

CSIR EU FP workshop

Tips from EU Evaluator:

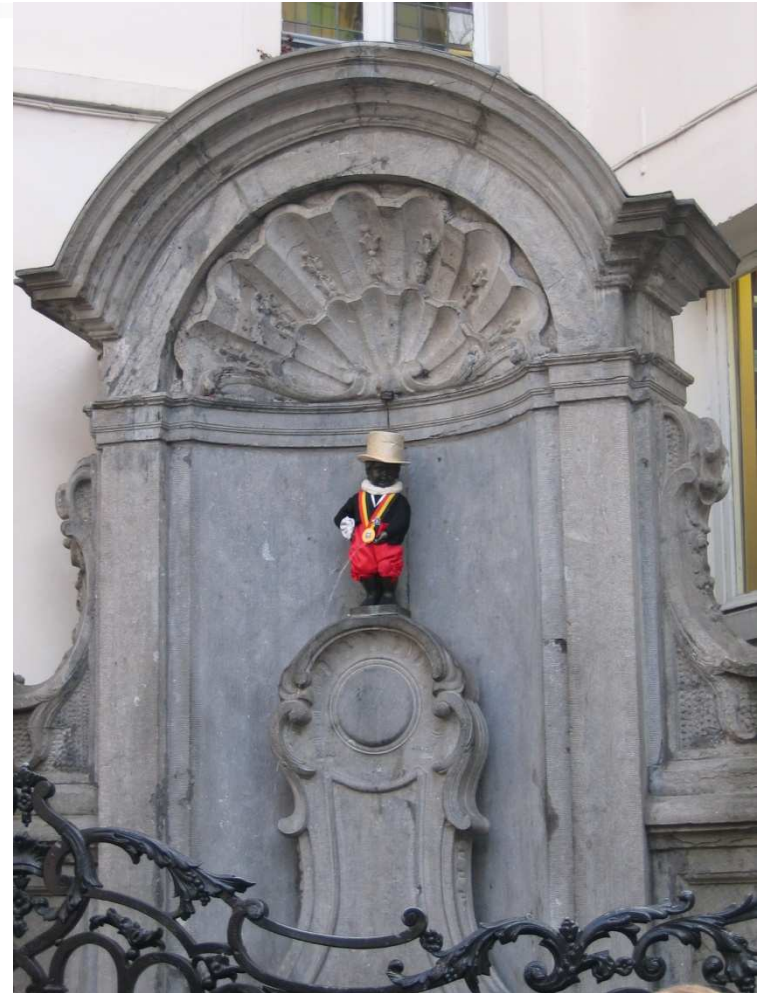
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FP7 PROPOSAL EVALUATION

- Purpose of this presentation
 - Provide insight into what the European Commission and Proposal Evaluators are looking for in a good proposal
 - With the aim to support the preparation of proposals with an improved chance of success

FP7 PROPOSAL EVALUATION

- **FP7 Proposal Evaluation:**
 - *Funding Scheme:* Co-ordination and Support Action
 - *Expected Impact:* Contribution to strengthening ACP stakeholders' capacity to work out national and regional policy framework and action plans
 - *Evaluation:* 3 proposals

* ACP – African, Caribbean and Pacific States

FP7 PROPOSAL EVALUATION

- **Background**
 - Invitation to register for the FP7 Environment Theme
 - Registered as an expert in the Seventh Research Framework Programme Experts Database
 - Request from DST for possible evaluators of EU FP7 proposals
 - Invitation from European Commission to evaluate proposals received
 - Final list of experts approved by the European Commission

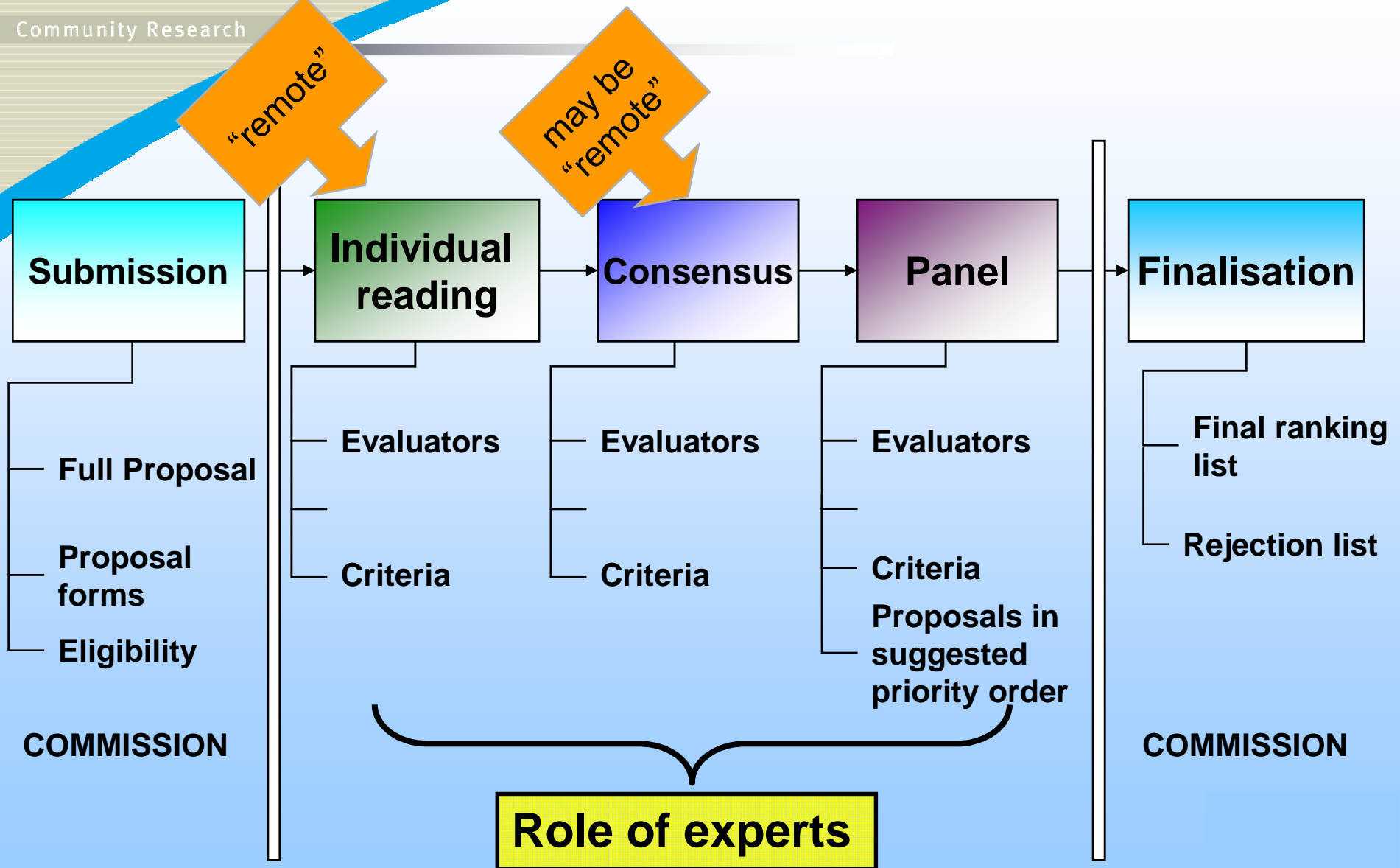
FP7 PROPOSAL EVALUATION

- **Process**

- Evaluation of proposal takes place in three phases –
 - **Phase 1** - Evaluators examine the proposals at home or at their place of work (remote phase)
 - *Output – Individual Assessment Report*
 - **Phase 2** – Evaluator prepares combined report for allocated proposal (remote phase)
 - *Output – Consensus Report*
 - **Phase 3** - Evaluators meet in Brussels to discuss the proposals (consensus panel)
 - *Output – Consensus Report and recommendation*



Overview of the Evaluation Process ⁷



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- Phase 1 (Individual Assessment):
 - EC Information System based evaluation (Rivet)
 - As evaluator -
 - Providing independent, impartial and objective advice to the Commission
 - In your personal capacity, representing neither your employer, nor your country
 - All proposal evaluations take place by a panel of experts
 - EC staff only for support to the evaluation panel

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- Phase 1 (Individual Assessment):
 - Evaluate the proposals individually
 - Without discussing with the other evaluators
 - Check whether the proposal is 'in scope'
 - Aligned with the Terms of Reference of the call
 - Meets all requirements of the call
 - Evaluators complete an Individual Evaluation Report (IER) form giving
 - comments on all sub-criteria and
 - scores on all criteria



Process FP7 Evaluation Criteria

Coordination & support actions

	1. Science/Tech quality (in relation to the topics addressed by the call)	2. Implementation	3. Impact
CA	<ul style="list-style-type: none"> • Contribution to the co-ordination of high quality research • Quality and effectiveness of the co-ordination mechanisms, and associated work plan 	<ul style="list-style-type: none"> • Quality of the consortium as a whole (including complementarity and balance) • Appropriate allocation and justification of the resources to be committed (<u>budget</u>, staff, equipment) 	<ul style="list-style-type: none"> • Appropriateness of measures for spreading excellence, exploiting results, and dissemination knowledge, through engagement with stakeholders, and the public at large.
SA	<ul style="list-style-type: none"> • Quality and effectiveness of the support action mechanisms, and associated work plan 		

Comments must be given for all sub-criteria
Note differences in sub-criteria to Collaborative Projects



Process Proposal scoring:

Interpretation of the scores

- **0 -** *The proposal fails to address the criterion under examination or cannot be judged due to missing or incomplete information*
- **1 -** *Poor. The criterion is addressed in an inadequate manner, or there are serious inherent weaknesses.*
- **2 -** *Fair. While the proposal broadly addresses the criterion, there are significant weaknesses.*
- **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.*



Process Proposal scoring

- **Each criterion is scored 0-5**
 - Marks can go from 0 – 5 in steps of 0.5, i.e half-marks are allowed
 - Scores must pass *thresholds* if a proposal is to be considered for funding
- **Thresholds apply to individual criteria...**
 - Threshold is 3
- **...and to the total score**
 - higher than the sum of the individual thresholds
 - Threshold is 10
- To receive a mark of 5, a proposal does not have to be perfect. An excellent proposal can have minor shortcomings.
- When writing comments in the IERs and Consensus Report, the severity of any weakness should be clearly stated, i.e. are they minor, moderate or significant

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- Evaluation Criteria:
 - **Scientific and/or technological excellence**
(relevant to the topics addressed by the call)
 - Quality and efficiency of the **implementation** and the management
 - Potential **impact** through the development, dissemination and use of project results

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- **Scientific / technological excellence:**
 - Soundness of concept and quality of objective
 - Contribution to the co-ordination of high quality research
 - Quality and effectiveness of the co-ordination mechanisms and associated work plan

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- **Implementation and management:**
 - Appropriateness of the management structure and procedures
 - Quality and relevant experience of the individual participants
 - Quality of the consortium as a whole (including complementarity, balance)
 - Appropriateness of the allocation and justification of the resources to be committed (budget, staff, equipment)

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- **Impact:**
 - Contribution at the European (and/or international) level to the expected impacts listed in the work programme under the relevant topic/activity
 - Appropriateness of measures for spreading excellence, exploiting results and disseminating knowledge, through engagement with stakeholders, and the public at large

FP7 PROPOSAL EVALUATION

- **Observations:**
 - Make evaluation of your proposal easy for the reviewers (English may not be their first language)
 - Align 100% with the requirements of the call –
 - Terms of reference of the call
 - The conditions (requirements) of the call
 - Use the key words provided in the call in your proposal, evaluators will look for these in their individual assessments and final consensus report

FP7 PROPOSAL EVALUATION

- **Observations:**
 - Proposals headings were structured according to the 3 evaluation criteria
 - **Scientific and/or technological excellence**
 - Quality and efficiency of **implementation**
 - Potential **impact**
 - The EC is very cautious of proponents contesting the outcome of the evaluation process, therefore –
 - Evaluation panel is required to document all proposal assessments in detail
 - Close scrutiny of final consensus reports by the European Commission