

IHI Evaluation Form for single-stage and two-stage submission procedure

Research and Innovation Actions (RIA)

History of changes

Version	Date	Change	Page
1.0	01/06/2022	First version	-
2.0	10/10/2023	Added one sub-criterion to implementation criterion in single-stage and second-stage of a two-stage procedure evaluation criteria	9

Introduction

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 by the 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 IHI annual work plan.

A self-evaluation, if carried out by the applicants, is not to be submitted to the IHI JU, and has no bearing whatsoever on the conduct of the evaluation.

Scoring

Scores must be in the range 0-5. 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

Score	interpretation
1	The proposal fails to address the criterion or cannot be assessed due to missing or incomplete information.
2	Poor. The criterion is inadequately addressed, or there are serious inherent weaknesses.
3	Fair. The proposal broadly addresses the criterion, but there are significant weaknesses.
4	Good. The proposal addresses the criterion well, but a number of shortcomings are present.
5	Excellent. The proposal successfully addresses all relevant aspects of the criterion. Any shortcomings are minor.

Thresholds

Single-stage and two-stage submission procedure

For the evaluation of proposals under a single-stage and two-stage submission procedures, the threshold is 3 for all the three evaluation criteria 'excellence', 'impact' and 'quality and efficiency of the implementation'. The overall threshold, applying to the sum of the three individual scores, is 10.

1 First-stage evaluation criteria in the two-stage procedure

<p>1. Excellence</p> <p>Aspects to be taken into account</p> <ul style="list-style-type: none"> • 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. • Soundness of the overall methodology. <p>Comments:</p>	<p>Score 1:</p> <p>Threshold: 3/5</p>
<p>2. Impact</p> <p>Aspects to be taken into account</p> <ul style="list-style-type: none"> • 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 due to the project. <p>Comments:</p>	<p>Score 2:</p> <p>Threshold: 3/5</p>
<p>3. Quality and efficiency of the implementation</p> <p>Aspects to be taken into account</p> <ul style="list-style-type: none"> • Quality and effectiveness of the outline of the work plan • Capacity of each participant, and extent to which the consortium as a whole brings together the necessary expertise. <p>Comments:</p>	<p>Score 3:</p> <p>Threshold: 3/5</p>

Any other remarks on this proposal which may be of assistance to the applicants if it is selected for stage 2 evaluation

Comments:

Total score (1+2+3)

Threshold: 10/15

**Experts will also be asked to assess the exceptional funding of third country participants/international organisations.*

Other Questions

Opinion on additional questions

Scope of the application

Based on the information provided, this application is:

- 'in scope' because it corresponds, wholly or in part, to the topic description against which it has been submitted
- 'out of scope' because:

[Comment box]

Exceptional funding

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).

Please list the concerned applicants and requested grant amount and explain the reasons why.

Based on the information provided, the following participants should receive exceptional funding:

[Comment box]

Based on the information provided, the following participants should NOT receive exceptional funding:

[Comment box]

Use of human embryonic stem cells (hESC)

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

- 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

Comments

Overall comments

[Comment box]

2 Single-stage and second–stage of a two-stage procedure evaluation criteria

<p>1. Excellence</p> <p>Aspects to be taken into account</p> <ul style="list-style-type: none"> • 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. • Soundness of the proposed methodology, including the underlying concepts, models, assumptions, interdisciplinary approaches, appropriate consideration of the gender dimension in research and innovation content, and the quality of open science practices, including sharing and management of research outputs and engagement of citizens, civil society and end users where appropriate. <p>Comments:</p>	<p>Score 1:</p> <p>Threshold: 3/5</p>
<p>2. Impact</p> <p>Aspects to be taken into account</p> <ul style="list-style-type: none"> • 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 due to the project. • Suitability and quality of the measures to maximise expected outcomes and impacts, as set out in the dissemination and exploitation plan, including communication activities. <p>Comments:</p>	<p>Score 2:</p> <p>Threshold: 3/5</p>
<p>3. Quality and efficiency of the implementation</p> <p>Aspects to be taken into account</p> <ul style="list-style-type: none"> • Quality and effectiveness of the work plan, assessment of risks, and appropriateness of the effort assigned to work packages, and the resources overall. • Capacity and role of each participant, and extent to which the consortium as a whole brings together the necessary expertise. • Clearly defined and effective integration of in-kind and financial contributions, including those of IHI JU private members, their constituent or affiliated entities to enable a successful public-private partnership. <p>Comments:</p>	<p>Score 3:</p> <p>Threshold: 3/5</p>

Any other remarks on this proposal which may be of assistance to the consortium if it is selected for grant preparation

Comments:

Total score (1+2+3)

Threshold: 10/15

**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 the exceptional funding of third country participants/international organisations.*

Other Questions

Opinion on additional questions

Scope of the application

Based on the information provided, this application is:

- 'in scope' because it corresponds, wholly or in part, to the topic description against which it has been submitted
- 'out of scope' because:

[Comment box]

Exceptional funding

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).

Please list the concerned applicants and requested grant amount and explain the reasons why.

Based on the information provided, the following participants should receive exceptional funding:

[Comment box]

Based on the information provided, the following participants should NOT receive exceptional funding:

[Comment box]

Use of human embryonic stem cells (hESC)

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

- 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

Comments

Overall comments

[Comment box]