



Eesti Teadusagentuur
Estonian Research Council

Evaluation process and lessons learnt for applicants

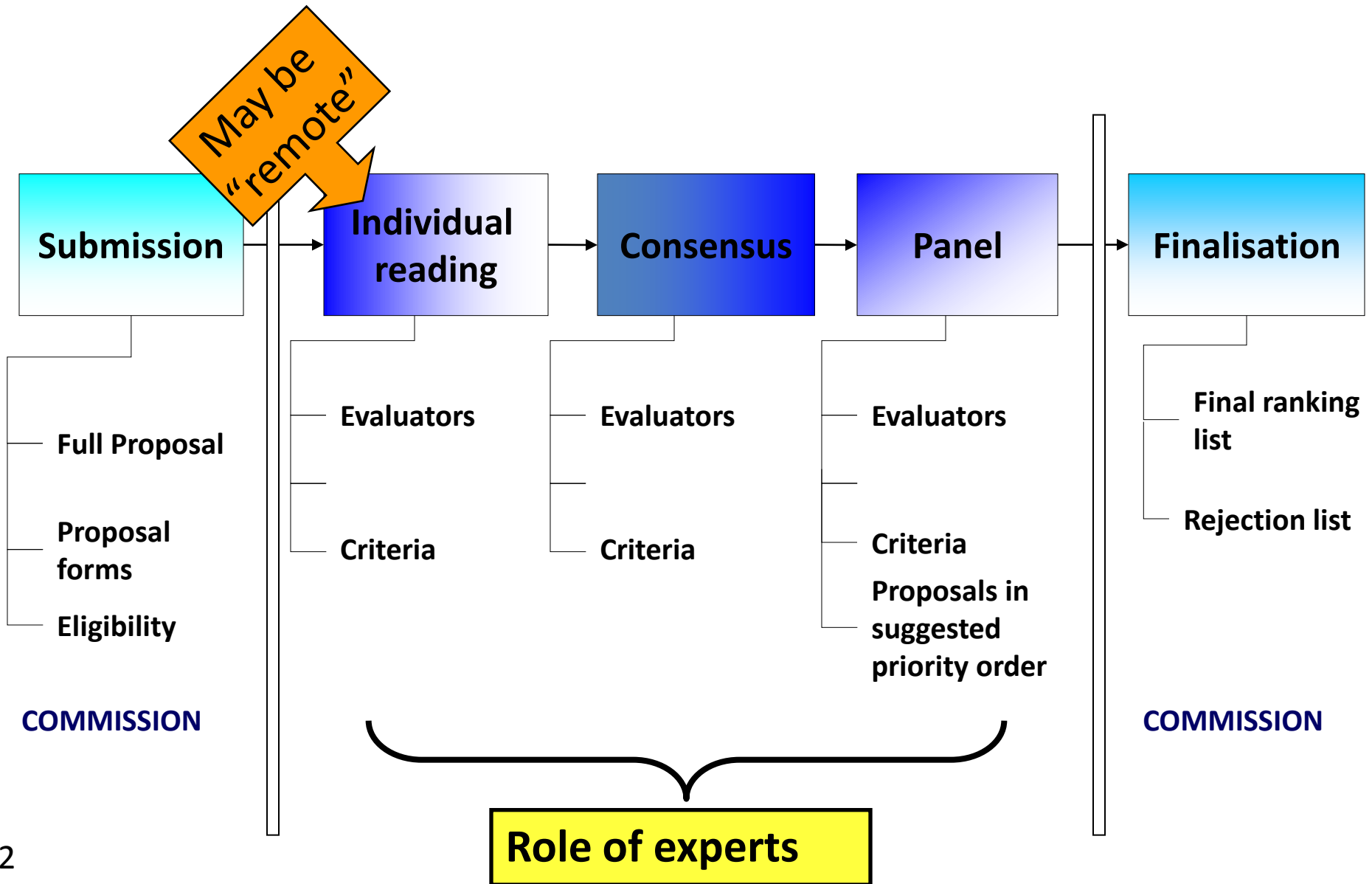
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Estonian Research Council



May 15, 2013

Zagreb

Overview of the Evaluation Process



Preliminary eligibility check before your proposal is given to the evaluators:

The proposal must meet **ALL** requirements of the call, which means:

- ✓ It is submitted before the deadline
- ✓ You have at least the minimum number of participants
- ✓ You have filled in and completed all required forms, both administrative (A) and the description of work (B)
- ✓ You have understood the work programme correctly and your proposal corresponds to the call and the topic
- ✓ You have used the correct funding scheme
- ✓ You have followed all special clauses, limitations and additional requirements written down in the work programme of the call
- ✓ Your budget is within the allowed limits

Selection of experts

- **Based on:**
 - **A high level of expertise**
 - **An appropriate range of competences**
- **If the above conditions can be satisfied, then also:**
 - **Balance academic/industrial**
 - **Gender**
 - **Geography**
 - **Rotation**
- **But also, of course, constrained by:**
 - **avoidance of conflicts of interest**



RESEARCH & INNOVATION

Participant Portal

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HELP FOR EXPERTS

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NEWS FOR EXPERTS

Welcome to the brand new area in the Participant Portal dedicated to experts. A new registration service is now available.

QUICK LINKS FOR EXPERTS

- [List of appointed experts](#)
- [EMM](#)

EXPERT AREA

Join the database of independent experts for European research and innovation

The European Commission appoints independent experts to assist with research and innovation assignments including the evaluation of proposals, the review of projects and the monitoring of programmes or policies.



New Experts

What do the assignments involve?

- Experts, as peer reviewers, assist in the:
 - **evaluation** of research and innovation proposals;
 - **review** of research and innovation projects.
- In addition experts assist in:
 - **monitoring** the progress, outcome and impact of research and innovation programmes as well as giving advice on the shape of future research and innovation activities.
 - Assignments mainly concern research and technological development, falling within the [current framework programme \(FP7\)](#) aimed at improving employment, competitiveness and quality of life in Europe.
 - Take a look at the most [recently funded projects](#).

Who can be an Expert?

You have a chance of being selected as an expert if you:

- have a high level expertise in research or innovation in any scientific and technological field, including managerial aspects;
- have at least a university degree, and
- can be available for occasional, short-term assignments.

Registered Experts

Already registered with CORDIS/EMM ?

Evaluation Scores (1)

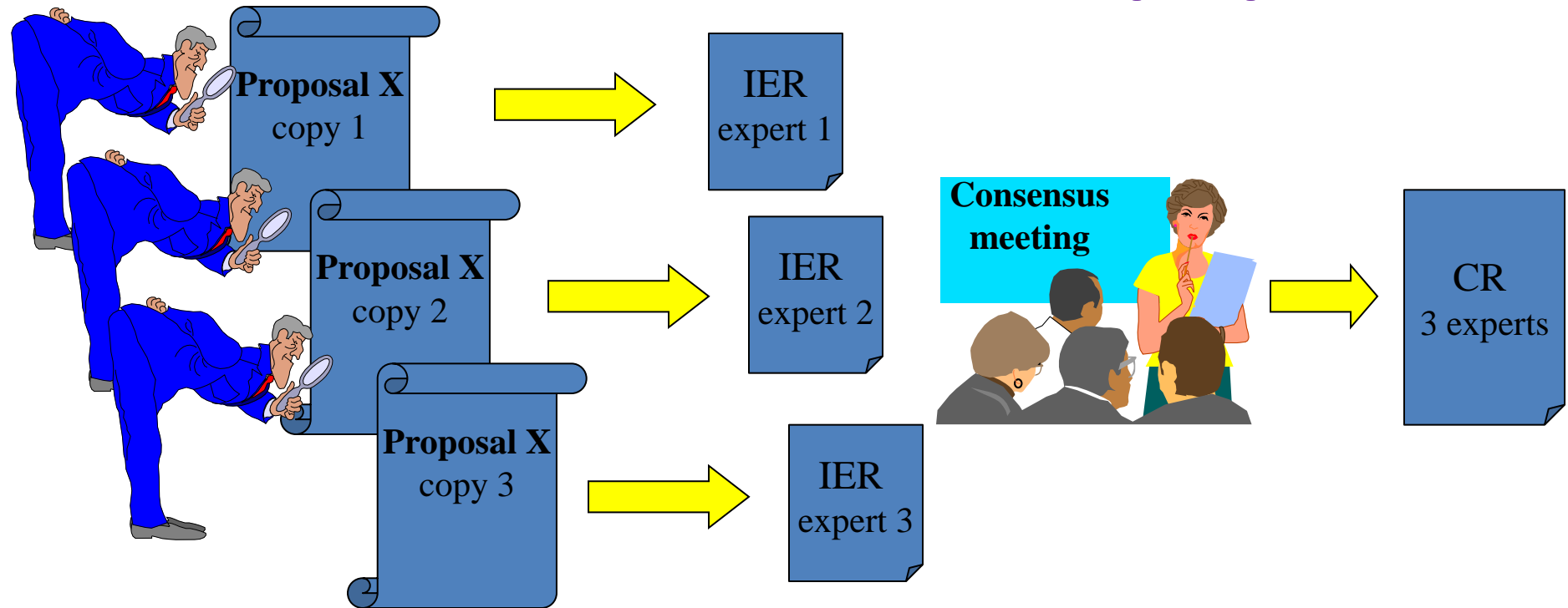
- **Evaluation scores are awarded for each of the three criteria, and not for the sub-criteria**
- **The relevance of a proposal is considered in relation to the topic(s) of the WP open in a given call, and to the objectives of a call.**
- **When a proposal is partially relevant this condition is reflected in the scoring of the first criterion.**
- **Proposals that are clearly not relevant to a call ("out of scope") will be rejected on eligibility grounds.**
- **Each criterion is scored out of 5. Half marks can be given.**
- **Thresholds are applied to the scores. The threshold for individual criteria is 3.**
- **The overall threshold, applying to the sum of the three individual scores, is 10.**

Evaluation Scores (2)

- 0** - The proposal fails to address the criterion under examination or cannot be judged due to missing or incomplete information
- 1** - **Poor.** *There are serious inherent weaknesses in relation to the criterion in question.*
- 2** - **Fair.** *While the proposal broadly addresses the criterion, there are significant weaknesses that would need correcting.*
- 3** - **Good.** *The proposal addresses the criterion well, although improvements would be necessary.*
- 4** - **Very good.** *The proposal addresses the criterion very well, although certain improvements are still possible.*
- 5** - **Excellent.** *The proposal successfully addresses all relevant aspects of the criterion in question. Any shortcomings are minor.*

May be "remote"

For each proposal:



Note: There may be more than 3 evaluators

Criteria

- **Criteria adapted to each funding scheme**
 - **specified in the work programme**
- **Three main criteria:**
 - **S&T Quality (relevant to the topic of the call)**
 - *Concept, objective, progress beyond state-of-art, work-plan*
 - **Implementation**
 - *Management*
 - *Individual participants and consortium as a whole*
 - *Allocation of resources*
 - **Impact**
 - *Contribution to expected impacts listed in work programme*
 - *Plans for dissemination/exploitation*

Comparison of Proposal with Evaluation Criteria

<u>Proposal: Part B</u>	<u>Evaluation Criteria</u>
1: Scientific and/or technical quality, relevant to the topics addressed by the call	Scientific and/or technological excellence (relevant to the topics addressed by the call)
1.1. Concept and objectives	<i>Soundness of concept, and quality of objectives</i>
1.2. Progress beyond the state-of-the-art	<i>Progress beyond the state-of-the-art</i>
1.3. S/T methodology and associated work plan	<i>Quality and effectiveness of the S/T methodology and associated work plan</i>

<u>Proposal: Part B</u>	<u>Evaluation Criteria</u>
2. Implementation	Quality and efficiency of the implementation and the management
2.1. Management structure and procedures	<i>Appropriateness of the management structure and procedures</i>
2.2. Individual participants	<i>Quality and relevant experience of the individual participants</i>
2.3. Consortium as a whole	<i>Quality of the consortium as a whole (including complementarity, balance)</i>
2.4. Resources to be committed	<i>Appropriateness of the allocation and justification of the resources to be committed (budget, staff, equipment)</i>

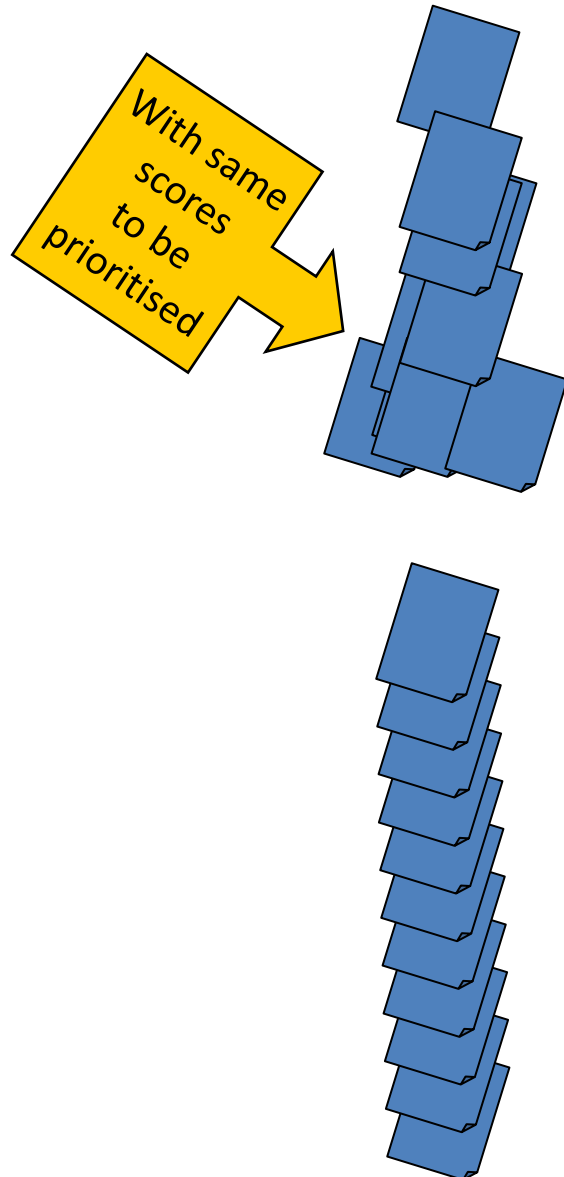
<u>Proposal: Part B</u>	<u>Evaluation Criteria</u>
3. Impact	Potential impact through the development, dissemination and use of project results
3.1 Expected impacts listed in the work programme	Contribution, at the European [and/or international] level, to the expected impacts listed in the work programme under the relevant topic/activity.
3.2 Dissemination and/or exploitation of project results, and management of intellectual property	Appropriateness of measures for the dissemination and/or exploitation of project results, and management of intellectual property.

The Final Panel

- **Key function is to ensure consistency**
- **Final marks and comments for each proposal**
 - **Evaluation Summary Reports (ESR)**
 - **Any new scores (if necessary)**
 - **Guidance for contract negotiation**
- **Ranking proposals with identical consensus scores**
 - **Approach is spelled out in Work Programme and Guide for Applicants**
- **Resolve cases if a minority view was recorded in consensus stage**
- **[*Exceptionally*] recommendations for combining**
- **List of proposals for priority order**
- **Hearings (if applicable)**

The ranked list

Proposals

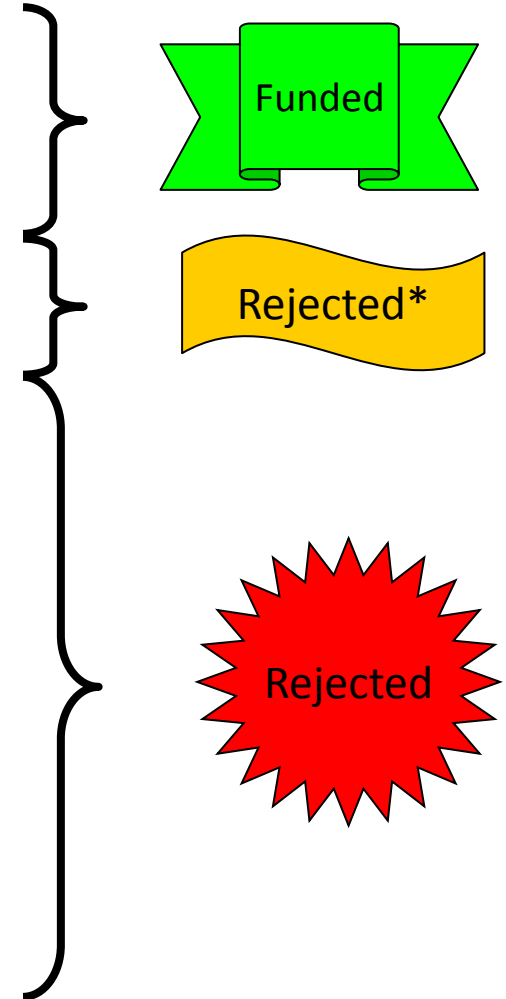


Limit of budget

Threshold score

Score

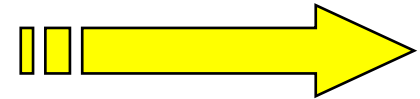
- 15
- 14
- 13
- 12
- 11
- 10
- 9
- 8
- 7
- 6
- 5
- 4
- 3
- 2
- 1
- 0



*unless selected via a reserve list

Quality assurance

- **Expert questionnaire**
- **Independent observers**
- **Redress procedure**
- **Internal Audit**



Tips and advice

- **Write clearly & simply**
 - ✓ **Don't use jargon/abbreviations/acronyms/obscure terms**
 - ✓ **Evaluator may not be a native English speaker**
- **Do not assume knowledge/specific expertise of evaluators**
- **Use diagrams and charts to illustrate your proposal**
 - ✓ **Pictures are often worth a thousand words!**
- **Keep within guidelines for text length**
- **Stay within scope**
 - ✓ **Refer back to Call Text & WP on a regular basis**
- **Ensure proposal does not duplicate previous projects, but builds on them!**

Tips and advice

- **FP is highly competitive: the average success rate is 21% - But it is not a lottery!**
- **Read the documentation (work programme, call fiche, guides for applicants) - No hidden agenda!**
- **Prepare yourself in good time**
- **Check the eligibility criteria**
- **You must align your proposal with the work programme**
 - **“Shoe-horning” a marginally relevant proposal into call never works!**
 - **Don’t forget the ‘expected impact’**
- **Follow the structure in the Guide for Applicants**

Tips and advice

- **Put yourself in the mind of the experts**
- **Ask a disinterested colleague look at your proposal, using the Commission criteria**
- **Be clear and concise, and obey the page limits, font size etc**
- **Submit early, submit often!**
 - ✓ **Revise your proposal once it's uploaded in EPPS**
- **The experts' evaluation is based on the content of the proposal. So be clear and logical concerning progress beyond state of the art, impacts, methodology, resources, consortia and work planning.**

Finally

- **Abstract is a very important part of your proposal**
- **Evaluators are allocated ½ day [4 hours] to read, understand and report on 60-100 pages of text!**
- **Your project idea may be brilliant, HOWEVER, first impressions count!**

Be aware that it is a competition!!



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Seventh Framework Programme (FP7)



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Participate in FP7

- Who
- When
- What
- How

List of FP7 Expert Evaluators 2007 - 2012

The following are the lists of experts that participated in 2007 - 2012 in the evaluation of proposals received in response to calls made under the FP7 activities areas.

FP7 Activities	Download
Cooperation	
Energy	excel/zip
Environment (including Climate Change)	excel/zip
ERANET	excel/zip
Food, Agriculture, and Biotechnology	excel/zip
Health	excel/zip
Information and Communication Technologies	excel/zip
Nanosciences, Nanotechnologies, Materials and new Production Technologies	excel/zip
Security	excel/zip
Socio-economic sciences and Humanities	excel/zip
Space	excel/zip
Transport (including Aeronautics)	excel/zip
Ideas	

Practical exercise – group work

- 1. Read the abstract and the evaluation report of the first proposals**
- 2. Give a mark for each criteria**
- 3. Discuss the marks within your group and try to reach a consensus**
- 4. Follow the same procedure with each evaluation report**