



Gutachterkritiken – Beispiele für häufige Fehler in der Antragstellung

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Evaluierungskriterien Excellence

- 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, inter-disciplinary 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.
- → <u>Denken Sie daran, alle im Proposal-Template geforderten Informationen zu liefern!</u>





Kritikpunkte aus ESRs

- Objectives sind nicht ausreichend, um Scope voll abzudecken oder um expected outcomes zu bedienen bzw. Objectives fokussieren nur auf Teilaspekte des Topics
- Objectives sind nicht SMART: zu unspezifisch/unklar; nicht messbar/verifizierbar; überoder unterambitioniert; ohne Angabe eines Zeithorizonts
- Analyse / Darstellung des state of the art und Ambition sind unklar und nicht ausreichend detailliert formuliert
- Progress beyond state of the art / Ambition nicht überzeugend, da keine signifikante Generierung von neuem Wissen / Erforschung neuartiger Technologien oder zur Demonstration / Erforschung der Durchführbarkeit neuartiger Ansätze / Technologien / Modelle





Kritikpunkte aus ESRs

- Innovationspotenzial zu gering / nicht überzeugend
- Reifegrad der vorgeschlagenen Aktivitäten und der Endpunkte nicht ausreichend bzw.
 nicht zu Anforderungen aus Topic oder dem Instrument passend (zu gering /zu hoch)





- The overall objective is clear and pertinent to the topic description, however there is no division into specific objectives, and there are no clear measurable performance indicators that can be verified to be realistic. This is a significant weakness.
- In addition, the pertinence of some specific objectives is limited as they will be dependent on external factors and actors. This is a shortcoming.
- The proposal does not sufficiently develop the objectives and does not provide details related to measurability, attainability and timetable (performance indicators) to achieve these objectives. This a significant weakness
- Some of the key performance indicators (KPIs) are too vague and not sufficient to ensure monitoring the progress.





- Objectives have a narrow focus on ... and do not sufficiently address other aspects of the topic, such as This is a serious inherent weakness.
- The objectives only partly address the scope of the work program. Some of the topics from the work program are insufficiently covered
- The state of the art analysis and ambition of the proposal are unclear and not articulated in sufficient detail. Ambition is not convincing since this does not lead to significant generation of new knowledge or to exploring the feasibility of a sufficient number of novel technologies. Furthermore, innovation potential is not convincing. Overall, this is a significant weakness.
- The novelties for some of the other elements, such as for ..., are not well justified.





- The description of how the proposed project will go beyond the state of the art is largely generic and presented in a rather unstructured way.
- ...does not explain how far the proposed work goes beyond the state-of-the-art as the advancement of TRL from 2/3 to TRL 5 is not clearly described.





- Most of the objectives, such as ..., in general, are clear, measurable and pertinent to the call topic. They are achievable and realistic. This is very good.
- The objectives of the proposal are clear and pertinent to the WPs and topic call.
 Objectives are achievable in four years, measurable and verifiable, and well linked to Horizon Europe, Joint Programming Initiatives, ERA-Nets, other relevant policies and interesting Member States/Associated Countries, the CAP and EIP-AGRI.
- The overall objective of the proposal is relevant, fully justified and clearly aligned with the European priorities with regard to establishing the necessary conditions for integral training and awareness in the field of sustainability. The proposal is also clearly aligned with previous EU funded research that has already allowed the design of learning scenarios to be replicated and multiplied.





- The level of ambition is high since the proposal addresses the lack of knowledge and understanding of ... Strategic objectives are relevant and well focused to the Work Programme and topic. The objectives are very ambitious.
- The proposed holistic and interdisciplinary approach is based on an excellent description of the current state of the art, supported by relevant references, both on scientific literature and regulation. The expected progress beyond the state of the art is convincing, departing from partners' positions and expertise, and properly correlated with proposed activities. The planned technology readiness levels (TRL) are convincingly positioned. This is excellent.
- All call topics are translated into targeted measures with clear activities and deliverables.
- The actions, developments and activities considered in the proposal are realistic to achieve TRL5 at the end of the project. This is a strength.





Kritikpunkte aus ESRs

- Zugrundeliegendes Konzept unklar, mangelhaft ausgearbeitet oder erläutert
- Zugrundeliegende Annahmen und Technologien nicht ausreichend erläutert
- Nur generische Methoden, keine ausgearbeitete Methodik bzw. unklare Gesamtstrategie
- Methoden zur Erreichung der gesetzten Ziele bzw. zur Schaffung eines Mehr- oder Neuwerts ungeeignet bzw. nicht ausreichend
- keine Verbindung zwischen Objectives, Konzept und Methoden
- Arbeiten passen nicht zusammen bzw. werden nicht gut miteinander verknüpft
- Konkrete Vorgaben aus Topic zur Methode / Herangehensweise missachtet





Kritikpunkte aus ESRs

- Interdisziplinarität nicht (überzeugend) umgesetzt bzw. nicht erläutert; nötige Expertisen und Disziplinen fehlen; keine echte Zusammenarbeit / Co-Design / Co-Creation zwischen Disziplinen
- Zielgruppen schlecht gewählt oder ihre Relevanz nicht ausreichend erläutert
- Keine Ausreichende Einbindung relevanter Zielgruppen
- Keine Verbindung zu bzw. Synergie / Komplementarität mit anderen Forschungs- und Innovationsprojekten / Initiativen; Duplikation von Arbeit, da existierendes Wissen nicht genutzt wird
- Gender Dimension in R&I Inhalten nicht erläutert bzw. nicht adressiert; keine entsprechenden Aktivitäten / Expertisen





- The proposal is based on a concept, which is neither well developed nor clearly presented with some parts of information missing.
- The methodological approach of the proposal is not sufficiently sound. The following five shortcomings have been identified: i) the proposal does not sufficiently address underlying concepts, assumptions and technologies; ii)...
- The overall methodology is based on a number of adequate, but rather generic concepts. In addition, it is not fully clear how they are interlinked into a coherent methodology. In addition, the methodology uses assumptions and baselines which are not sufficiently justified.
- The proposed methodology is too generally presented and not clear at parts. Also, in some parts of the proposal, is not clear what is the link between the initial objectives and proposed activities mentioned in the methodology. Furthermore, certain research activities are not well connected with each other.





- The proposed approach appears insufficient to obtain new insights and to achieve a more comprehensive understanding of...
- Some central elements required in the call topic are lacking in the description of the methodology. Serious inherent weakness.
- Interdisciplinarity is not explicitly addressed and the proposal does not adequately integrate different perspectives/disciplines (for example, social sciences and humanities). This is a shortcoming.
- Inter-disciplinary approaches are primarily addressed by local expertise, but insufficiently elaborated, particularly in terms of how approaches from different disciplines will be integrated in pursuit of the objectives. In addition, a shortcoming, is that social and behavioural aspects are not adequately considered.
- in some cases the selected target groups are insufficiently justified





- The proposal does not present sufficient linkages with relevant international projects.
 This is a shortcoming.
- Although some consortium partners are involved in relevant national and international research and innovation projects, the proposal does not provide sufficient evidence that the results of these projects will feed into the project. This is a major shortcoming.
- The proposal does not explain sufficiently how synergies can be built with other research and innovation projects funded under Horizon Europe.
- The gender dimension is not sufficiently described in the proposal (only gender supervising is mentioned under coordination) and there are not enough reflections on the integration of gender or diversity perspectives in the work plan. This is a shortcoming.
- Social sciences are well taken into account in the proposal, but not sufficiently presented and integrated within the research activities





- Social sciences are present in the proposal, although underrepresented and unclearly linked to other activities.
- Open science practices, data management, citizen inputs and the gender dimension are not discussed. These are significant weaknesses.
- The use of open science practices as described in the proposal is mostly limited to the
 encouragement of using an open research platform and open access publications. In
 addition, the provision of open data from the proposed project is not properly discussed.
 This is a major shortcoming.
- Open science practices are not an integral part of the proposed methodology.
 Furthermore, research data management is not addressed.
- Information about how the proposal plans to comply with open science including data management is very poorly described.





- Data interoperability issues are not adequately addressed, neither at technical nor nontechnical level, e.g., harmonization and data analytics on data sets collected
- The proposal does not adequately consider the 'multi-actor approach'. This is a shortcoming.
- While the proposal plans to involve multiple actors such as farmers, policy makers, researchers and consumers, their involvement is largely limited to the use of scientific information generated by the project. An actual co-design or co-production of knowledge is not evident. This is a major shortcoming.





- The described methodology is sound and addresses all the aspects of the call. The challenges in the proposed methodology are identified and addressed by adequate measures; this is excellent.
- The methodology concisely summarizes the available models and indicators to be applied, which is very good,
- The concept is sound, very well developed and the proposed methodologies are very credible. This is a major strength.
- The proposal includes some valuable interdisciplinary elements, such as ... This is very good.
- interdisciplinary character of the proposal is clearly demonstrated





- The proposal provides an excellent overview of national and international projects and activities. The proposal clearly states how the results of these projects will feed into the planned work. This is a strength.
- proposed plan for the involvement of stakeholders throughout the project has been very well thought through
- Open science practices, including a good research data management plan, are very well integrated and reflected in all activities. Appropriate engagement of stakeholders is foreseen. This is very good.





- The proposal fully adheres to the mandatory Open Science practices by making available data, models and results in line with open science principles. The proposal highlights the multi-stakeholder configuration of the LLs and the participatory research design. Software tools and infrastructure to be created will be based on open source and FAIR principles. The standards for data storage, access and management will be detailed in the Data Management Plan. Open science practices are very well described.
- Gender aspects in research are well addressed. It includes clear and referred statements despite the non-application of specific gender concerns regarding ... This is very good.
- The proposal is ambitious and the excellent novel concept of combining cutting-edgemethods (e.g. ...) with well applied methods is likely to generate scientific and industry process advances going beyond the state-of-the-art. This is excellent.





- ...includes a task dedicated to sharing methodologies and findings with projects funded within this topic and identifies 8 past and ongoing research projects to connect with in order to seek for synergies. This is very good.
- The proposed methodology is logic and sound in particular with its phasing approach based on a mapping phase, a diagnostic phase and an improvement phase. The proposal tries to link the objectives with specific, tangible and verifiable outputs through solutions testing, case studies recommendations and stakeholder dialogues. The innovation potential of the project remains high. The gender dimension is properly addressed, as well as the engagement of citizens and users.
- The project methodology is appropriate, sound, realistic, complex and credible. This
 methodology takes into account the role of stakeholders which is emphasized in the
 proposal. The project is interdisciplinary because is integrating various disciplines such
 as natural and data sciences.





- The proposed Multi-Actor Approach is adequate with a strong interaction with actors and end-users through the case studies. The MAA will maximise the impact of the proposed activities, building on the knowledge collected to deliver a conceptual and evaluative framework together with a tool that monitors progress towards a ...
- Stakeholders play crucial roles in very important actions and tasks such as assessing
 the validity of models results or in the development of systems of indicators for the case
 studies. This is a strength.
- The SSH dimension is adequately addressed in the proposal, with specific attention given to the involvement of citizens in a gender-equal representation that aims for an inclusive perspective
- Social sciences are well mentioned in the proposal, e.g., socio-economic and sustainable indicators. Also, social sciences are well integrated into other research activities.





Evaluierungskriterien Impact

- 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 maximize expected outcomes and impacts, as set out in the dissemination and exploitation plan, including communication activities.





Kritikpunkte aus ESRs 1/2

- Die angestrebten Ergebnisse werden nicht zu den erwarteten Outcomes führen. Statt Wirkungspfaden werden Begründungen der Notwendigkeit des Topics bzw. des Projektes geschrieben.
- Die erwarteten Wirkungen / Wirkungspfade sind vage / oberflächlich / generisch / nicht glaubwürdig / unzureichend ausgearbeitet
- Es fehlen belastbare / nachvollziehbare Indikatoren (key performance indicators, KPI); KPIs sind nicht anspruchsvoll genug
- Es fehlen Aussagen zur Übertragbarkeit bzw. Skalierbarkeit der erwarteten Ergebnisse.
- Keine / unzureichende Beschreibung von Hemmnissen / deren Überwindung





Kritikpunkte aus ESRs 2/2

- Der dissemination plan ist nicht detailliert genug
- Die Einbeziehung spezifischer Zielgruppen (z.B. (!) politisch Entscheidungstragende) fehlt / ist vage / nicht ausreichend beschrieben / nicht überzeugend.
- Die Beziehungen zwischen den Kommunikationsmaßnahmen und den Bedürfnissen der Zielgruppen sind unzureichend beschrieben.
- Die angestrebten Produkte f
 ür D&E&C sind wenig ambitioniert.
- Es fehlt eine Strategie / konkrete Maßnahmen zum Schutz von IPR





- [..], the expected impacts are not credible in relation to the actions proposed for achieving them. They are vague and aspirational rather than founded on evidence and specific plans. They lack relevant KPIs. This is a significant weakness.
- The barriers to achieve the expected outcomes and impacts, and the necessary mitigation measures, are not explicitly specified. This is a shortcoming.
- [...] although the pathways to achieve the expected outcomes of the topic are credible, the scale and significance of the impacts have been assessed superficially, which is a shortcoming.





- However, it is not explained sufficiently how the outcomes of the proposal would reach the rest of the existing [....] community, which is a shortcoming.
- The proposed impacts are aligned with the call and measures to maximize expected outcomes and impacts are suitable and their quality convincing. However, the proposal only broadly presents the pathways to achieve the intended outcomes and impacts specified in the work programme, which is a shortcoming.





- The long-term contribution of the project to the wider impact of setting out credible pathways to [....] is not sufficiently elaborated in the proposal. This is a shortcoming.
- The pathway proposed to achieve the expected outcome [...] is not credible since there are limited activities [...] and these are not clearly scheduled. This is a significant weakness





- The proposal demonstrates a set of measurable or otherwise tangible outcomes, which also act as indicators for progress along with milestones.
 However, the baselines, benchmarks and assumptions used for developing project outcomes are insufficiently clearly outlined. This is a minor shortcoming.
- The proposal fails to provide adequate estimates to assess the scale and significance of project's contribution to [...] strategy target [...]. This is a minor shortcoming.





- The proposal lists some critical risks for implementation. This is good. However, risk and mitigation measures with regards to [...] are insufficiently addressed.
 This is a shortcoming.
- The scale and significance of the project's contribution to the expected outcomes and impacts are not well estimated and quantified. Barriers are not sufficiently addressed and mitigation measures are insufficiently taken into account. This is a significant weakness.





- However, the proposal does not clearly differentiate communication and dissemination activities. [...] Moreover, proposed draft exploitation measures are not sufficiently explained or detailed [...]. These are shortcomings.
-the proposal fails to describe the measures of how to reach [target audiences].
- The strategy for intellectual property rights (IPR) management is insufficiently presented to convincingly support the exploitation of results.





- The communication strategy is general. The proposed measures do not clearly distinguish between the different groups of stakeholders. Impact orientation and indicators are missing.
- The dissemination and communication strategy has been clearly
 presented and target audiences are identified but the proposal fails to
 describe the measures of how to reach these audiences. The proposal
 also lacks detailed dissemination and communication plans and targets,
 which is a shortcoming.





- [...] target groups are recognized but they are not sufficiently described, nor clearly linked to activities. Moreover, [...] activities are not sufficiently explained. In addition, the legacy of the project e.g., maintenance of the website beyond project end, is not sufficiently clear. This is a shortcoming.
- The strategy for intellectual property management is not convincing in terms of its efficacy to exploit the results over the funding period and there are insufficient descriptions about potential protection measures, such as patents, design rights, copyrights, trade secrets, etc., and how these will be used to support exploitation. This is a shortcoming.





- The proposal lays out key target groups with activities that are largely appropriate but rather limited in scope. [...] This is a shortcoming.
- The planned [D&E] activities lack indicative details that would explicitly
 ensure their adequacy and effectiveness for the project's scale, such as
 clarification (examples) of corresponding disseminated/exploitable results,
 partners, routes of exploitation, categories of main and general users,
 commercially exploitable results (if any), expected impacts, measurable
 KPIs/targets. This is a weakness.





- The dissemination and communication approach is overall well designed. The proposal aims to optimally inform the stakeholders [...] and provides good communication and dissemination activities [...]. However, there is inadequate information about how the measures have been adapted to the scale of the project and how they will be tailored to the needs of different target audiences. This is a shortcoming.
- Although the exploitation strategy is rather promising, a complete exploitation plan with KPIs and baseline figures is missing. The management of IPR is not adequately considered.





Evaluierungskriterien Implementierung

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

- 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 the extent to which the consortium as a whole brings together the necessary expertise.





Mängel und Schwächen in Anträgen 1/2

- Risikomanagement und Analyse
- Zusammenstellung des Konsortiums, geographische Abdeckung (Topicabhängig), multi-Disziplinarität, Multi-actor approach
- Arbeitsplan ist nicht realistisch, keine oder nur geringe Flexibilität
- Tasks, Deliverables und Milestones nicht adäquat und unzureichend erläutert
- Kooperation mit (laufenden) Projekten unzureichend erläutert





Mängel und Schwächen in Anträgen 2/2

- Kohärenz bzgl. der durchzuführenden Aktivitäten
- Unstimmigkeiten in den Beschreibungen und den Tabellen
- Fähigkeiten und Expertise unzureichend belegt bzw. erläutert
- Sozial- und Geisteswissenschaften nicht adäquat berücksichtigt
- Ressourcen Ungleichgewicht bzw. nicht nachvollziehbar
- Budget nicht angemessen bzw. unklare Darstellung





Beispiele aus den ESRs 1/10

Risikomanagement und Analyse

- Critical risks for implementation and related mitigation measures are adequate and subject to control in specific WP. However, risks linked to the project implementation are mainly focused on tools rather than on the choice of relevant topics.
- The proposed mitigation actions, although sufficiently described, lack some clarity.
- Critical risks relating to project implementation are properly identified. However, risk mitigation measures are
 weakly explained; does not describe any mitigation, only prevention strategies.
- Risks are presented but not fully considering the scope of the project.
- Measures to mitigate risks are not sufficiently identified.
- Risks related to communication and dissemination, and exploitation are not addressed.
- Overall, critical risks for implementation are well identified, qualified and appropriate mitigation measures are
 proposed. However, the risk linked to the complexity of the work plan and the size of the consortium, which
 could render the implementation difficult, should be better addressed.





Beispiele aus den ESRs 2/10

Schwaches und/oder kompliziertes/ineffizientes Management, das dem Projekt nicht angemessen ist

 Detailed information is missing on the process of envisaged coordination mechanisms to effectively put in operation the collaborative work of ...

Kooperation mit (laufenden) Projekten unzureichend erläutert

Although related EU projects are mentioned, the activities linked with the proposal (to contact with and build on)
at national/regional level are described insufficiently.





Beispiele aus den ESRs 3/10

Zusammenstellung des Konsortiums, geographische Abdeckung (Topicabhängig), multi-Disziplinarität, Multi-actor approach

- The consortium as a whole brings together the necessary expertise, in complementary disciplines as "cluster 6" science, economics, and consumer science, citizen science, environment, health, social science, and humanities.
 However, the capabilities and experience of some partners are not well demonstrated in relation to the tasks they have to perform.
- The proposal does not fully demonstrate that the necessary expertise relating to social sciences and humanities is present.
- The majority of partners are from Western part of Europe. Moreover, the reasons for entities not present in the consortium are not sufficiently explained.
- There are no policy-making institutions (ministries, etc.) included in the consortium, although they are mentioned as
 one of the stakeholders in the dissemination, exploitation and communication strategy.
- There is not sufficient mention of gender aspects of R&I in the proposal, in the composition of the consortium.





Beispiele aus den ESRs 4/10

Arbeitsplan ist nicht realistisch, keine oder nur geringe Flexibilität

- The work plan is not elaborated properly.
- The workplan is structured in a logical manner. **However**, the added value of the overall workplan is not convincingly demonstrated because of the lack of synergy among the Work Packages.
- As the work plan is poorly defined it is not possible to assess if the expected workload and resources allocated to WPs are adequate and aligned with their objectives.
- Some aspects are insufficiently detailed or justified, for example...
- The WP inter-dependencies in the PERT diagram are not reflected in the GANTT chart which is why it is not possible to assess whether the delivery timescale is realistic.
- The Gantt chart lacks details (e.g., timelines are given only per WP, not per task, and milestones and deliverables are not shown), and there are inconsistencies in terms of details presented among WPs and tasks (e.g. only some include details on start and end month and leads).





Beispiele aus den ESRs 5/10

Tasks, Deliverables und Milestones nicht adäquat und unzureichend erläutert

- Deliverables are assigned to each work package. They are clearly defined, include quantified information, and are properly (assigned, time-framed). **However**, tasks and deliverables for validation of selected (approaches, products, tools, solutions, topics, ...) are not sufficiently (presented, detailed).
- The exact number of selected (cultivars, pathogens, pesticides, products, methods, case studies, ...) is uncertain along the proposal.
- In general, the deliverables were not adequately designed and WPXYZ lacks a sufficient number of deliverables.





Beispiele aus den ESRs 6/10

Kohärenz bzgl. der durchzuführenden Aktivitäten

- The exact number of selected (cultivars, pathogens, pesticides, products, methods, case studies, ...) is uncertain along the proposal.
- The synchronization and the necessary liaison between work packages and tasks are in some cases unclear.
- The connection between tasks, milestones and deliverables is incoherent.

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Unstimmigkeiten in den Beschreibungen und den Tabellen

- Within the Gantt chart tasks incomplete, this is a minor shortcoming.
- Persistent discrepancies are noticed between tables 3.1b, 3.1f and 3.1g in terms of person months.





Beispiele aus den ESRs 7/10

Fähigkeiten und Expertise unzureichend belegt bzw. erläutert

- The description of infrastructures to which the partners have access is in places insufficiently described.
- The proposal does not fully demonstrate that the necessary expertise relating to social sciences and humanities is present.
- The proposal provides insufficient information on the consortium members. Consequently, it is not clear if
 partners have the required expertise to successfully implement the proposed activities from the work plan nor if
 their roles in the project are valid. This also questions if the consortium as a whole is capable to achieve the
 expected outcomes of the project.





Beispiele aus den ESRs 8/10

Ressourcen Ungleichgewicht bzw. nicht nachvollziehbar

- The (higher) (person months, resources/budgets) for selected (partners, work packages, tasks, ...) are not fully justified and reflected in the proposed outcomes and tasks.
- The setup of social media is missing in the list of milestones and, as a consequence, the communication costs are underestimated.
- Some resource allocations, i.e. for travel and for meetings, are not justifiable.
- Resource allocation is not fully justified.
- Allocation of human resources is dominated by a small number of partners and this could hamper the
 operational capacity across the consortium. In particular, details on how partners with small allocation of human
 resources will ensure participation in regular project activities over the project lifetime are insufficiently
 presented.
- In table 3.1f there is a proportionally lower staff effort for WP X yet this is a crucial work package to impact.





Beispiele aus den ESRs 9/10

Budget nicht angemessen bzw. unklare Darstellung

- Some resource allocations, i.e. for travel and for meetings, are not justifiable.
- Subcontracting and purchase costs, if any, are not described.
- The activities and budget needed for the (regional hubs, workshops, conferences, ...) organization are described insufficiently.





Beispiele aus den ESRs 10/10

Sozial- und Geisteswissenschaften nicht adäquat berücksichtigt

- The proposal does not fully demonstrate that the necessary expertise relating to social sciences and humanities is present.
- How citizen scientists and amateur taxonomists will be effectively recruited and engaged in the proposed European network, and how quality assurance will be controlled is inadequately addressed.
- The availability of adequate SSH expertise to carry out the described social science components (perception analyses, key informant interviews, stakeholder surveys) remains unclear.