



ERA-NET EuroTransBio

Transnational Call for Applications

Funding of Industrial Research Projects of Biotechnology SMEs

Guidelines for Evaluation

1. Introduction

The EuroTransBio is an international initiative of 9 European member states and regions [Austria, Flanders (Belgium), Finland, Alsace, Champagne-Ardenne and Lorraine (France), Germany, Italy, Russia] working together by coordinating their national or regional public funding programmes in order to support trans-national R&D co-operation between SMEs (Small and Medium sized Enterprises).

The objective of EuroTransBio is to foster the competitiveness of Europe's biotechnology industry by supporting the research intensive small and medium sized enterprises and their strategic partnerships. ETB aims to establish cross-border partnerships between SMEs in the biotech sector in order to improve and accelerate technology transfer, to strengthen European efforts in achieving sustainable development, to develop an internal market for research & technology, and to develop a joint European research policy.

ETB calls for applications are generic calls including all fields of modern biotechnology. The overall budget of the current ETB call is of at least 13 million Euros. The funding for the successful applicants is provided by the national/regional agencies according to their own regulations.

The Guidelines for Evaluators give the evaluators of the ETB call a comprehensive understanding of the evaluation process, the evaluation criteria and the evaluators' duties.

2. ETB evaluation of proposals

2.1 ETB call for proposals - procedure

The ETB call for proposals is single-phased. The deadline for the submission of proposals was January 31st 2017. After submission the proposals were checked for formal eligibility by the national programmes involved.

The applicants use common ETB -proposal forms for the application. The forms are available at the ETB-website www.eurotransbio.eu.

Evaluator selection and duties

The evaluation of the proposals is conducted by a panel of internationally recognized experts from the field of biotechnology exhibiting an expertise in science, technology, economy, business strategy and/or international project management.

The Evaluator Panel is constituted in March following the eligibility check of the proposals. The panel consists of one to several evaluators per ETB country or region. ETB Office provides a set of evaluation documents and tools (the guidelines for evaluation, the online evaluation database, and the Confidential Disclosure Agreement (CDA) and any other useful documents). The involved national agencies invite the evaluators nominated by them.

Evaluator accreditation: If the evaluator accepts the invitation, s/he sends a signed Confidential Disclosure Agreement to the national agency (if needed). Each funder receives a username and link for the ETB Evaluation Tool, where the proposals are available for download.

The possible payments and cost reimbursements for the evaluators and the experts are under the control and responsibility of each of the national funding programme owners and/or national agencies and are subject to national rules.

2.2 Transnational evaluation process

The evaluators download the proposal, evaluate the proposal and send their evaluation results to their National Contact Point. Each country/region fills in the online “**Evaluation Tool**” (including **rank** (= “status of recommendation for funding, A, B, or C), **score** (= numeric score [1, 1.5, 2, ..., 5) for each of the criterion domains) and a short verbal statement to argue the recommendation and whether there are problems to be discussed with the other agency/ies) latest on the 31st May 2017. Entering the evaluation data online is managed by one single person per country/region (list in annex). Thus, there will be one single agency position per project, for each agency involved. **A compiled Excel-sheet can be downloaded by each agency from the submission tool, displaying all evaluation results for this call.**

Using these reviews as basis, the organizer of the evaluation meeting together with ETB Office will prepare a summary of evaluation results, which is used during the evaluation meeting. The ETB Office distributes this document prior to the each agency involved in the present call. The evaluators convene at the evaluation meeting to discuss the proposals. During a discussion in which all present evaluators and the chairman of the evaluation meeting are entitled to participate, the evaluators involved in the project must agree on the rank of this project. During the evaluation meeting both ranks and scores may be changed by the involved evaluators, who must therefore have the mandate to decide on such changes.

Rank (Funding recommendation) is the primary character used for the common outcome of the evaluation procedure. It is based on the overall quality and viability of the project and assigned to one of three categories (A, B, or C - see below). **Numeric scores** have a secondary character within the evaluation procedure and should in particular emphasize strengths and weaknesses within the single criterion domains of an individual project. These scores will only be used to assist the decision making for jointly ranking of a given proposal.

The evaluation results for all projects have to be filled in the online database by May 31st, 2017. Evaluators have to log in to the ETB submission page at <https://www.etbsubmission.eu/call12/evaluation-login>. ETB Office will provide access to the moderator of the evaluation meeting.

The key arguments of the discussion are recorded as Evaluation Summary.

The Evaluation Meeting will produce following results: A transnational **Ranking List** and **Minutes**, including:

- Evaluation Summary (including all scores and ranking)
- Written comments of the evaluators and results of the discussion during the evaluation meeting and
- Justification for recommendation / non recommendation to be used in the communication with the proposal coordinator agreed on by the involved agencies.

The justification will be decided on during the recommendation meeting and approved by NSC.

2.3 Evaluation timeline

31.03.2017 Start of Evaluation

31.05.2017 Upload the evaluation results in the online "Evaluation Database"

14.06.2017 Evaluation Meeting

3. Evaluation criteria

3.1 *Evaluation criteria and scoring*

The evaluation of the proposals is performed using the following criteria domains:

1. Technological/Scientific Innovation
2. Social and Economic perspective
3. Consortium and Project Management
4. Resources

Each of these domains will received a score from 0.5, 1, 1.5, to 5 (5 being the best score). As a result, each proposal will have a total score between 2 and 20.

When giving scores to a proposal, the four criteria domains should be considered based on the following criteria:

- 1.) Technological/Scientific Innovation
 - Technical risks and feasibility of the project
 - Degree of innovation
 - Practical value/benefit for the consortium
 - State of intellectual property – patents
 - Technology transfer through the project
- 2.) Social and Economic perspective
 - Economic potential of the project - commercialisation of results
 - Impact for the companies - competitiveness, growth, employment
 - Business strategy of the project - strengths and weaknesses
 - Trans-national added value
 - Sustainable development in respect to social and environmental impact
 - Impact on the European competitiveness in the specific field
- 3.) Consortium and Project Management
 - Quality of consortium - complementarity, SMEs, Internationality
 - Scientific and technological ability and experience of the consortium
 - Business expertise of the consortium (track record)
 - Project management capacity
 - Consortium agreement plan
- 4.) Resources
 - Human Resources (qualification and overall man power)
 - Financial capability of the consortium and financial commitment of the partners
 - Facilities such as laboratories or very specialized equipment

The numerical scoring of the four criteria domains is the basic assessment of the proposal, and helps to assign the rank of a project (recommendation for funding): each evaluator has to list a project as "A", "B", "C", where these letters stand for:

("A"), very favourable for funding

("B"), can be funded - a decision will be made by NSC during the recommendation meeting to either upgrade B-projects to rank A or to downgrade them to rank C.

("C"), not favourable for funding.

The final ranking list of projects will be done according to rank categories (letters A or C) in which there is no order within categories.

3.2 Evaluation Forms

Please fill in the online Evaluation Form according to the guidelines in chapter 3.1. Fill in the evaluation details for all the projects in the database **no later than 31.05.2017**.

The ETB evaluation tool can be accessed with a username and password previously provided to each national agency. Your national agency will consequently provide experts with the username and password. In the ETB submission tool you can find all proposals.

If you have any questions regarding the evaluation procedure or the ETB submission tool, please do not hesitate to contact the ETB Office (+49 2461 61 96432, t.gruender@fz-juelich.de or +49 2461 61 2568, g.gebreselassie@fz-juelich.de)

The evaluation meeting will be held on June 14th, 2016. The place has not yet been decided. The ETB Office will contact you regarding practical arrangements and further information regarding the event.

Responsible person within each country/region for managing the database

Country/ Region	Responsible person
Austria	Barbara Braun
Flanders (Belgium)	Kirezi Kanobana
Finland	Raimo Pakkanen
Alsace, Lorraine, Champagne-Ardenne (France)	Achim Mayer
Germany	Tatiana Gruender
Italy	Valentina Milazzo
Russia	Olga Levchenko