, e.g. JUST/04]
Project duration:	[number of months]


PARTICIPANTS					
Number	Role	Short name	Legal name	Country	PIC
1	COO				
2	BEN				
2.1	AE				
3	BEN				
4	AP				

<p>PROJECT ABSTRACT</p> <p><i>Text from Proposal Abstract (Application Form Part A).</i></p>

EVALUATION	
Evaluation model:	[single] [step 1] [step 2]
Panel:	[insert panel identifier]
Evaluators:	[name NAME], [name NAME], [name NAME]

1. EVALUATION

 Applications **must be evaluated as they were submitted**, NOT on their potential if certain changes were made. Therefore, do NOT recommend any modifications (e.g. consortia composition, resources or budget, or inclusion of additional work packages). Shortcomings should be reflected in lower score.

 If an application is partly out of scope, this should be reflected in the scoring and explained in the comments.

1. Excellence	
The following aspects will be taken into account, to the extent that the proposed work corresponds to the description in the work programme:	
<ul style="list-style-type: none"> <u>Relevance to the Challenge</u>: How relevant are the project's objectives in contributing to the overall goal and the specific objectives of the Challenge? <u>Novelty</u>: How novel and ambitious are the proposed technological breakthroughs with respect to the state-of-the-art? How relevant and effective are they in achieving the expected outcomes of the Challenge? <u>Plausibility of methodology</u>: To what extent is the Research, Development & Innovation methodology described in the proposal appropriate to reach its objectives? How plausible is it that the objectives set out in the proposal are achieved within the time span of the project? 	
Comments:	
<p>Score 1 (0-5): Threshold: 4/5 Weight 60%</p>	
2. Impact	
The following aspects will be taken into account, to the extent that the proposed work corresponds to the description in the work programme:	
<ul style="list-style-type: none"> <u>Potential Impact</u>: To what extent the successful completion of the project may have economic and 	

societal impact and how credible it is argued and quantified (e.g. via KPIs or equivalent)? How appropriate are the expected outcomes of the project to contribute to the potential economic or social impacts of the Challenge?

- Innovation potential: How adequate are the proposed measures for protection of results and any other exploitation measures to facilitate future translation of research results into innovations with societal or economic impact? How suitable are the proposed measures for empowering key actors that have the potential to take the lead in translating research into innovations?
- Communication and Dissemination: How convincing and wide reaching are the proposed measures and plans for public/stakeholder engagement and for raising awareness about the project outcomes, including through Open Science, with respect to their potential to establish new markets and/or address global challenges?

Comments:

Score 2 (0-5): Threshold: 3/5 Weight 20%	
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3. Quality and efficiency of the implementation

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


- Quality of the applicant/consortium (depends if mono or multi-beneficiaries): To what extent do(es) the applicant/consortium members have all the necessary high quality expertise for performing the project tasks?
- Work plan: How coherent and effective are the work plan (work packages, tasks, deliverables, milestones, timeline, etc.) and risk mitigation measures in order to achieve the project objectives?
- Allocation of resources: How appropriate and effective is the allocation of resources (person-months and equipment) to tasks and consortium members?

Comments:

Score 3 (0-5): Threshold: 3/5 Weight 20%	
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Total score Overall threshold /15	
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2. OTHER QUESTIONS

Opinion on additional questions
<p>Scope of the application</p> <p>Based on the information provided, this application is:</p> <p><input type="radio"/> 'in scope' because it corresponds, wholly or in part, to the topic description against which it has been submitted</p> <p><input type="radio"/> 'out of scope' because: [Comment box]</p>
<p>Exceptional funding</p> <p> A third country participant/international organisation not listed in the General Annex to the Main Work Programme may exceptionally receive funding if their participation is essential for carrying out the project (for instance due to outstanding expertise, access to unique know-how, access to research infrastructure, access to particular geographical environments, possibility to involve key partners in emerging markets, access to data, etc.). (For more information, see the HE programme guide)</p> <p><i>Please list the concerned applicants and requested grant amount and explain the reasons why.</i></p> <p>Based on the information provided, the following participants should receive exceptional funding: [Comment box]</p> <p>Based on the information provided, the following participants should NOT receive exceptional funding: [Comment box]</p>
<p>Use of human embryonic stem cells (hESC)</p> <p>Does this proposal involve the use of hESC?</p> <p><input type="radio"/> No</p> <p><input type="radio"/> Yes</p> <p><i>If YES, please state whether the use of hESC is, or is not, in your opinion, necessary to achieve the scientific objectives of the proposal and the reasons why. Alternatively, please state if it cannot be assessed whether the use of hESC is necessary or not, because of a lack of information.</i></p> <p>[Comment box]</p>
<p>Use of human embryos</p> <p>Does this proposal involve the use of human embryos?</p> <p><input type="radio"/> No</p> <p><input type="radio"/> Yes</p> <p><i>If YES, please explain how the human embryos will be used in the project.</i></p> <p>[Comment box]</p>

Activities excluded from funding

Activities that:

- aim at human cloning for reproductive purposes, or
- intend to modify the genetic heritage of human beings which could make such changes heritable (with the exception of research relating to cancer treatment of the gonads, which may be financed), or
- intend to create human embryos solely for the purpose of research or for the purpose of stem cell procurement, including by means of somatic cell nuclear transfer, or
- lead to the destruction of human embryos (for example, for obtaining stem cells)?

are excluded from funding. Does the proposal include any of these activities?

No

Yes

If YES, please explain.

[Comment box]

Do no significant harm principle

Is this proposal compliant with the 'Do no significant harm' principle?

Not applicable

Yes.

Partially

No

Cannot be assessed

If Partially/No/Cannot be assessed please explain.

[Comment box]

Exclusive focus on civil applications

Do the activities proposed have an exclusive focus on civil applications (activities intended to be used in military application or aims to serve military purposes cannot be funded)?

No

Yes

If NO, please explain.

[Comment box]

Artificial Intelligence
<p>Do the activities proposed involve the use and/or development of AI-based systems and/or techniques?</p> <p><input type="radio"/> No</p> <p><input type="radio"/> Yes</p> <p><i>If YES, the technical robustness of the proposed system must be evaluated under the appropriate criterion.</i></p>

3. COMMENTS

Overall comments
[Comment box]

[additional OPTION for CR:

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Consensus meeting
Consensus meeting minutes
[Comment box]
Minority opinion
<p>Does this proposal have a minority opinion?</p> <p><input type="radio"/> No</p> <p><input type="radio"/> Yes</p> <p>If YES, please encode the names of dissenting evaluators and the reasons:</p> <p>[Comment box]</p>

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[additional OPTION for ESR (for internal use – will not be included in the ESR sent to applicants):

Panel review
Consensus meeting minutes
[Comment box]
Proposal panel review minutes
[Comment box]

]

HISTORY OF CHANGES		
VERSION	PUBLICATION DATE	CHANGE
1.0	18.06.2021	Initial version (new MFF).