

# FP7 Space Research - Aspects to consider when writing a proposal

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## Overview

### 1. REA

- REA's mission and tasks
- REA's set up and organisation
- The roles of the REA and the Commission in FP7 Space Research
- REA's Space research team

### 2. Understanding the selection procedure

- Selection procedure
- Role of the evaluation experts
- Evaluation roadmap for the call FP7-SPACE-2012-1
- Where to find relevant information

### 3. How to make your proposal succeed

- Eligibility
- Guiding evaluation principles
- Evaluation criteria
- Scores
- Some other explanations and hints

## 1. REA

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### REA's mission and tasks

- **Efficient and effective services to the research community and to the European Commission**
  
- **Implementation of the parts of FP7 entrusted to it**
  - **SME-specific actions (Capacities)**
  - **Marie Curie actions (People)**
  - **Security and **Space** actions (Cooperation)**
  
- **Horizontal services across all FP7 programmes:**
  - **Running the evaluation facility (reception of proposals and support to evaluation)**
  - **Providing administrative services for registration of beneficiaries (central validation)**
  - **Running a central FP7 enquiry service**



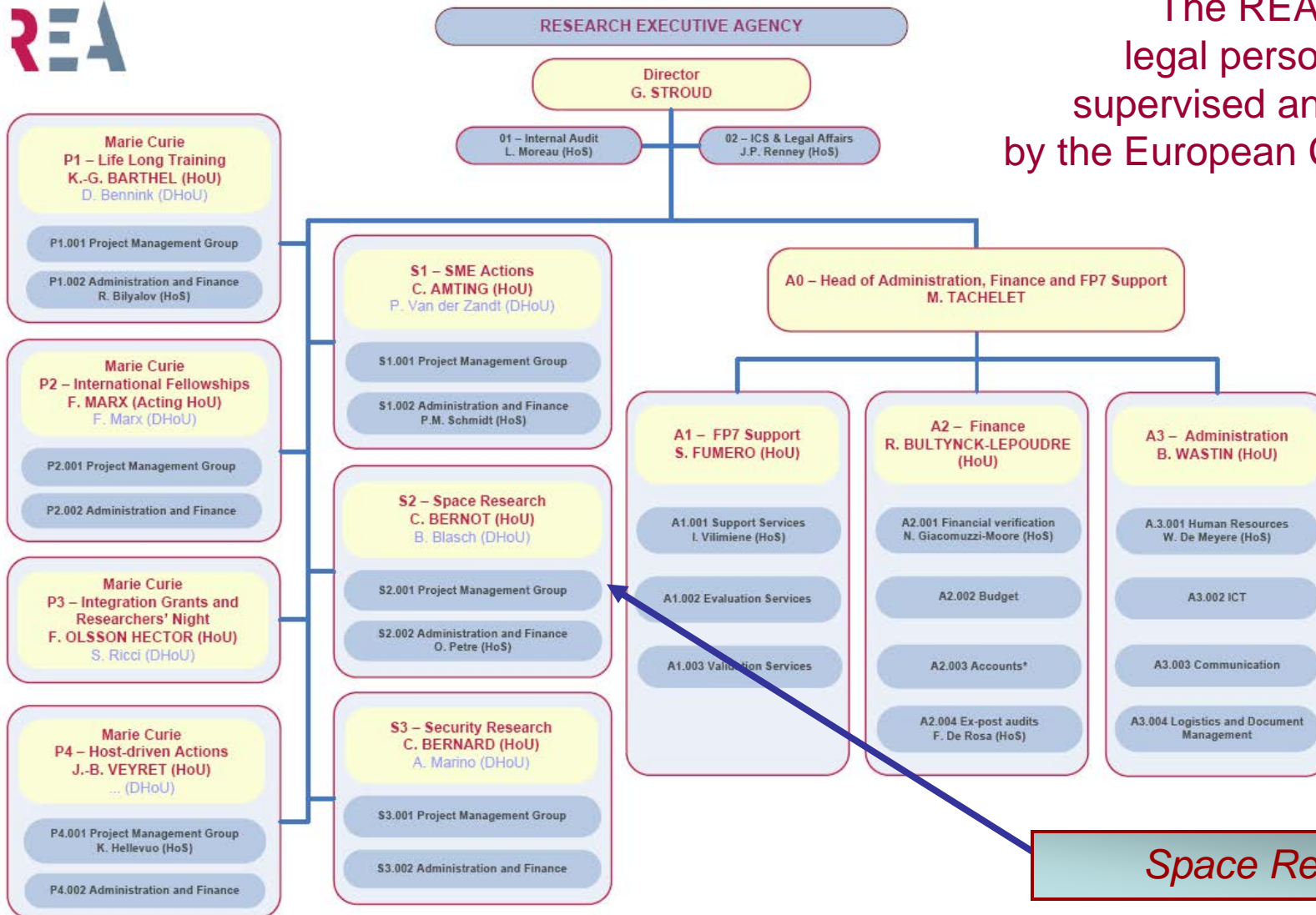
## 1. REA

### REA set up



- REA created 14/12/2007 (EC/2008/46)
- Lifetime: 2008 – 2017
- Total budget managed: about €6.5 billion
- Director Graham Stroud started 16 July 2008
- Agency autonomy since 15 June 2009
- Now: 440 staff in REA (24 for Space Research)
- 2013: 550 for REA (about 30 for Space Research)

The REA has its own legal personality, but is supervised and controlled by the European Commission



*Space Research*

## 1. REA

### REA's role in FP7 Space research

- The REA **Space research** unit is in charge of
- organising the **evaluation** of proposals
  - **negotiation** of retained proposals
  - **technical and financial management** of projects

Total budget for **Space Research** managed by the REA:

- At present up to 427 millions (first four Space calls)
- Globally around €600 millions for FP7
- (about 2/3 for GMES and 1/3 for SSF)











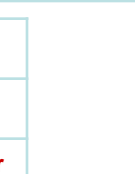


EUROPEAN  
COMMISSION

## 1. REA

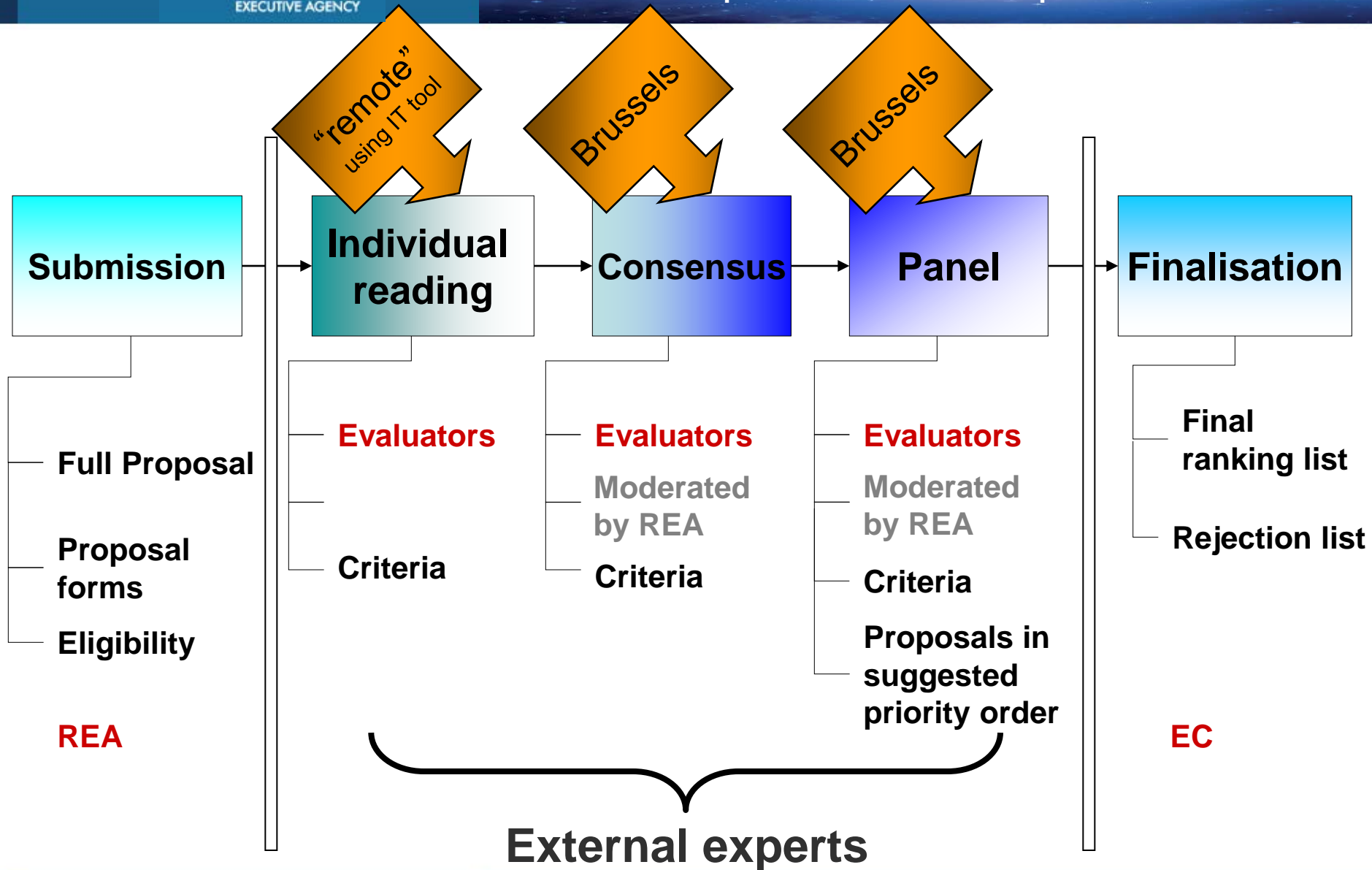
### The European Commission's role in FP7 Space research

- **Policy work** remains within the Commission – DG ENTR – this includes the **definition of the Space work programme**
- DG ENTR finances directly specific topics identified in the work programme (e.g. development of the Space component of GMES)

BERNOT Christine	<b>Head of Unit</b>		
BLASCH Birgit	<b>Deputy Head of Unit</b>	marine services and support to regions	
AMPATZIS Christos	<b>Project Officer</b>	robotics & critical technologies	
BACKMAN Petri	<b>Project Officer</b>	security, maritime surveillance; space science and exploration, critical technologies	
BEROUD Florence	<b>Project Officer</b>	land and emergency services, REDD, contact GEO support to coordination of GMES activities; access to space	
CHIARINI Paola	<b>Project Officer</b>	marine downstream services; space weather, space policy	
D'ORILIA Stefano	<b>Project Officer</b>	projects including cooperation with Africa; space exploration and NCP (COSMOS)	
FONTANA Stefano	<b>Project Officer</b>	marine services, emergency response downstream services; critical technology and on-orbit collisions, coordination of SSF activities	
MOTA ALVES Paula	<b>Project Officer</b>	space transportation/propulsion and critical technology	
PUZZOLO Virginia	<b>Project Officer</b>	land and emergency services, coordination of GMES activities	
SOOS Gabriella	<b>Project Officer</b>	international cooperation with Russia; international cooperation with Russia, space science and exploration	
VERMOOTE Stijn	<b>Project Officer</b>	climate change issues, atmosphere services, projects including cooperation with Africa, support to coordination of GMES activities	
CIPLINSKAITE Kristina	<b>Secretary</b>		
JONKERS Marie	<b>Secretary</b>		
MIODYNSKA Malgorzata	<b>Secretary</b>		
PASTOR RUBIO Celina	<b>Secretary</b>		
RANDISI Maria	<b>Secretary</b>		
RICHARD Vanessa	<b>Secretary</b>		
		PETRE Olivier	<b>Head of Sector Admin &amp; Finance</b>
		BRUNET COMPANY Maria Francisca	<b>Legal Officer</b>
		CIOARA Vlad	<b>Administrative &amp; Financial Officer</b>
		MARCHESIN Ivano	<b>Financial Officer</b>
		MJASCHKOVA Diana	<b>Financial Officer</b>
		NENKIN Petar	<b>Financial Officer</b>

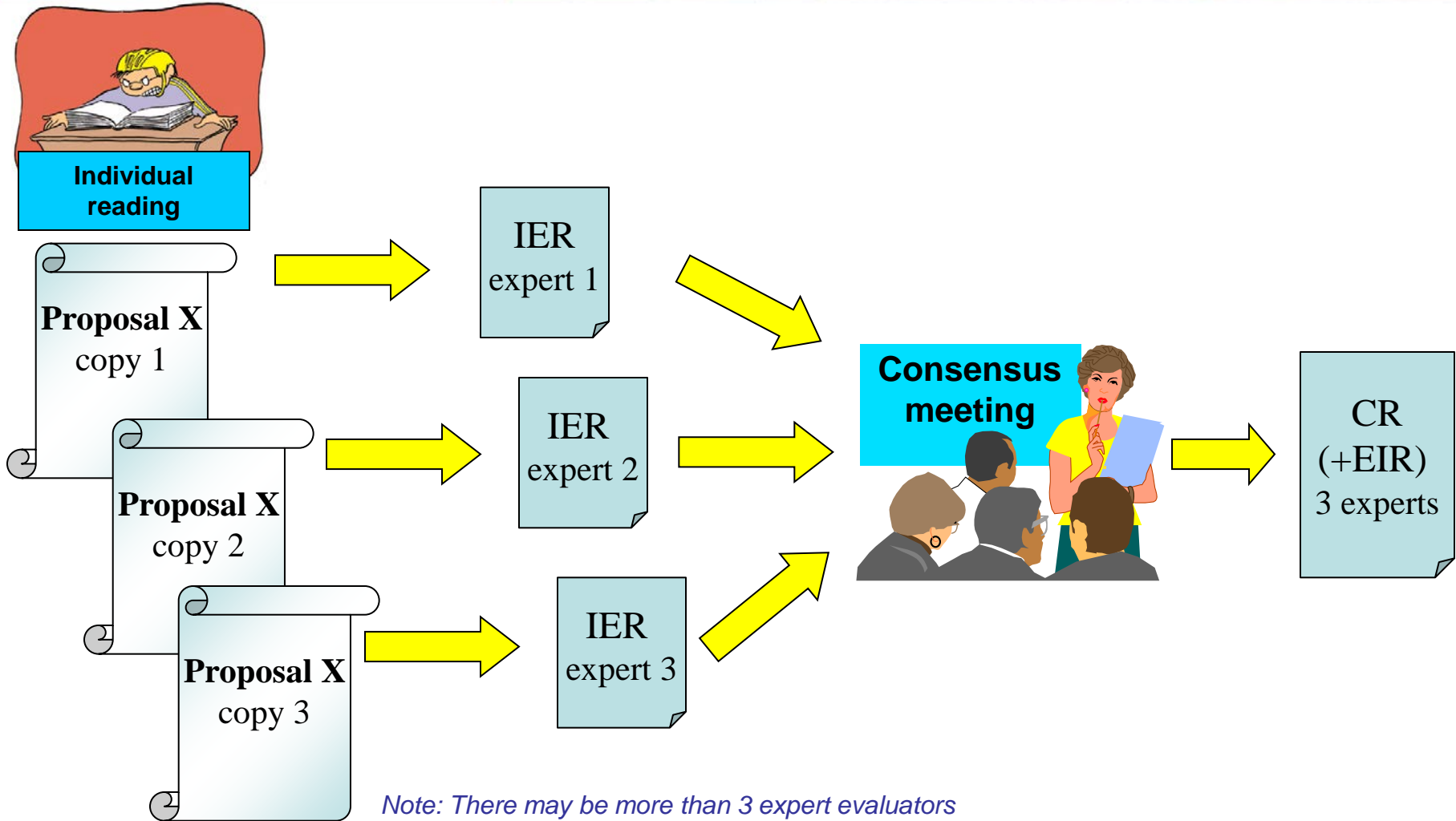
## 2. Understanding the selection procedure

- Selection procedure
- Roles of the evaluation experts
- Evaluation roadmap for the call  
FP7-SPACE-2012-1
- Where to find relevant information



## 2. Understanding the selection procedure

### Evaluation procedure for each proposal



IER=Individual evaluation report  
CR=Consensus Report  
EIR=Ethics Issues Report



## 2. Understanding the selection procedure

### Main actors – roles of the evaluation experts

- **Independent experts:** chosen mainly from EU MS and associated countries, but can be from any other country (e.g.USA) –
  - **Evaluators:** 3 to 5 per proposal, read and assess proposals, reach consensus
  - **Rapporteurs:** read but do not evaluate proposals, draft consensus reports, support the harmonisation process (consistency between comments and marks)
  
- **Panel of experts:** examine and compare consensus reports in a given area, check consistency, recommend priority order of proposals if necessary
  
- **Moderators:** REA (or Commission) staff moderating discussions during consensus meetings
  
- **Independent observers:** assess the evaluation and report on the conduct & fairness of the evaluation



## 2. Understanding the selection procedure

### How to become an evaluation expert

- At least 1/3 of the evaluation experts must be new
- Selection on the basis of required expertise
- Geographical and gender balance, all types of organisations, broad coverage of areas of expertise
- No Conflicts of Interest
- **If you want to become an evaluation expert yourself, register on <https://cordis.europa.eu/emmfp7/index.cfm>**
- When describing your areas of expertise in your profile, use the keywords in the work programme to help REA find you
- Keep your profile up-to-date

## 2. Understanding the selection procedure

### Evaluation roadmap for the call FP7-SPACE-2012-1

- **Call publication:** 20 July 2011
- **Pre-selection of evaluation experts:** already ongoing
- **Call closure / submission deadline:** 23 November 2011, 17h00
- **Eligibility checks and allocation of experts to proposals:** early December 2011
- **Evaluation:** December 2011 – February 2012
- **Information to coordinators:** March 2012
- **Start of negotiations:** April 2012
- **First grants:** Autumn 2012

**Participant Portal:** <http://ec.europa.eu/research/participants/portal/> (tab "FP7 calls")

**CORDIS:** <http://cordis.europa.eu/fp7/dc/index.cfm>

More background documents on <http://ec.europa.eu/enterprise/policies/space/research>

**Call-specific questions (up to 2 weeks before deadline):** [rea-space-calls@ec.europa.eu](mailto:rea-space-calls@ec.europa.eu)

**General FP7 related questions:** <http://ec.europa.eu/research/enquiries>

*Specialised and technical assistance*

**eFP7 Service Desk:** <http://ec.europa.eu/research/participants/portal/page/contactus>

**CORDIS help desk:** [http://cordis.europa.eu/guidance/helpdesk/home\\_en.html](http://cordis.europa.eu/guidance/helpdesk/home_en.html)

**EPSS Help desk:** [support@epss-fp7.org](mailto:support@epss-fp7.org)

**IPR help desk:** <http://www.ipr-helpdesk.org>

**Ethics help desk:** [http://cordis.europa.eu/fp7/get-support\\_en.html](http://cordis.europa.eu/fp7/get-support_en.html)

**National Contact Points:** <http://cordis.europa.eu/fp7/ncp.htm>

**National Contact Points in third countries:** [http://cordis.europa.eu/fp7/third-countries\\_en.html](http://cordis.europa.eu/fp7/third-countries_en.html)



#### *FP7 Legal basis documents generally applicable*

- Decision on the Framework Programme
- Rules for Participation
- Specific Programmes
- Work Programmes

[http://cordis.europa.eu/fp7  
/find-doc\\_en.html](http://cordis.europa.eu/fp7/find-doc_en.html)

#### *Legal documents for implementation*

- Rules for submission, evaluation, selection, award
- Standard model grant agreement
- Rules on verification of existence, legal status, operational and financial

#### *Guidance documents*

- Guidance Notes on Audit Certification
- Guide for beneficiaries
- Guide to Financial Issues
- Guide to IPR
- Checklist for the Consortium Agreement
- Negotiation Guidance Notes
- Templates for Description of Work

#### *Ethics review*

- Ethics check list
- Supporting documents



### **3. How to make your proposal succeed**

- **Eligibility**
- **Guiding evaluation principles**
- **Evaluation criteria**
- **Scores**
- **Some other explanations and hints**

#### *Checked before evaluation starts*

#### A proposal is **eligible if**

- **Received before the deadline**
- **Minimum conditions for participation met**
  - At least 3 independent legal entities from 3 Member states or Associated countries (JRC or international European interest organisation established in another MS/AC)
    - *Exception:* Support Action (CSA-SA): 1 legal entity
  - Other conditions in the work programme met (e.g. maximum requested EU contribution respected)
- **Complete**
  - Requested administrative forms  
+ proposal description (readable, accessible and printable)
- **(At least partially) in scope of topic(s) and funding scheme(s)**

***Ineligible proposals are not evaluated***

***Ineligibility can also be discovered later during evaluation***

#### **Objectivity**

- Each proposal is evaluated *as it is written*

#### **Accuracy**

- Evaluation experts make their judgment against the official evaluation criteria, and nothing else

#### **Consistency**

- The same standard of judgment is applied to each proposal  
...especially for resubmitted proposals

## 3. How to make your proposal succeed

### Evaluation criteria

	<b>1. Scientific and/or technological Excellence (relevant to the topics addressed by the call)</b>	<b>2. Quality and efficiency of the implementation and the management</b>	<b>3. The potential impact through the development, dissemination and use of project results</b>
<b>All funding schemes</b>	<ul style="list-style-type: none"> <li>▪ Soundness of concept, and quality of objectives</li> </ul>	<ul style="list-style-type: none"> <li>▪ Appropriateness of the management structure and procedures</li> <li>▪ Quality and relevant experience of the individual participants</li> </ul>	<ul style="list-style-type: none"> <li>▪ Contribution, at the European and/or international level, to the expected impacts listed in the work programme under relevant topic/activity</li> </ul>
<b>Collaborative projects</b>	<ul style="list-style-type: none"> <li>▪ Progress beyond the state-of-the-art</li> <li>▪ Quality and effectiveness of the S/T methodology and associated work plan</li> </ul>	<ul style="list-style-type: none"> <li>▪ Quality of the consortium as a whole (including complementarity, balance)</li> <li>▪ Appropriateness of the allocation and justification of the resources to be committed (staff, equipment,...)</li> </ul>	<ul style="list-style-type: none"> <li>▪ Appropriateness of measures for the dissemination and/or exploitation of project results, and management of intellectual property.</li> </ul>
<b>Coordination &amp; Support Actions – CA</b>	<ul style="list-style-type: none"> <li>▪ Contribution to the co-ordination of high quality research</li> <li>▪ Quality and effectiveness of the co-ordination mechanisms, and associated work plan</li> </ul>	<p><i>for SA only if relevant</i></p>	<ul style="list-style-type: none"> <li>▪ Appropriateness of measures for spreading excellence, exploiting results, and dissemination knowledge, through engagement with stakeholders, and the public at large.</li> </ul>
<b>Coordination &amp; Support Actions - SA</b>	<ul style="list-style-type: none"> <li>▪ Quality and effectiveness of the support action mechanisms, and associated work plan</li> </ul>		

The evaluation experts use assessment forms with these questions

*Or in other words ....*

#### **S/T Quality**

- Objectives should be focused (what do we want to achieve in this project?) and clearly linked to the call topic.
- Progress beyond the State of the Art should be up-to-date! (be careful if resubmission...)
- Methodology and work plan: include risk analysis & contingency plans

## Implementation

- **Management structure & procedures:**  
Include decision making & conflict resolution
- **Quality & relevant experience of individual participants**
- **Quality of the consortium: complementarities & balance**
- **Allocation of resources: should be explained and justified**
  - How is the totality of the necessary resources mobilised
  - Will the resources be integrated in a coherent way
  - Is the overall financial plan adequate for the project
  - No assessment of individual fee rates or unit costs of personnel costs
- **Subcontracting: minor tasks only – must be described and an estimated budget provided – no predefined subcontractors**

### Impact

- **Contribution to the expected impact listed in the work programme under the relevant topic/activity**
- **Dissemination and exploitation of project results (how this will increase the impact? What are the targeted audiences of the activities?)**
- **Management of intellectual property: Which existing knowledge is needed for the project? How this existing knowledge will be available to the partners?**

- **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.*

Scores with half points  
are possible

Individual criteria threshold: **3**  
Total score threshold: **10**

- **The expertise of the SMEs should be clearly highlighted and their work well linked to the activities: part of the quality of the consortium**
- **Can be an added value for the exploitation of results and thus the impact**
- **Potential criterion taken into account if prioritisation is needed between proposals**

*no special evaluation criterion*

- **In the consortium, promote mixed teams at all level (WP, WP leaders, steering committees, advisory boards, ...)**
- **Check if gender may be a factor to be taken into account in your research (e.g. users)**
- **Proactive activities to promote gender equality in your project or field of research (e.g. specific events)**

- Pay attention to data protection issues (privacy)
- Dual use: research having direct military use or the potential for terrorist abuse

*new enhanced ethics issues procedure*

*→ Rules for submission, evaluation, selection, award*

- **Collaborative projects (CP)**
  - RTD
  - Demonstration
  - Management
  - Other activities
  
- **Coordination or support actions (CSA)**
  - Coordination or support
  - Management
  - Other activities

#### Other activities

- Activities such as training and dissemination (including publications)

#### Management activities

- Overall legal, ethical, financial and administrative management
- Management activities foreseen in the proposal  
**except technical coordination (→ under RTD)**

- **Understand the work programme topic** and address the essential spirit of it.
  - A proposal fully out of scope is ineligible
  - A proposal partially out of scope will score low
  
- **Respect requirements and instructions** in the work programme (e.g. maximum amount of requested EU funding) and Guide for Applicants (e.g. page limits).
  
- Proposers need to **convince the evaluation experts**.
  - They are under time pressure during both the individual evaluation and the consensus meeting (logistical and financial constraints).
  - Make it easy for them to find the answers in your proposals to the questions (see Guides for Applicants) they have to answer to assess the proposal against the evaluation criteria.
  - They must justify their marks, give them evidence. Don't let them guess.
  - Avoid inconsistencies in the proposal to make a good impression
  - Evaluators are instructed to look at the substance, not the presentation, but a careful presentation helps

# Thank you for your attention!

## Ready to answer your questions

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