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Community research

The evaluation procedure for Research Potential Proposals in FP 7

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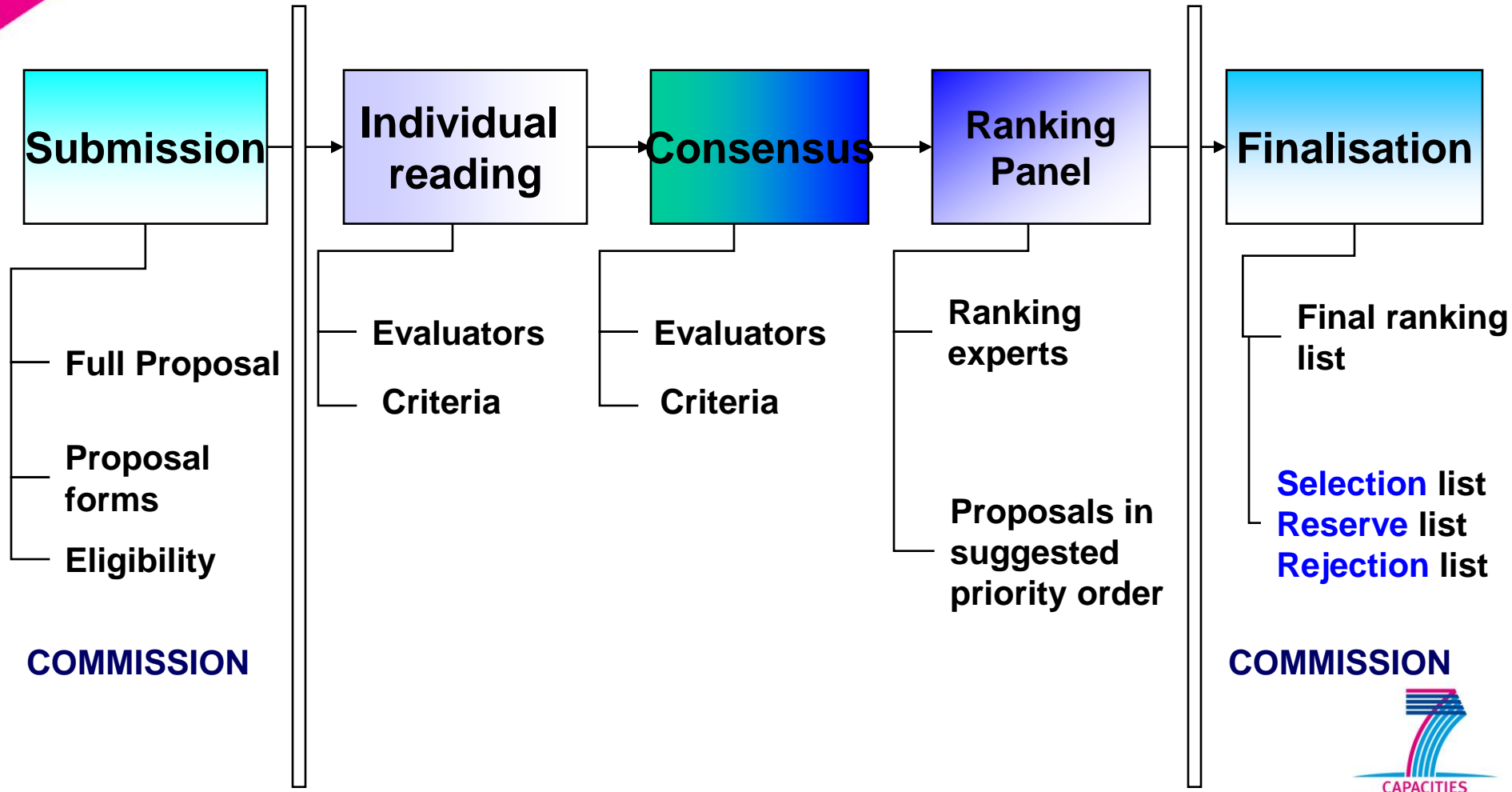


Objectives:

- “demystify” practice of proposal evaluation
- understand different roles of Commission staff and evaluators
- track course of proposal from submission to Commission selection or rejection decision
- Understand interaction of formal criteria and content
- Awareness about rules of the game



Overview of the Evaluation Process





What happens before the evaluation ?

- Submission of proposals via EPSS
- Closing call at submission deadline
- Invitation of expert evaluators
- Eligibility check of proposals → only on formal access criteria (e.g. participation rules, convergence region etc.) **not** on substance
- grouping of evaluators to panels typically according to wider scientific domains
- Allocation of proposals to experts (at least 3)
- upload of proposals to computer system RIVET



What happens at the beginning of the evaluation ?

- Briefing of expert evaluators
- Dispatch of proposals
- Check for eventual conflict of interest of experts
- Declaration of acceptance to evaluate proposals
- Presentation of moderators and clarification of practical modalities



Conflicts of interest

at proposal level need to be declared in the following cases:

disqualifying:

Involved in preparation of proposal

Stands to benefit directly

Close family relationship

Director/trustee/partner

Employee (but, possible exception...)

Member of Advisory Group

Any other situation that compromises impartiality



What happens at individual assessment stage?

- expert evaluators read proposals carefully and independently without discussing with peers
- Expert check whether proposal is in scope of the call
- For each criterion a specific form with arguments is filled electronically and recorded in a database
- Individual scores are recorded
- Specific procedural questions are clarified with Commission moderator
- Any possible conflict of interest or out of scope case is communicated to Commission official in charge



Evaluation & Criteria

- **Relevance** ('In scope')
- **3 main criteria:**
 - **S&T Excellence** (*relevant to the objective of the call*)
 - *Concept, objective, work-plan*
 - **Implementation & Management**
 - *Management structure*
 - *Quality of Individual participants and consortium as a whole*
 - *Allocation of resources (budget, staff, equipment)*
 - **Impact**
 - *Contribution to expected impacts listed in Work Programme*



Evaluation & Criteria

Relevance ('In scope')

- Is the centre an existing and independent research entity (not a "virtual centre")?
- Is the content of the proposal actually in line with the activities stipulated in the work programme
- Is the nature of the proposed work in line with the funding scheme i.e. support action ?



SCORES

- **Each criterion is scored 0-5**
 - * *half-scores allowed*
 - * *whole range should be considered*

- **Scores must pass *thresholds* if a proposal is to be considered for funding**
 - ***thresholds* apply to individual criteria**
 - * **default threshold 3 is applied**

 - ***thresholds* apply to the total score**
(*higher than the sum of the individual thresholds*)
 - * **default threshold 10 is applied**



Interpretation of SCORES (new GfA 2009)

- 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.



What happens at consensus stage?

- Meeting convened as soon as IARs are completed and recorded
- Chaired by Commission moderator
- Proposal rapporteur appointed
- In depth discussion on all three criteria based on individual assessment
- Outlying opinions to be explored
- Final scores may deviate from initial average
- Key arguments for consensus report recorded
- Agreement between scores and comments achieved
- Guidance for eventual negotiation formulated
- Agreement on final scores fixed
- Consensus report drafted by rapporteur and approved by all experts involved

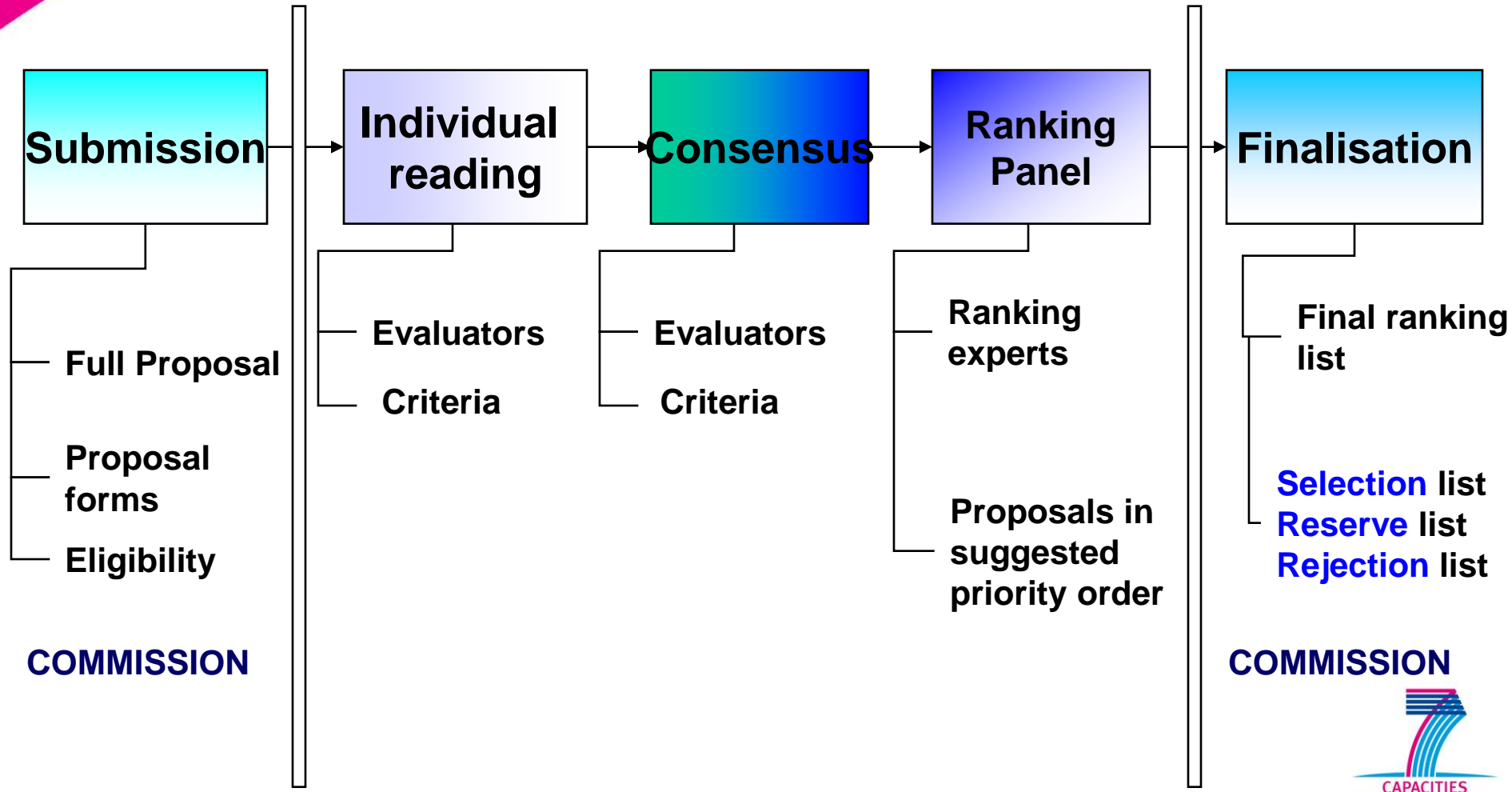


What is the role of the ranking panel ?

- Prioritise proposals with identical consensus scores (“ex aequo”)
 - Prioritise certain criteria
 - Consider overall balance
- Resolve any cases where a minority view is recorded in the consensus report
- Produces List of proposals, with recommendations for priority order
 - Evaluation Summary Reports (ESR)
 - Usually follows the consensus report



Overview of the Evaluation Process





What happens after the evaluation?

- Establishing main list, reserve list and rejection list
- Reporting of results to programme committees and NCPs
- Initial information letters sent to all applicants with annexed ESR
- Consultation of other Commission services (e.g. DG REGIO)
- Launch of formal Commission decision on selection or selection
- Invitation of successful coordinators to contract negotiation
- Formal letters to all applicants on outcome of Commission decision
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**Thank you for your
attention !**

