Søknadens vei fra innlevering til innvilget prosjekt

Forskningsrådet

EUROPEAN COMMISSION
Directorate-General for Research & Innovation

Grants Manual – Section on:
Proposal submission and evaluation
(sections III.5, III.6, IV.1, IV.2)

Version 1.4
28 May 2015

HORIZON 2020

One-stage evaluation

- One deadline per submission (full proposal)
- Individual evaluation (usually in remote)
- Consensus group discussion (usually in Brussels)
- Panel review
- Final ranking

Two-stage evaluation

- Two deadlines per submission
  - First stage: Short proposal evaluation (2 criteria: excellence and impact)
  - Second stage: Complete proposal evaluation
- Individual evaluation (usually in remote)
- Consensus group discussion (usually in Brussels)
- Panel review
- Final ranking

Focus on the one-stage ICT LEIT evaluation procedure

Because there are always exceptions to the rules

- FET / SME have no concensus meetings
- Different evaluation criteria
- Limited Evaluation Summary Report information
- Scoring can be different
- Extra requirements
- Executive agencies not always involved
- ….

Evaluation criteria (RIA/IA)

Excellence

Extent that proposed work corresponds to the topic description in the work programme

- Clarity and pertinence of the objectives
- Soundness of the concept, and credibility of the proposed methodology
- Extent that 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.

Impact

- The expected impacts listed in the work programme under the relevant topic
- Any substantial impacts not mentioned in the WP, 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 proposed measures to exploit and disseminate project results (including IPR, manage data research where relevant);communicate the project activities to different target audiences (n/a SME Phase 1)

Implementation

- Quality and effectiveness of the work plan, including extent to which resources assigned in work packages are in line with objectives/deliverables
- Appropriateness of management structures and procedures, including risk and innovation management
- Complementarity of the participants which the consortium as a whole brings together expertise
- Appropriateness of allocation of tasks, ensuring that al participants have a valid role and adequate resources in the project to fulfill that role

Participant operational capacity
- part of criterion 3: Quality & Efficiency of Implementation

NEW!

Based on information to be provided in the proposal:

- Profile description of the persons responsible for the proposed research activities;

- Up to five relevant publications, and/or products, services relevant to the call/topic content;

- Up to five relevant previous projects or activities, connected to the subject of the proposal;

- Any significant (existing) infrastructure or any major items of technical equipment, necessary to perform the proposed work;

- A description of any third parties who will be contributing to the proposed work

Scoring/thresholds/weights

- The scores range from 0 to 5
- Threshold for each individual criterion: 3
- Total threshold: 10
- For Innovation Actions and SME instrument
    - impact criterion weighted by factor of 1.5
    - impact considered first when overall scores equal
- There are deviations! Found in the call or topic conditions (for example: user groups must be included as partners)

Scoring (whole and half scores)

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.**

Basic principles of evaluation

- A proposal is evaluated as submitted not on its potential, if certain changes were to be made
  - Shortcomings are identified, but no recommendations made
  - Shortcomings are reflected in a lower score in the criterion
- Proposals with significant weaknesses that prevent the project from achieving its objectives, or with seriously over-estimated resources will not receive above-threshold scores;
- Any proposal with scores above thresholds can be selected as submitted

Remember! No grant negotiation!

You have to do what you say you are going to do in the time and on budget.
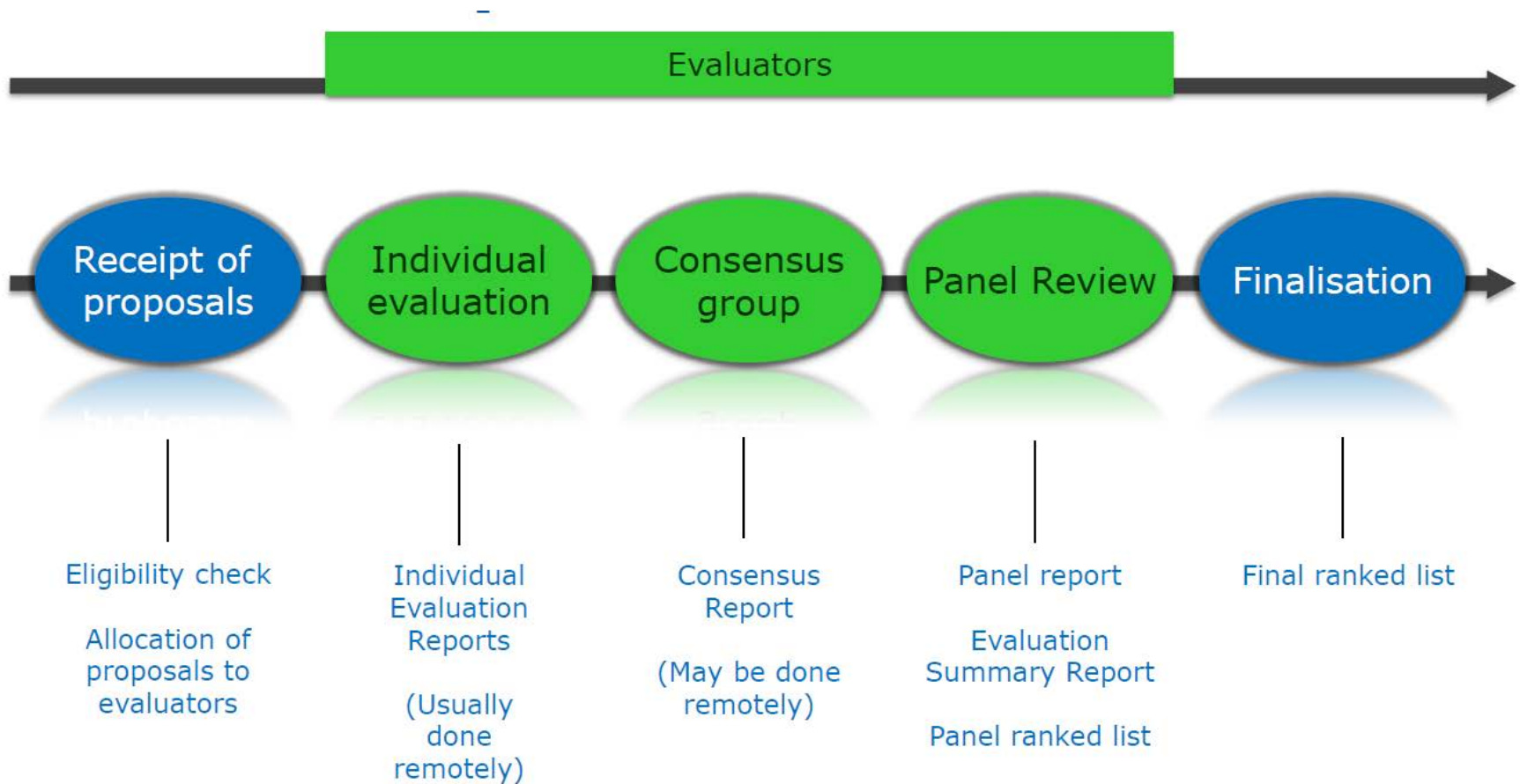
Preparation for evaluation

- **Evaluation rooms reserved YEARS in advance**

- **Commission scientific officers in charge of topic**
    - Guess the number of applications to be submitted
    - Decide what sort of evaluators they need
        - Business / Generalist
        - Science specialist
        - Application specialist
    - Start looking in database (register as an expert!)
        - 33% have to be new evaluators
        - More women needed
        - Rely on a few they already know
        - English helps
    - Decide on potential evaluators
        Pool of evaluators available
    - Look at how many proposals, addressing what parts of the work programe
        On submission date
    - Match evaluators to proposals

- **Executive agency / Commission scientific officers**
    - Sends message early (often several months before due date) asking if potential evaluator is free at time scheduled for evaluation
    - Sends letter to evaluator saying they are selected, crosses fingers
    - Schedules evaluations
    - LOTS of paperwork

The evaluation procedure

Evaluators

| Receipt of proposals | Individual evaluation | Consensus group | Panel Review | Finalisation |

Eligibility check

Allocation of proposals to evaluators

Individual Evaluation Reports

(Usually done remotely)

Consensus Report

(May be done remotely)

Panel report

Evaluation Summary Report

Panel ranked list

Final ranked list

The instructions

- Remote: Sent electronically for individual evaluations (sometimes web presentation – dead boring)
- In Brussels: Scientific officers goes through:

Guiding principles
Independent, impartiality, objectivity, accuracy, consisitency

Confidentiality

Role and responsibilities of the evaluator
On time, via electronic system, do it yourself (don't delegate!)

Reminder of no negotiation

Innovation
Trying to get to a common understanding

Conflicts of interest

The call topic
Like the presentations they give at briefings/info days

Cross-cutting issues
SSH, gender, international cooperation, RRI etc.

What is on the evaluator's desk?

- The work programe

   Is the proposal relevant to the call or topic?

- Guidelines from the Commission

- Evaluation criteria

- Lots of coffee

- PC to check references, footnotes, claims, consortium
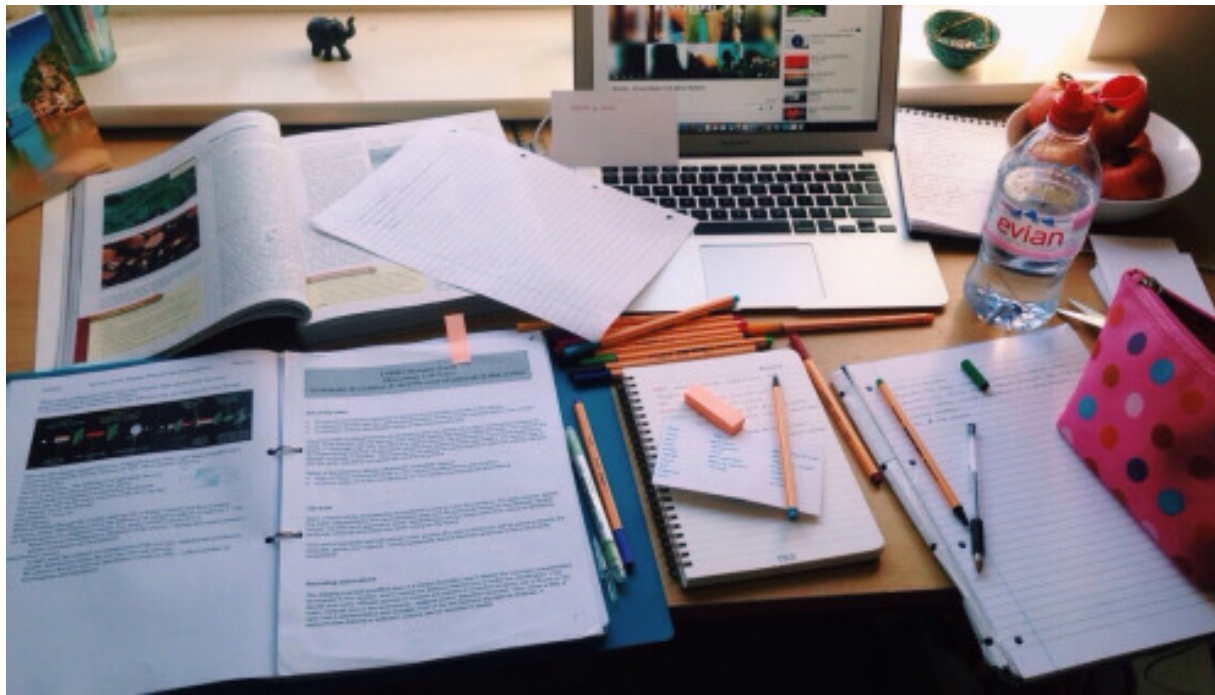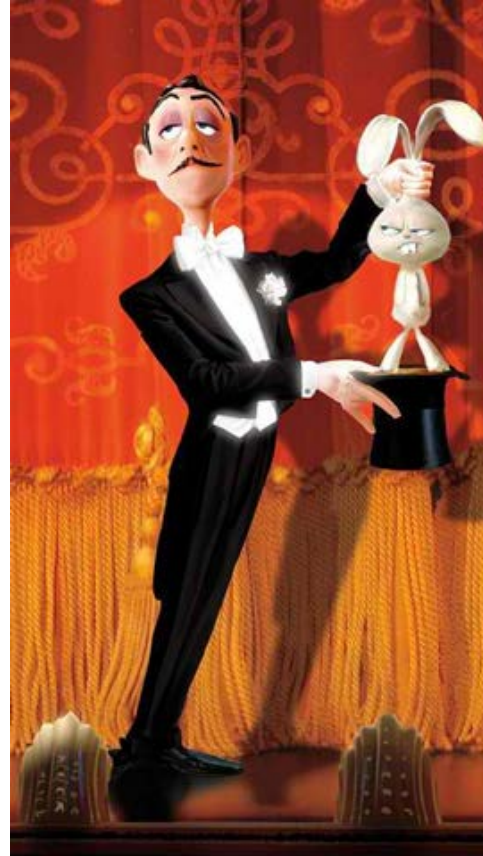
Now, what actually happens

Individual evaluations
- In your spare time
- By yourself
- Not enough time (ca. 4 hours per proposal including writing report)

Rapporteur compiles draft evaluation summary report

Draft evaluation summary reports

- Written in your spare time
- Compiling non-statements from evalutors to form some indication of belief
- Not enough time

Consensus meeting in Brussels

Consensus meetings

- 3 evaluators (generally) + EC Scientific Officer + rapporteur (sometimes)
- Research consensus in 1.5 hours (max)
- Write text then decide score
- Not enough time

The panel meeting

Panel meeting
- All available or selected evaluators + Head of Unit (usually) + rapporteur
- Cross-reading by evaluators of proposals they did not evaluate (not enough time)
- Exhausting and late in the day, luckily it is straight forward
- Not enough time, often gets somewhat out of control
- Ranked according to score then …

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1ˢᵗ Ranking of proposals

- In each topic, all above threshold proposals are listed in descending order of overall scores

- Start at the top of the list until the available budget is consumed

EASY PEASY

Proposals with identical overall scores

1. Proposals that address topics that are not already covered by more highly-ranked proposals

2. The panel then orders them according to:
    - Excellence
    - Impact *or the other way round for IAs and where specified in the Work Programme*
    - Implementation

3. If there are ties (in order)
    - Size of the budget allocated to SMEs
    - Gender balance of personnel carrying out the research and/or innovation activities

4. Still ties? the panel agrees further factors to consider:
    e.g. synergies between projects or contribution to the objectives of the call or of Horizon 2020....

Then the magic happens

- You get a letter saying congratulations
- You get a project officer
- You get to sign a contract
- Then you get to panic