



# Horizon Europe

## Evaluation Form (HE 1<sup>st</sup> stage RIA, IA and CSA)

Version 2.0  
23 February 2023



## **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.

### **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)]**  
**[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				

**PROJECT ABSTRACT***Text from Proposal Abstract (Application Form Part A).***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:

- 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.
- [OPTION for RIAs and IAs: Soundness of the proposed overall methodology(\*). ]
- [OPTION for CSAs: Quality of the proposed coordination and/or support measures including soundness of methodology. ]

(\*) Including all aspects mentioned in the first stage proposal template, which also include the integration of the gender dimension in research and innovation content as well as open science practices.

**Comments:****Score 1 (0-5):**

Threshold: 4/5


**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:

- 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 from the project.	
<b>Comments:</b>          	
<b>Score 2 (0-5):</b> Threshold: 4/5	
<b>Total score</b> Overall threshold /10	

## 2. OTHER QUESTIONS

<b>Opinion on additional questions</b>
<b>Scope of the application</b>
<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>
<b>Exceptional funding</b>
<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:</p> <p>[Comment box]</p> <p>Based on the information provided, the following participants should NOT receive exceptional funding:</p> <p>[Comment box]</p>

**Use of human embryonic stem cells (hESC)**

Does this proposal involve the use of hESC?

☐ No

☐ Yes

*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.*

[Comment box]

**Use of human embryos**

Does this proposal involve the use of human embryos?

☐ No

☐ Yes

*If YES, please explain how the human embryos will be used in the project.*

[Comment box]

**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

Do the activities proposed involve the use and/or development of AI-based systems and/or techniques?

☐ No

☐ Yes

*If YES, the technical robustness of the proposed system must be evaluated under the appropriate criterion.*

### Assessment of the pilot on Blind Evaluation

Were you able to guess the identity of the applicants (at least one) behind the proposal, even if the proposal was fully admissible because it did not contain any direct or indirect reference to the identity of the participants?

☐ No

☐ Yes

*If YES, could you provide us with your guess who the applicant(s) is?*

[Comment box]

### 3. COMMENTS

Overall comments
[Comment box]

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

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).
2.0	23.02.2023	Excellence criterion updated following HE WP 23-24, questions for the assessment of the blind evaluation pilot added.