



Cluster Lombardo  
Scienze della Vita

# **Progetti europei in ambito Health: l'esperienza di un valutatore**

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Sfide e opportunità internazionali  
nella filiera della salute

Milano, 29 Maggio 2017

# Agenda

- **Prima della submission:**
  - ...il processo di valutazione interna
- **Dopo la submission:**
  - Il ruolo dei valutatori esterni
  - Il processo di valutazione
  - I criteri di valutazione: l'esempio dello SME Instrument
- **Alcuni errori comuni**

**Perché le  
università/  
centri di ricerca**

**Perché le aziende**

**Investono in  
ricerca?**

R&D exists to gain knowledge, not as an entity in itself.

**Scientists support the company strategies**

## SCHEDA RIASSUNTIVA DELL'IPOTESI PROGETTUALE

Titolo del progetto	
Ente finanziatore	
Bando	
Scadenza presentazione	
Soggetti partecipanti	
Riassunto del progetto	
Attività assegnate	
Budget assegnato	
Note	

## ALGORITMO PER LA VALUTAZIONE DEL VALORE DELLA PROPOSTA PROGETTUALE

VALORE	MOTIVAZIONE DEL PUNTEGGIO	PUNTEGGIO (da 1 a 5)
Sviluppo prodotto		
Sviluppo mercato		
Acquisizione know how		
Networking aziendale		
Relazioni istituzionali		
Proprietà intellettuale		
Conoscenza della concorrenza		
Finanziamento e percentuale di rimborso *		
TOTALE		

\*legenda % rimborso (1 = 0-20%, 2 = 20-40%, 3 = 40-60%, 4 = 60-80%, 5 = 80-100%).

**Occorre ricordare che:**

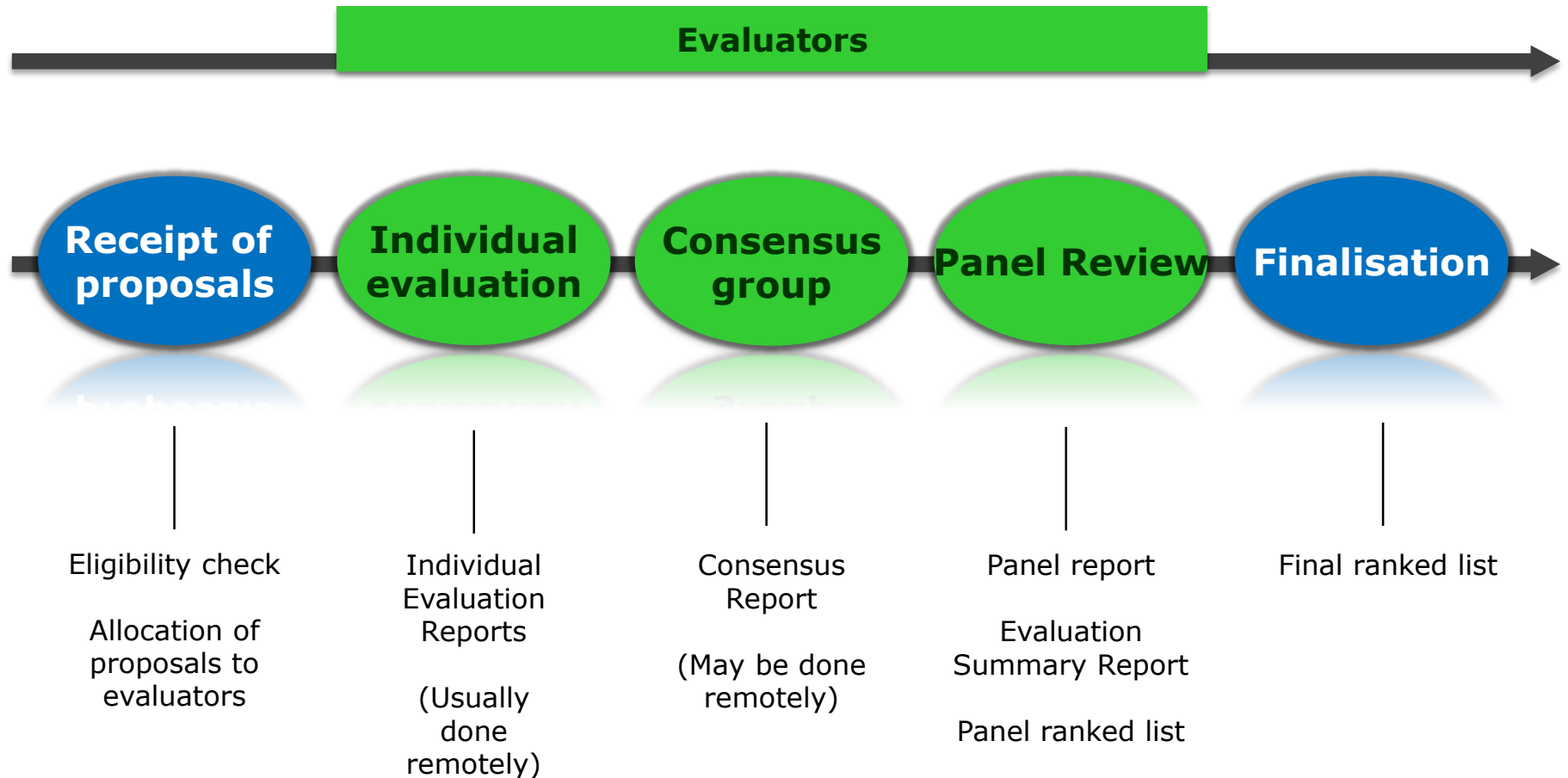
**La Commissione Europea non è un ente finanziatore di ricerca**

**Il finanziamento viene erogato per assistere lo sviluppo e l'attuazione degli obiettivi delle politiche europee**

### **Treaty of the European Union**

**Article 163.- *The Community shall have the objective of strengthening the scientific and technological **basis of Community industry** and encouraging it to **become more competitive** at international level, while promoting all research activities deemed **necessary by virtue of other chapters of this Treaty.*****

# Overview of the Evaluation Process



# Role of independent experts

- **As independent expert, you evaluate proposals submitted in response to a given call**
- **You are responsible for carrying out the evaluation of the proposals yourself**  
You are not allowed to delegate the work to another person!
- **Significant funding decisions will be made on the basis of your advice**

## Guiding principles

- ✓ **Independence:** evaluating in your personal capacity;
- ✓ **Impartiality:** treating all proposals equally;
- ✓ **Objectivity:** evaluating each proposal as submitted;
- ✓ **Accuracy:** evaluating against the official evaluation criteria;
- ✓ **Consistency:** applying same standards of judgment.

## Confidentiality

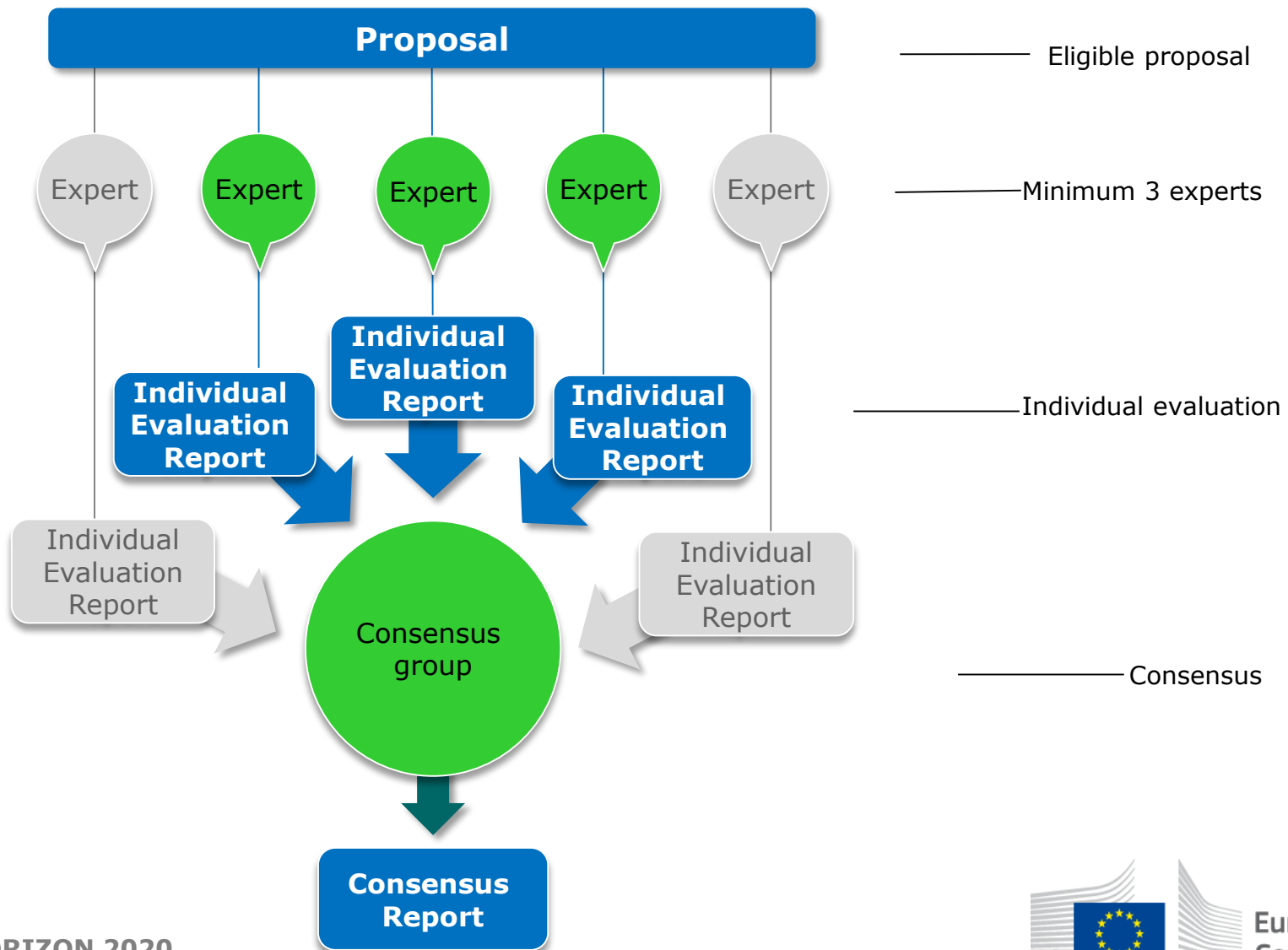
Conflict of interest

As we are dealing with close-to-market activities, **confidentiality is crucial** and is the basis for a trusted evaluation.

- ✓ **Do not discuss** evaluation matters;
- ✓ **Do not contact partners** in the consortium, sub-contractors or any third parties;
- ✓ **Maintain the confidentiality of documents:** destroy or delete all confidential documents upon completing your work.



# Evaluation Process



## Desired SME profile

- Innovative SMEs with a potential to develop, grow and have an international impact
- Established SMEs with high growth potential
- Clear European dimension
- Single company support possible
- Only for-profit SMEs established in the EU or associated countries may apply



# How is an IER structured?

**Please note that the formulation of several sub-criteria was modified and the order has changed compared to 2016**

PHASE 1	PHASE 2
	Operational capacity
Impact	Impact
Excellence	Excellence
Quality and efficiency of implementation	Quality and efficiency of implementation
	Subcontracting
Scope of the proposal	Scope of the proposal
Threshold: 13	Threshold: <b>12</b>



# Impact

PHASE 1	PHASE 2
Threshold: 4	Threshold: 4
Sub-criteria: 9	Sub-criteria: 9

Main aspects to tackle in the evaluation:

- Compliance with the relevant **Work Programme**;
- The **demand/market** of the innovation proposed;
- The **targeted users** or user groups;
- The **market conditions**;
- The **impact on the growth** of the applying company;
- The **commercialisation plan**;
- The **European dimension**;
- The **IPR** filing status and ownership, licensing;
- The **Regulatory and standard requirements**.

To determine the ranking, the score for the criterion 'impact' will be given a weight of 1.5.

# Excellence

PHASE 1	PHASE 2
Threshold: 4	Threshold: 3
Sub-criteria: 7	Sub-criteria: 8

Main aspects to tackle in the evaluation:

- The **new market opportunities** for EU/global challenges;
- The **current stage of development** of the innovation (for Phase 2 TRL6 or above except SMEInst-05 and phasing out PHC-12);
- The **comparison with known commercial solutions**;
- The **objectives and the approach/activities** to be developed;
- The **commercial viability** of the innovation proposed;
- The **risks and opportunities** of the market introduction.

# Implementation

PHASE 1	PHASE 2
Threshold: 4	Threshold: 3
Sub-criteria: 4	Sub-criteria: 5

Main aspects to tackle in the evaluation:

- The **resources** to develop the activities;
- The **technical/scientific** knowledge/management experience;
- The **time frame** and the implementation description;
- The **work packages** and **major deliverables** and milestones.

For Phase 2 only: **subcontracting**

# Elements to be reflected in the evaluation

new

## If a proposal

- is only marginally relevant in terms of its scientific, technological or innovation content relating to the [call/topic] addressed, you must reflect this in a lower score for the **Excellence criterion**
  - No matter how excellent the science!
- does not significantly contribute to the expected impacts as specified in the WP for that [call/topic], you must reflect this in a lower score for the **Impact criterion**
- would require substantial modifications in terms of implementation (i.e. change of partners, additional work packages, significant budget or resources cut...), you must reflect this in a lower score for the **"Quality and efficiency of the implementation" criterion**
- If cross-cutting issues are explicitly mentioned in the scope of the [call/topic], and not properly addressed (or their non-relevance justified), you must reflect this in a lower score for the relevant criterion
  - Proposals addressing cross-cutting issues which are not explicitly mentioned in the scope of the [call/topic] can also be evaluated positively

# Consensus report

- **The *rapporteur* is responsible for drafting the consensus report (CR)**
  - including consensus comments and scores
  - In some cases, the rapporteur does not take part in the discussion
- **The quality of the CR is paramount**
  - It often remains unchanged at the panel stage
- **The aim of the CR is to give:**
  - a clear assessment of the proposal based on its merit, with justification
  - clear feedback on the proposal's weaknesses and strengths
- **Avoid:**
  - comments not related to the criterion in question
  - comments that are too short or too long or use inappropriate language  
you should explain what you mean in an adequate length and clear manner
  - categorical statements that have not been properly verified  
eg. "The proposal doesn't mention user requirements" – when there is a short reference...
  - scores that don't match the comments
  - marking down a proposal for the same critical aspect under two different criteria



Number of projects funded per country (Based on the nationality of the coordinator)

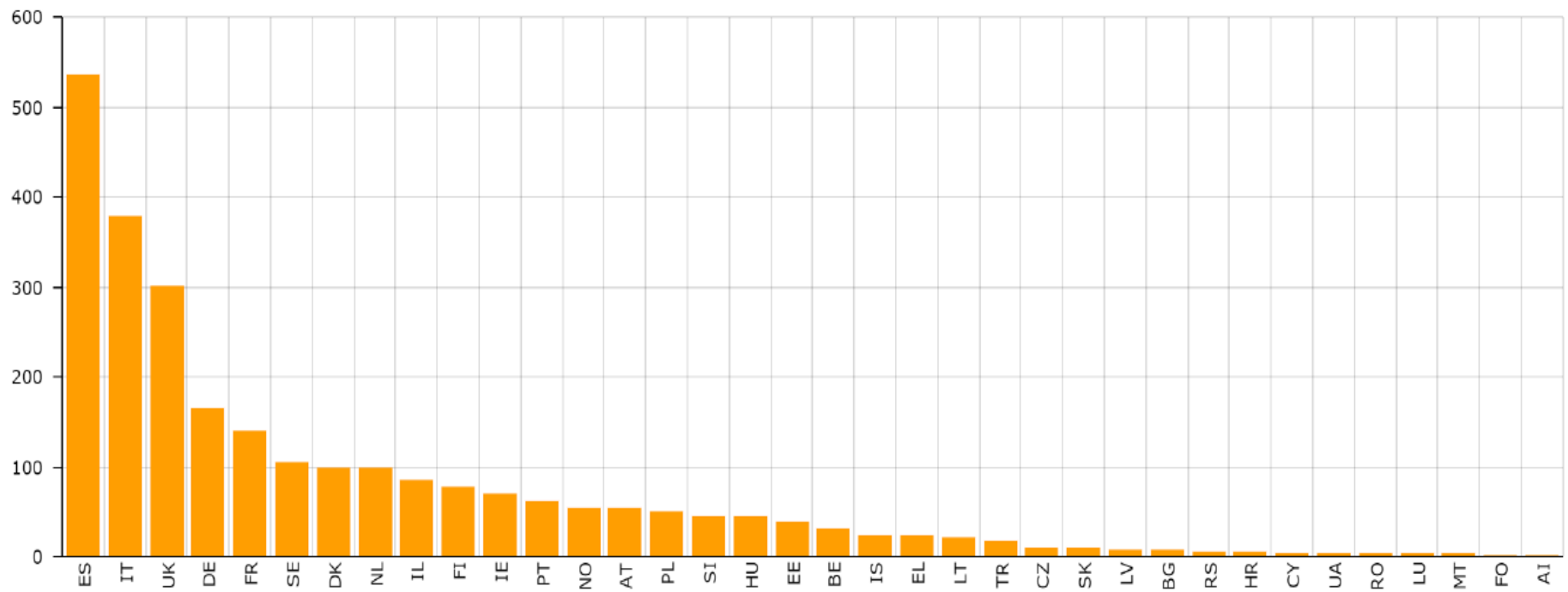
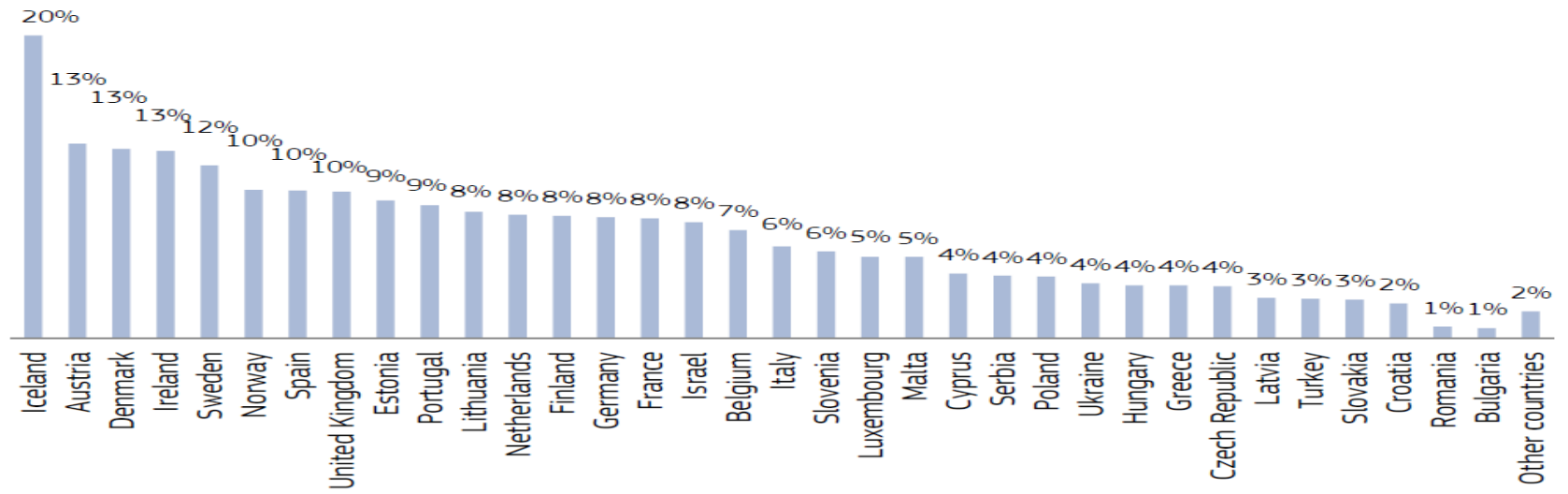


Figure 9 SME Instrument success rates per country



# Alcuni errori comuni

- Incoerente rispetto al bando di gara o programma di lavoro
- Idea non originale
- Incoerente con le politiche comuni
- Obiettivi non chiari o non convincenti
- Descrizione/giustificazioni insufficienti nelle metodologie
- Sottovalutazione delle difficoltà/rischi d'insuccesso
- Cattiva redazione (di difficile lettura, lingua)
- Piano di lavoro irrealizzabile nel tempo previsto
- Budget eccessivo (o insufficiente)
- Partenariato non bilanciato (apporti, coesione, nazionalità)
- Coordinamento non convincente (o insufficientemente descritto)
- Documentazione incompleta
- ...

<https://ec.europa.eu/research/participants/portal/desktop/en/home.html>

The screenshot shows the 'Participant Portal' of the European Commission. The header includes the European Commission logo and the title 'Participant Portal'. Below the header is a navigation bar with links: HOME, FUNDING OPPORTUNITIES, HOW TO PARTICIPATE, EXPERTS, and SUPPORT. A search bar and login/register buttons are also present. The main content area features a banner for 'Horizon 2020 Funding' starting from 1/1/2014. Below the banner, a text block states: 'On this site you can find and secure **funding** for projects under the following EU programmes:'. This is followed by a bulleted list of EU programmes: 2014-2020 Horizon 2020 - research and innovation framework programme; 2007-2013 7th research framework programme (FP7) and Competitiveness & Innovation Programme (CIP); and 3rd Health Programme, Asylum, Migration and Integration Fund, Consumer Programme, COSME, Internal Security Fund Borders, Internal Security Fund Police, Justice Programme, Promotion of Agricultural Products Programme, Rights, Equality and Citizenship Programme and Research Fund for Coal & Steel. Below this list are two columns of user instructions. The 'Non-registered users' column lists: search for funding; read the H2020 Online Manual & download the legal documents; check if an organisation is already registered; and contact our support services or check our FAQs. The 'Registered users' column lists: submit your proposal; sign the grant; manage your project throughout its lifecycle; and register as expert advising the Commission. At the bottom of the main content area is a row of six icons with labels: 'WHAT'S NEW?', 'FUNDING OPPORTUNITIES', 'HOW TO PARTICIPATE', 'WORK AS AN EXPERT', 'MY PERSONAL AREA', and 'INFORMATION AND SUPPORT'. The footer contains the text '© European Commission' and a row of links: HORIZON 2020, RESEARCH ON EUROPA, HORIZON 2020 & FP7 PROJECTS & RESULTS, and OLAF. The Windows taskbar at the bottom shows various application icons and the system clock displaying 09:45 on 26/05/2017.

European Commission

Participant Portal

European Commission > Research & Innovation > Participant Portal > Home

HOME FUNDING OPPORTUNITIES HOW TO PARTICIPATE EXPERTS SUPPORT Search LOGIN REGISTER

Horizon 2020 Funding  
Starting from 1/1/2014

On this site you can find and secure **funding** for projects under the following EU programmes:

- 2014-2020 Horizon 2020 - research and innovation framework programme
- 2007-2013 7th research framework programme (FP7) and Competitiveness & Innovation Programme (CIP)
- 3rd Health Programme, Asylum, Migration and Integration Fund, Consumer Programme, COSME, Internal Security Fund Borders, Internal Security Fund Police, Justice Programme, Promotion of Agricultural Products Programme, Rights, Equality and Citizenship Programme and Research Fund for Coal & Steel

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HORIZON 2020 RESEARCH ON EUROPA HORIZON 2020 & FP7 PROJECTS & RESULTS OLAF

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Grazie !