



FP7 in practice: *Proposal submission and evaluation*

European Commission
Research DG
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- Evaluation: facts and figures
- Submission
- Eligibility checks
- The experts
- The criteria
- Scoring
- Consensus to final decision



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Evaluation of proposals: *basic facts and figures*

- Funding decisions are based on peer review of research proposals
 - There is no *juste retour!*
- High quality evaluators are at the core of the evaluation system
- Involves 4500 to 5000 independent experts every year
- About 16,000 proposals (and rising) are evaluated annually



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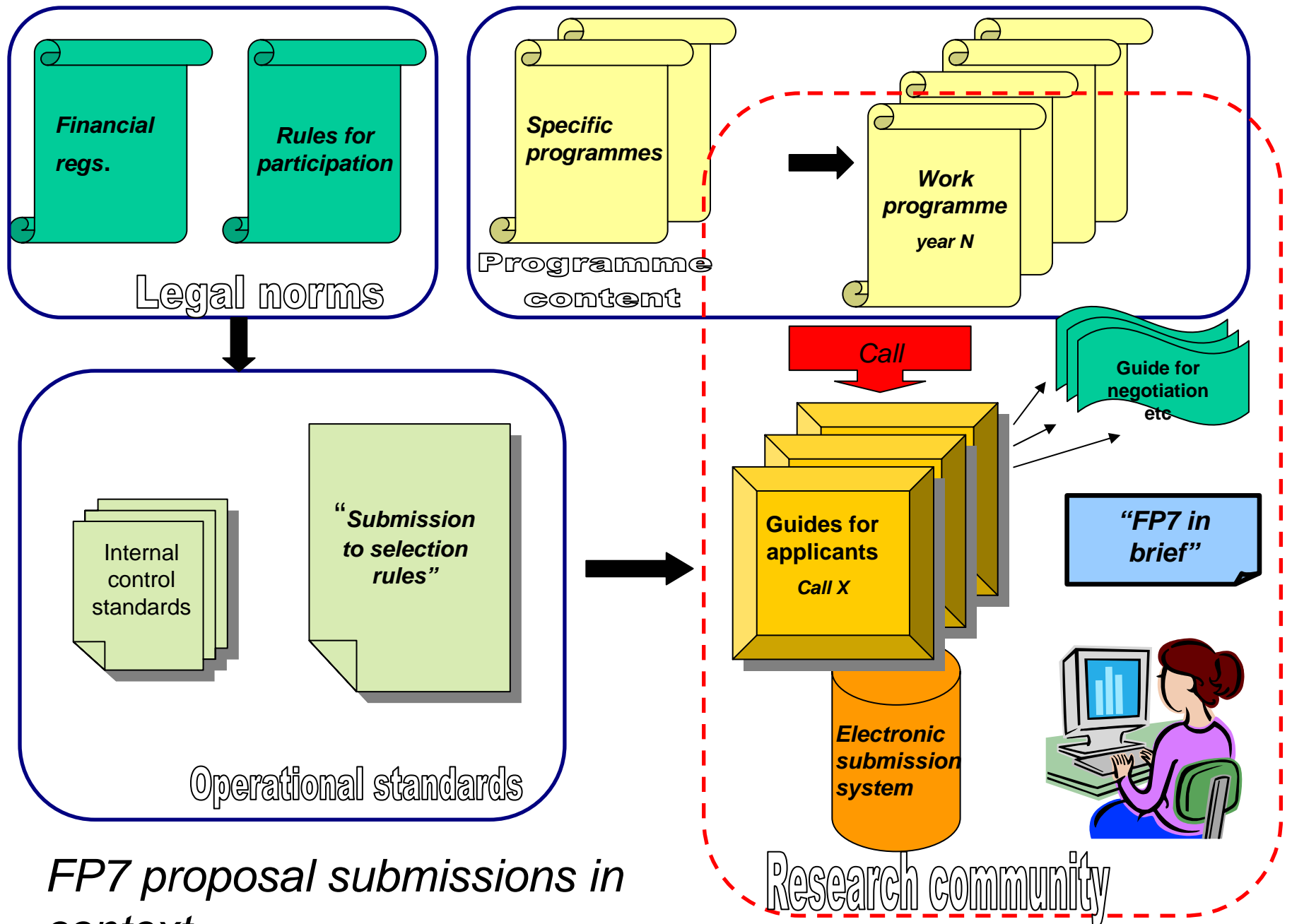
Evaluation in FP7

... the evaluation process has developed to a very high standard. It compares well with ... other prestigious national or international granting agencies

Report of Independent Observers, Dec. 2005

- No major change for FP7
 - *Don't fix what ain't bust!*
- But improved and streamlined, based on experience
- Adapted to the new features of FP7 where necessary
- New 'rules' currently being finalised





FP7 proposal submissions in context



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Submission: *Guide for Applicants*

- First section completely generic
 - General principles, basic rules, how to apply
- Written with newcomers in mind
 - Includes a glossary
- All call-specific information is found together in annex
 - No need to hunt around for important details
- Includes the evaluation criteria and procedure
 - Formerly 'guidance notes for evaluators'



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Submission

- Proposal template given in Guide for applicants
 - Closely aligned to the evaluation criteria
 - Page limits set
- Must be through the Electronic proposal submission system
 - Operational by 19 March
- Proposals are normally submitted and evaluated in a single stage
- Deadlines are strictly enforced





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Submission

- Two-stage submission
 - May be used for large, 'bottom up' calls
 - First stage: short proposal (about 10-20 pages), dealing with main scientific concepts and ideas
 - use of limited set of criteria
 - successful proposers invited to submit complete proposals



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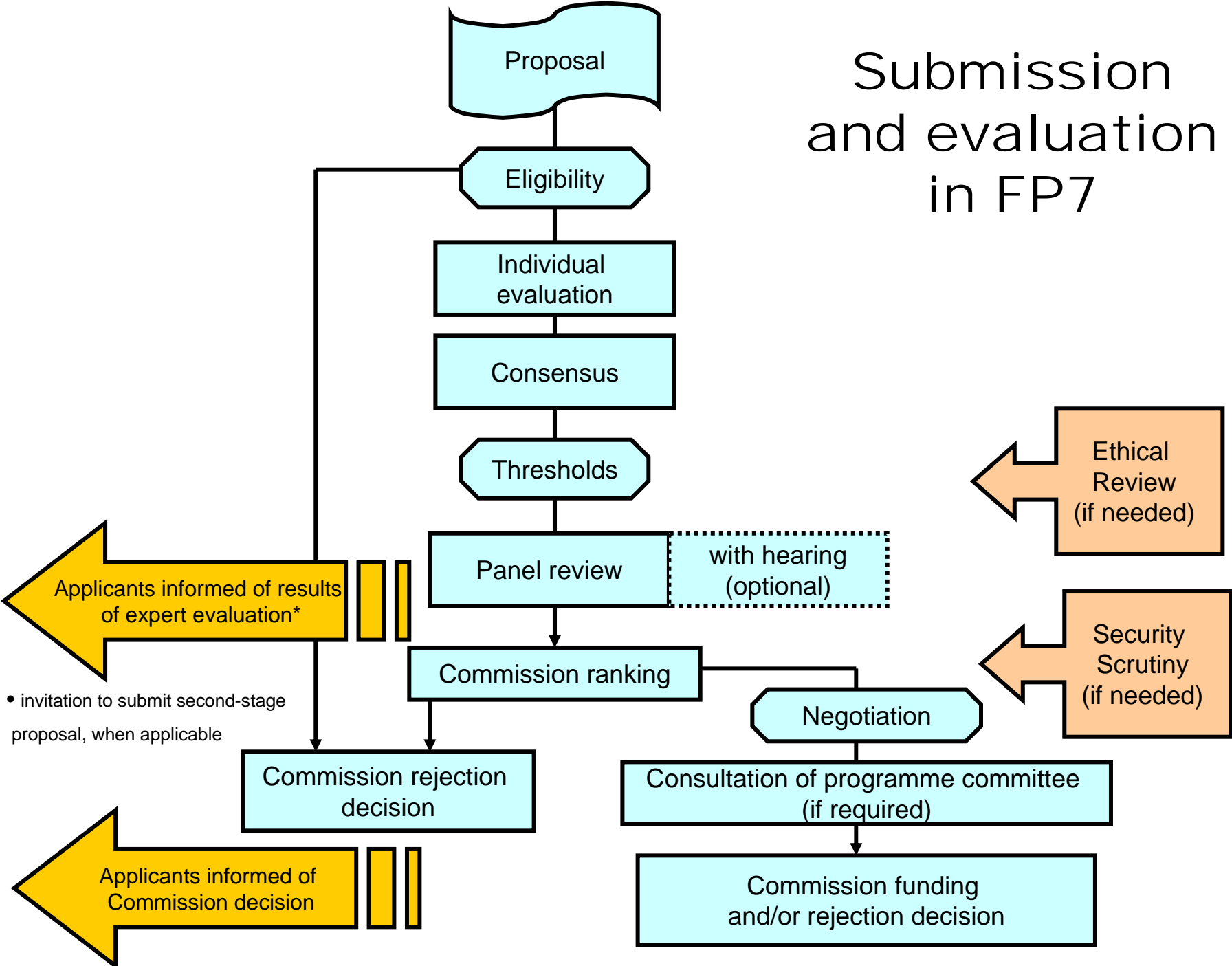
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Eligibility checks

- Date and time of receipt of proposal on or before deadline for receipt
 - Firm deadlines
- Minimum number of eligible, independent partners
 - As set out in work programme and the call
- Completeness of proposal
- “Out of scope”
- Others (eg.budget limits)



Submission and evaluation in FP7





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The experts (1)

- The Commission draws on a wide pool of evaluators
 - c. 50,000 in FP6
- Calls for “candidates” published 14 December
 - Call for applications from individuals; and from institutions
 - Applications via CORDIS
- Mass-emailing of FP6 experts
 - A simple procedure to ensure registration for FP7
- Commission invites individuals, call-by-call
 - Not self-selection!
- Expertise, and experience are paramount
 - Geography, gender and “rotation” also considered





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The experts (2)

- Experts agree to terms and conditions of an “appointment letter”
- Typically, an individual will review 6-8 proposals “remotely”
- ...then spend a couple of days in Brussels
- Some will participate in “hearings” with the consortia
- Travel and subsistence reimbursed
 - Plus €450 honorarium per day
- Experts sign confidentiality and conflict of interest declaration
- Names published after the evaluations



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The criteria

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





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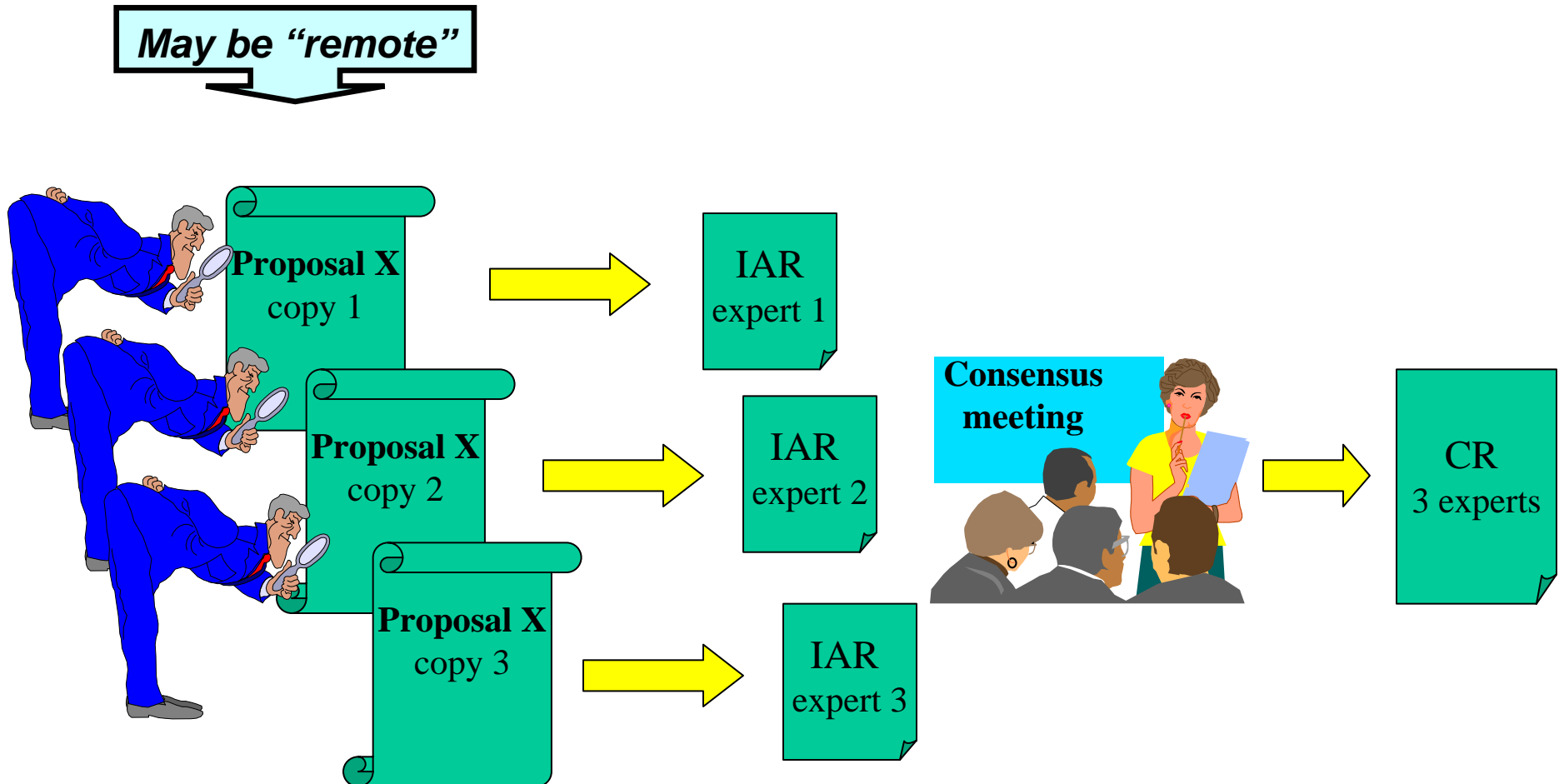
The criteria: *scoring*

- Criteria generally marked out of 5
- individual threshold = 3
- overall threshold = 10
- Can vary from call-to-call



*New for
FP7*

For each proposal:



Note: There may be more than 3 evaluators
IAR=Individual assessment report
CR=Consensus Report



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Consensus

- Built on the basis of the individual assessments of all the evaluators
- Usually involves a discussion
- Moderated by a commission staff-member
- One expert acts as rapporteur
- Agreement on consensus marks and comments for each of the criteria



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Panel review

- Panel Meeting
 - Compare consensus reports
 - Examines proposals with same consensus score (if needed)
 - Final marks and comments for each proposal
 - Suggestions on order of priority, clustering, amendments, etc.
- Hearings with proposers may be convened
 - Questions to the invited proposal coordinators
 - Small number of proposal representatives



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Commission Follow-up

- Evaluation summary reports sent to applicants
 - *initial information letter*
 - “Redress” procedure
- Draw up final ranked lists
- Information to the Programme Committee
- Commission decisions on rejected proposals
- Formal consultation of Programme Committee (when required)
- Contract negotiation
- Proposals selected for funding
- Survey of evaluators & Independent Observers’ reports



***New for
FP7***



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Information

- EU research: <http://ec.europa.eu/research/>
- Seventh Framework Programme: http://ec.europa.eu/research/future/index_en.cfm
- Information on research programmes and projects: <http://cordis.europa.eu/>
- RTD info magazine: <http://ec.europa.eu/research/rtdinfo/>
- Information requests: research@ec.europa.eu



SEVENTH FRAMEWORK
PROGRAMME



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Thank you for your
attention!

