



# *“Framework Programme 7”*

## **NMP Proposal Evaluation**

**Andrea GENTILI**  
**Directorate-General for Research,**  
**Directorate Industrial Technologies,**  
**European Commission**  
[Andrea.Gentili@ec.europa.eu](mailto:Andrea.Gentili@ec.europa.eu)

**17-18 January 2007**





# Contents

- Evaluation process
- NMP Calls & Deadlines
- 1-stage / 2-stage
- Criteria and Sub-criteria
  - Relevance (S&T vis-à-vis topic, Impact vis-à-vis call)
  - Impact statement
- Scoring / Thresholds, Weightings (none)
- Evaluators
  - Expert data-base
  - Call
  - Panel composition



# Evaluation Process

- Participants submit proposals in response to specific **calls advertised on CORDIS (December 22nd, 2006)**
- Proposals are for specific types of research action – **Funding Schemes**
- Proposals target one (or more) of the **Topics** published in the call
- Panels of independent experts evaluate the proposals submitted for each call Topic, against **standard criteria**
- The experts establish a **consensus** of their individual evaluations and on the **ranking** order of proposals
- Based on the experts' evaluation, the Commission makes a **decision** on those proposals which can be funded and **negotiation** of contracts commences, taking into account recommendations from the experts



# NMP Calls and Deadlines

- Separate calls for Large, Small, SME CPs

## Collaborative Projects (CPs):

(2 stages evaluation)

FP7-NMP-2007-LARGE-1

FP7-NMP-2007-SMALL-1

FP7-NMP-2007-SME-1

## Closing dates

Phase 1

04 May, 2007

04 May, 2007

04 May, 2007

Phase 2

04 Oct, 2007

13 Sept, 2007

04 Oct, 2007

## Coordination and Support Actions (CSAs):

(1 stage evaluation)

FP7-NMP-2007-CSA-1

05 June, 2007

## ERANET+

(1 stage evaluation)

FP7-NMP-2007-ERANETPLUS-1

05 June, 2007



# Submission tools

- EPSS will be fully operational mid-March
  - Start of FP7 looks like end of FP6
  - No offline
  - No paper (derogation still possible, but unlikely)



# 1-stage / 2-stage

- CPs are evaluated using the 2-stage process (Small, Large, Large dedicated to SMEs)
- CSAs are evaluated in a single stage
- Stage 1 proposals <10 pages (S&T Quality and Impact)+ 2 pages (indicative consortium and financial resources)
- Evaluation against limited criteria (S&T Quality, Impact)
- Stage 1 evaluated “remotely” – May/June 2007
- “GO” proposals are invited to submit at Stage 2 – June 2007
- Stage 2: full proposals evaluated against all criteria – Oct/Nov 2007



## Eligibility checks

- As always: deadline, completeness, minimum participation
- Now includes “out of scope”
  - Clear cut cases only
- Budget limits (NMP Calls):
  - LCPs > 4 M€ of EU funding
  - SCPs < 4 M€ of EU funding
  - LCP for SMEs no budget limits

## Expert selection

- Expertise, and experience are paramount
  - Geography, gender and “rotation” also considered

## Conflicts of interest

- Disqualifying and ‘potential’ conflicts spelled out in expert appointment letter



# Evaluation Criteria

Just 3 common criteria across all themes:

- **Quality**
- **Implementation**
- **Impact**



# 1<sup>st</sup> criterion: **S&T QUALITY** *(S&T quality in relation to the topics in the call)*

- **Sound concept and quality of objectives**
- **Progress beyond the state-of-the-art (CPs)**
- Quality and effectiveness of the S/T methodology and associated work-plan (CPs at Stage 2)
- Contribution to coordination of high quality research (CAs)
- Quality and effectiveness of the mechanisms, and associated work-plan (CSAs)



## 2<sup>nd</sup> criterion: **IMPLEMENTATION** *(Quality and efficiency of the 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)
- Appropriate allocation and justification of the resources to be committed (budget, staff, equipment)



**3<sup>rd</sup> criterion:      IMPACT**  
*(Potential impact through the development,  
dissemination and use of project results)*

- **Contribution, at European [and/or international] level, to the expected impacts listed in the work programme under the relevant topic/activity**
- Appropriateness of measures for the dissemination and/or exploitation of project results and management of intellectual property (CPs at Stage 2)
- Appropriateness of measures for spreading excellence, exploiting results and disseminating knowledge, through engagement with stakeholders and the public at large (CSAs)



# Scoring / Thresholds

- 0 – 5 points per criterion
- 0 = not addressed, 5 = excellent
- Half points may be used by evaluators
- Totals will have a resolution of 0.1

		LCPs	LCPs for SME/ SCPs	CSAs
<b>Stage 1 Thresholds:</b>	Criteria 1 (S&T Quality)	4/5	4/5	3/5
	Criteria 2 (Implementation)	-	-	3/5
	Criteria 3 (Impact)	3/5	3/5	3/5
	<b>Overall</b>	<b>8/10</b>	<b>8/10</b>	<b>10/15</b>
<b>Stage 2 Thresholds:</b>	Criteria 1 (S&T Quality)	4/5	4/5	-
	Criteria 2 (Implementation)	3/5	3/5	-
	Criteria 3 (Impact)	4/5	3/5	-
	<b>Overall</b>	<b>12/15</b>	<b>12/15</b>	-



# Weightings

- None!



# Expert evaluators

- Open call for experts
- FP6 experts to be invited to transfer
- Call now open?
- Experts needed for evaluating, but also for
  - monitoring/reviewing progress of projects
  - evaluating previous programmes
  - special studies/meetings
- 5 Evaluators per proposal for Large/SME CPs
- 3 Evaluators otherwise



## Information General

- EU research: <http://europa.eu.int/comm/research>
- Seventh Framework Programme: [http://europa.eu.int/comm/research/future/index\\_en.cfm](http://europa.eu.int/comm/research/future/index_en.cfm)
- Information on research programmes and projects: <http://www.cordis.lu>
- RTD info magazine: <http://europa.eu.int/comm/research/rtdinfo/>
- Information requests: [research@cec.eu.int](mailto:research@cec.eu.int)
- Manufuture platform: [www.manufuture.org](http://www.manufuture.org)





# Thanks for your attention

Disclaimer

*Aspects of these presentations interpret legal documents. Only these legal documents are legally binding*



## Note on Relevance

### Relevance is not an evaluation criterion, but . . .

- Proposals which are clearly **out of scope** of the call will be deemed ineligible – **not evaluated**
- Proposals which are in scope will have their **relevance to the topic** evaluated under the S&T Quality criterion
- Proposals will also have the **relevance of their impact** evaluated against the expected impact for the topic under the Impact criterion

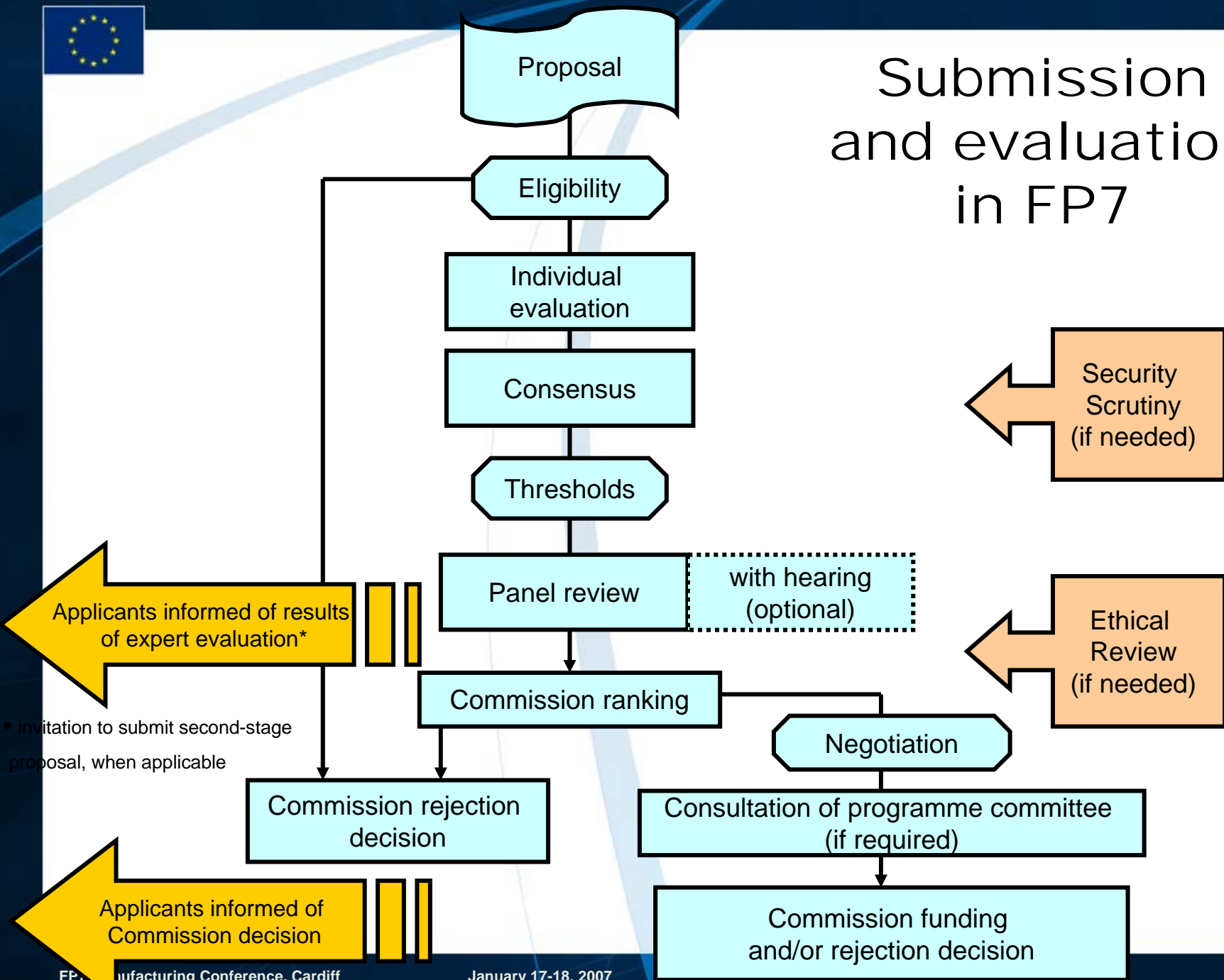


## Note on IMPACT

- The expected Impact is outlined/defined in the work programme for each Topic
- Description of the Activity may also indicate where important impacts are required
- Submissions should clearly specify the expected Impact of the proposed actions and clarify how that meets the expected Impact demanded in the Call



# Submission and evaluation in FP7



\* invitation to submit second-stage proposal, when applicable