

## **Proposal template and evaluation criteria**

**8<sup>th</sup> March 2018**

**EU Energy Focus  
UK National Contact Point for Horizon 2020 Energy**

## **Overview**

- Proposal Structure overview
- Excellence
- Impact
- Implementation
- Proposal writing approach

## Overview of proposal structure

- Part A: summary, partner info, summary budget
- Part B: detailed description of action
- Part C: budget: self-calculating form input data
- Annexes: requested information only

**Proposals must be submitted via the Electronic Submission System**

## Section B and link to evaluation criteria

Each section is linked to one of three evaluation Criteria

- Section 1: Excellence
- Section 2: Impact
- Section 3: Implementation

Score range of 0 to 5. The standard threshold for individual criteria is 3. The overall threshold, applying to the sum of the three individual scores is 10.

For Innovation Actions score for impact will be given a weight of 1.5 to determine ranking

For EE-1 and EE-6 the threshold for Excellence and Impact is 4, with an overall threshold of 12

## Evaluation criteria 1 – CSA

### Excellence

- Clarity and pertinence of the objectives
- Soundness of the concept, and credibility of the proposed methodology
- Quality of the proposed coordination and/or support measures

## Evaluation criteria 1 – RIA and IA

### Excellence

- Clarity and pertinence of the objectives
- Soundness of the concept, and credibility of the proposed methodology
- Extent that the proposed work is beyond the state of the art, and demonstrates innovation potential (e.g. ground-breaking objectives, novel concepts and approaches, new products, services or business and organisational models)
- Appropriate consideration of interdisciplinary approaches and, where relevant, use of stakeholder knowledge and gender dimension in research and innovation content

## Key messages - Excellence

- Define **clear, focused, quantified objectives** (3 to 5 goals for the project) – these should not be a list of your activities
- Make a clear link to the Specific Challenge and Scope of the **Call topic**
- Include a **thorough** description of the state of the art and how the activities will **build upon it and advance it**
- **Describe** the innovation potential
- Convince the evaluators that the concept will work, **justify your approach** (evidence) and highlight any unique selling points

## Section 2: Impact

**What is impact?** The change that will occur as a result of your activity

**Example:**

- **Objective** – to increase the chances of your Horizon 2020 proposal being successful
- **Activity** – attending this workshop
- **Impact** – estimated 40% increase in success (based on evidence that success rate for UK organisations was 40% higher if they contacted NCP) – includes **quantification** and **explanation** for estimate

## Importance of impact

- One of three evaluation criteria (excellence, **impact**, implementation) – threshold vs score needed for funding
- Focus on meeting 2020 targets means Commission wants to fund projects that will have impact
- Justification of **overall impact** of Horizon 2020 funding
- Emphasis on European competitiveness and jobs as well as energy technology related impacts

## Before you start writing, ask yourself

- What will be the result of your project?
- Who wants these results? e.g. developers, investors, policy makers, regulators, public = **target groups**
- How do you plan to inform the target groups about the results? = **dissemination**
- How will the target groups use these results? = **exploitation**
- What will happen when the target groups use the results? = **impact**
- How will you know what has happened? = **monitoring**
- What further steps will be needed? = **path to market**

## Section 2.1 Expected impacts

- **Describe** how your project will contribute to each of the expected impacts mentioned in the Work Programme, under the relevant topic
- **Describe** any barriers/obstacles that may determine whether and to what extent the expected impacts will be achieved

NB - Include quantification wherever possible

## Examples of impact listed in Work Programme

- Primary energy savings triggered by the project within its duration (in GWh/year per million Euro of EU funding)
- Investments in sustainable energy triggered by the project within its duration (million Euro of investments per million Euro of EU funding)
- Reduction of time needed on site for renovation works
- Increased rate of application and compliance EPCs
- Number of policies created/adapted at national level
- Number of industrial sites supporting implementation of surplus renewable energy from industrial sources

## Impact & performance indicators

- **Outputs** - specific services/deliverables produced by project activities which help target groups to achieve results but don't in themselves cause impact
- **Impact:** identifiable changes demonstrating effect on target groups
- **Performance indicators** express ambition and scale of project, used to measure success in delivering impact. Quantify using SMART indicators in five areas identifying relevant targets with baselines

## Calculating impact

### Elements of the calculation:

- Method and Measurement units
- Calculate bottom-up building on outputs
- Evidence/assumptions to support extrapolations
- Calculate from evidence of previous studies using baseline and assumptions
- Be ambitious but don't say that your proposal can solve all the energy challenges on its own

## Calculating impact example

**Baseline** – typical resident's energy usage is X KWh per annum.

60 energy ambassadors are trained.

**Assumptions:**

Each energy ambassador improves the capacity of 40 residents to improve energy efficiency per annum.

Of 2400 residents with increased capacity, 75% improve their energy efficiency by 10% (reference to relevant study to back up assumptions)

**Estimated energy savings** =  $1600 \times 10\% \times X \text{ KWh per annum.}$   
 $60 \times 40 \times 75\%$  →

## Key messages - Impact

- Ensure there is a **link** between your programme of work and expected impact
- **Explain** how you have calculated your baseline
- **Quantify** the expected impact
- **Explain** the assumptions you have used to extrapolate the expected impact
- Describe how you will **monitor** the project and measure the impact
- Include a **detailed** dissemination plan that is **tailored** to the stakeholders and explains their involvement
- Explain how the work will be **continued** after the end of the project



## Evaluation criteria 2 – CSA

### Impact

- The extent to which the outputs of the project would contribute to each of the **expected impacts mentioned in the work programme** under the relevant topic
- Quality of the proposed measures to:
  - **Exploit and disseminate the project results** (including management of IPR), and to manage research data where relevant
  - **Communicate the project activities** to different target audiences

## Evaluation criteria 2 – RIA and IA

### Impact

- The extent to which the outputs of the project would contribute to each of the **expected impacts mentioned in the work programme** under the relevant topic
- Any **substantial impacts not mentioned in the Work Programme**, that would enhance innovation capacity, create new market opportunities, strengthen competitiveness and growth of companies, address issues related to climate change or the environment, or bring other important benefits for society
- Quality of the proposed measures to:
  - **Exploit and disseminate the project results** (including management of IPR), and to manage research data where relevant.
  - **Communicate the project activities** to different target audiences

NB - For Innovation actions, to determine the ranking, the score 'impact' will be given a weight of 1.5.

## Impact – evaluator comments

- ✓ The specific impact for each country is considered and this is a positive aspect.
- ✓ The proposal addresses the expected impact listed in the Work Programme. Short-term, medium and long-term impacts are provided. The economic and social impacts including jobs creation and affordable energy supply are presented in a measurable way and in relation with the objectives of the proposal.
- X The presented dissemination and communication plans are appropriate for increasing the visibility to the project, however as presented, they are not fully suitable to reach the target groups.
- X The impact analysis is very vague. The claimed impacts are not supported by appropriate and credible evidence.

## Evaluation criteria 3 – RIA, IA and CSA

### Implementation

- 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
- Appropriateness of the management structures and procedures, including risk and innovation management
- Complementarity of the participants and extent to which the consortium as whole brings together the necessary expertise
- Appropriateness of the allocation of tasks, ensuring that all participants have a valid role and adequate resources in the project to fulfil that role.

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

## Key messages - Implementation

- Follow a **logical** structure including clear feedback loops
- Provide sufficient detail to **justify** the budget allocations
- Include a **consistent** level of detail for each work package
- Outline management structure and procedures appropriate for project
- Include a **risk plan**
- **Explain** why the project team has been selected
- **Consider** the balance of effort and whether the partners have provided evidence that they have sufficient operational capacity

## Evaluation – further information

### Evaluation rules

[http://ec.europa.eu/research/participants/data/ref/h2020/other/wp/2018-2020/annexes/h2020-wp1820-annex-h-esacrit\\_en.pdf](http://ec.europa.eu/research/participants/data/ref/h2020/other/wp/2018-2020/annexes/h2020-wp1820-annex-h-esacrit_en.pdf)

### Evaluation guidance

[http://ec.europa.eu/research/participants/docs/h2020-funding-guide/grants/from-evaluation-to-grant-signature/evaluation-of-proposals\\_en.htm](http://ec.europa.eu/research/participants/docs/h2020-funding-guide/grants/from-evaluation-to-grant-signature/evaluation-of-proposals_en.htm)

## Key messages for proposal preparation

- Make the **link** between the work plan and impact
- **Distinguish** between dissemination and communication
- Calculating impact – **show your working and assumptions**
- Monitoring impact - **include time and cost for this**
- Impacts **beyond** the project – what will be the continued/sustained impact
- **Select** partners to increase impact
- Engage **specialists** for dissemination and communication if needed
- Engage with the target group/users **early in proposal development**

## Group exercise – contribution to expected impact

### Exercise 1:

- Identify areas of impact relevant to your project
- Quantify project performance indicators

### Exercise 2:

- Review table of project performance indicators and resulting energy related impact
- Prepare explanation/calculation to show **how energy-related impact is quantified**

Commission guidance on PPIs at <https://tinyurl.com/y9w92vpb>