

# Esperienza di un valutatore dei progetti SMEINST

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**Lo Strumento per le PMI in Horizon 2020**

**Opportunità per le imprese**

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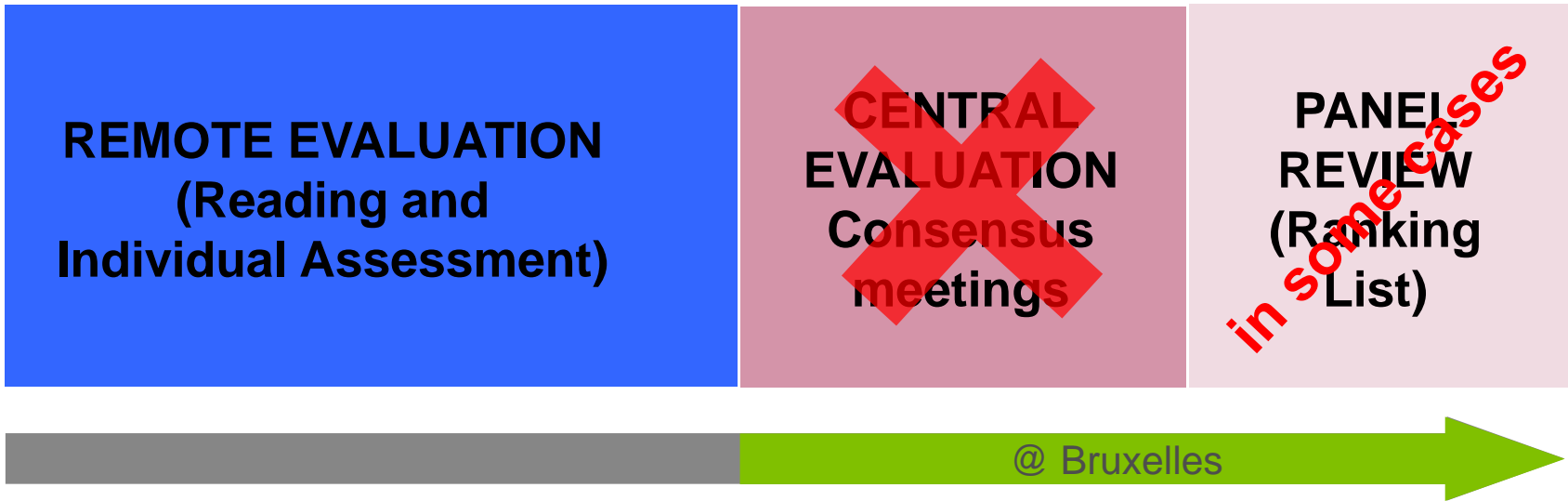
# Introduction

- ❖ A bit of knowledge about the evaluation process...
- ❖ adds a lot to the best practices in proposal writing, and
- ❖ educate about what to expect as an outcome

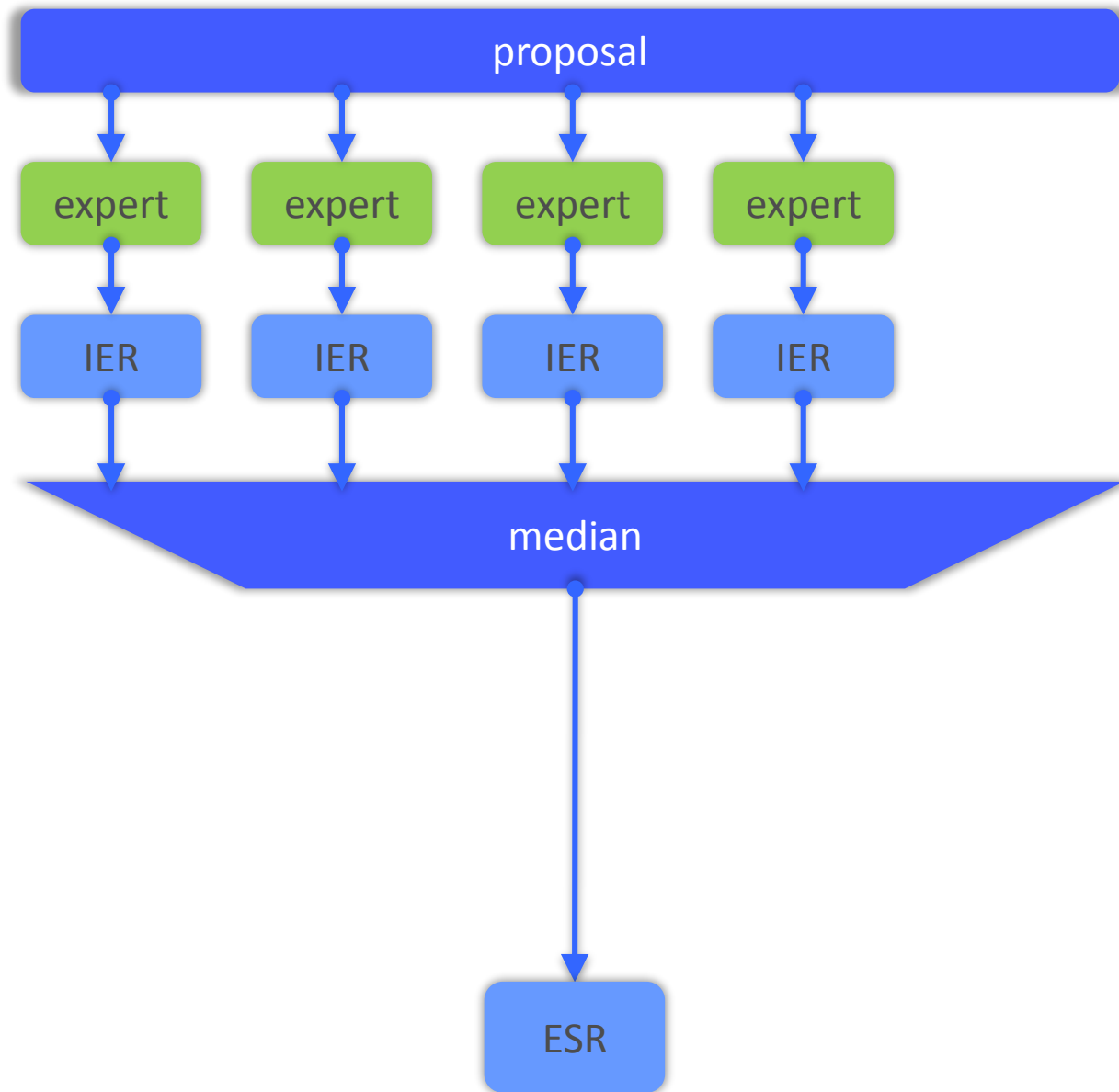
# Main features of the SMEINST evaluation process

- ❖ Remote evaluation [standard in H2020]
  - 4 evaluators, always different in case of resubmissions
- ❖ No Consensus Meetings (=> median scores)
- ❖ Experts receive some central briefings [standard in H2020] (but very rarely)
- ❖ No panel review (mostly)
- ❖ No negotiations [standard in H2020]

# Outlook of the process schedule



# Evaluation doc flow in the SMEINST



# Thresholds and scoring

## ❖ Thresholds

- C.1 – Excellence: Ph1 4/5; Ph2 3/5
- C.2 – Impact: Ph1 4/5; Ph2 4/5
- C.3 – Implementation: Ph1 4/5; Ph2 3/5
- Total: Ph1 13/15; Ph2 12/15

## ❖ Scoring

- Each subcriteria is scored 0-10
- In each criterion:
  - the general comment weighs 25%
  - The rest of subcriteria 75% overall
- C.2 weighs 1,5; C.1 and C.3 0,75 each

# SMEINST1 vs SMEINST2 subcriteria: C.1

SMEINST1 C.1 (4/5)	SMEINST2 C.1 (3/5)
<i>The innovation aims at exploring new market opportunities addressing EU/global challenges</i>	same
<i>The proposal provides a realistic description of the <b>current stage of development</b> and added value of its innovation as well as an understanding of the competing solutions. Includes good comparison with <b>state-of-the-art</b>, known <b>commercial solutions</b>, including costs, environmental benefits, gender dimension, ease-of-use and other features, or includes plans for achieving this information. Note: In relation to the project content, e.g. gendered studies, clinical trials, etc.</i>	<i>The included feasibility assessment demonstrates the technological/practical/economic viability of the innovation</i>
<i>The objectives for the feasibility study and the <b>approach</b> and activities to be developed are consistent with the expected impact of the project</i>	<i>The proposal provides a realistic description of the current stage of development (TRL 6 - see note 1- or similar for non-technological innovations) and added value of its innovation as well as very good understanding of the competing solutions. Includes good comparison with state-of-the-art, known commercial solutions, including costs, environmental benefits, gender dimension- see note 2-, ease-of-use and other features.</i>
<i>The expected performances of the <b>innovation</b> are convincing and have the potential to be relevant from a commercial point of view (Value for money). It is potentially better than alternatives</i>	<i>The <b>objectives</b> for the project as well as the approach and activities to be developed are consistent with the expected impact (commercialisation/deployment). Specifications for the outcome of the project and criteria for success are well defined</i>
<i>The proposal reflects a very good understanding of both <b>risks and opportunities</b> related to a successful market introduction of the innovation, both from a technical, commercial point of view</i>	same
+ general comment	same

# SMEINST1 vs SMEINST2 subcriteria: C.2

SMEINST1 C.2 (4/5)	SMEINST2 C.2 (4/5)
<i>The proposal indicates in a convincing way that there will be <b>demand</b>/market (willing to pay) for the innovation when the product /solution is introduced into the market</i>	same
<i>The <b>targeted users</b> or user groups of the final product/application, and their needs, are well described and the proposal provides a realistic description of why the identified groups will have an interest in using/buying the product/application, compared to current solutions available</i>	same
<i>The proposal demonstrates very good understanding of the needs for a realistic and relevant <b>analysis of market</b> conditions, total available market size and growth rate, competitors and competitive solutions and key stakeholders, or includes a plan for achieving this information</i>	<i>The proposal provides a realistic and relevant analysis of market conditions, total available market size and growth rate, competitors and competitive solutions and key stakeholders, clear opportunities for market introduction</i>
<i>It is described in a realistic and relevant way how the innovation has the potential to boost the growth of the applying <b>company</b></i>	same
<i>The proposal demonstrates the alignment with the overall strategy of the participating SME(s) and the need for commercial and management experience, including understanding of the financial and organizational requirements for commercial exploitation. The initial <b>commercialisation plan</b> is outlined and explains how will be further developed (in-house development, licensing strategy, etc)</i>	<i>The proposal demonstrates the alignment with the overall strategy of the participating SME(s) and the need for commercial and management experience, including understanding of the financial and organisational requirements for commercial exploitation as well as key third parties needed</i>
<i>The innovation /solution has a clear <b>European dimension</b> both with respect to commercialisation and with respect to competitor / competition evaluation</i>	same
	<i>The <b>strategy plan for commercialisation</b> is described in a realistic and relevant way, including approximate time to market/deployment. Activities to be further developed after phase 2, including additional dissemination measures, are well outlined</i>
<i>The proposal includes a realistic and relevant description of status and strategy of <b>knowledge protection</b>, the need of "freedom to operate analysis", and current IPR situation, which could include a plan for achieving this information. If relevant, potential regulatory requirements are also addressed</i>	<i>Measures to ensure "freedom to operate" (possibility of commercial exploitation) are realistic and there is a convincing strategy of <b>knowledge protection</b>, including current IPR filing status, IPR ownership and licensing issues. Regulatory and/or standard requirements are well addressed</i>
+ general comment	same, + Communication



# SMEINST1 vs SMEINST2 subcriteria: C.3

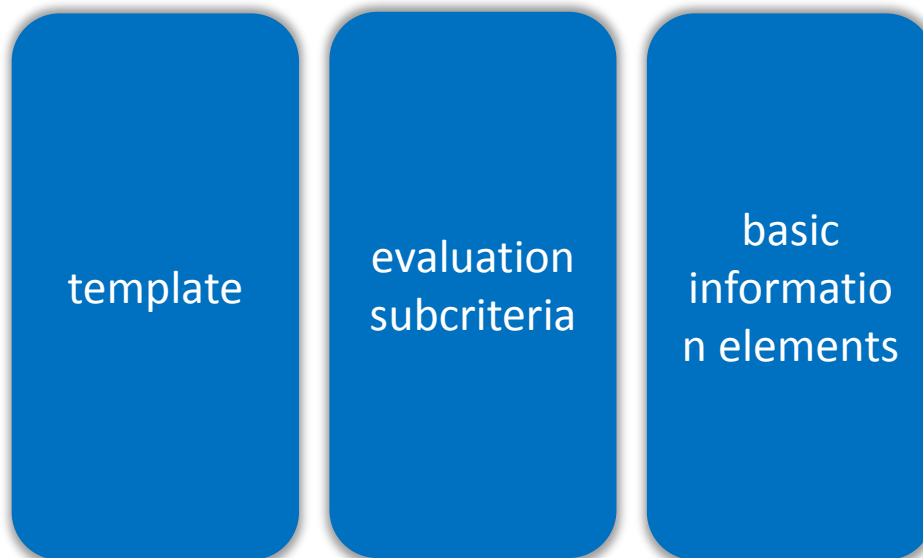
SMEINST1 C.3 (4/5)	SMEINST2 C.3 (3/5)
<p><i>The proposal demonstrates that the project has the relevant <b>resources</b> (personal, facilities, networks, etc.) to develop its activities in the most suitable conditions. If relevant, describes in a realistic way how key stakeholders / partners / subcontractors could be involved</i></p>	<p><i>The proposal demonstrates that the project has the relevant resources (personal, facilities, networks, etc.) to develop its activities in the most suitable conditions. If relevant, describes in a realistic way how key stakeholders / partners / subcontractors could be involved. (Where relevant/) Participants in a consortium are complementary</i></p>
<p><i>The team has relevant <b>technical/scientific knowledge/management experience</b>, including a good understanding of the relevant market aspects for the particular innovation. If relevant the proposal includes a plan to acquire missing competences</i></p>	<p>same</p>
<p><i>Taking the project's ambition and objectives into account, the proposal includes a realistic time frame and a comprehensive <b>description of work</b></i></p>	<p><i>Taking the project's ambition and objectives into account, the proposal includes a realistic time frame and a comprehensive <b>implementation description</b></i></p>
	<p><i>The <b>work package descriptions</b> and major deliverables and milestones are realistic and relevant, including appropriateness of the allocation of tasks and resources, risk and innovation management</i></p>
<p>+ general comment</p>	<p>same</p>

# What score should we aim for?

- ❖ The funding threshold is typically very high, close to 14/15
- ❖ Median  $\Rightarrow$  drop the lowest and highest scores, then average
- ❖ 2 “low” scores are enough to kill a proposal
- ❖ 13 is already a “low” score (need a 15 to pull it up to 14)
- ❖ So, you can safely disappoint just 1 out of 4 evaluators, with any score
  - ... but aim to convince all the others with a 13+ score

# Let's go back to proposal writing...

- ❖ Develop the «basic Information Elements»
- ❖ Package them according to the proposal template
- ❖ Check against the evaluation subcriteria



# Example of Basic IEs (Impact)

- ❖ Market demand
  - user(s) needs & requirements
- ❖ Market analysis
  - Market outlook and segmentation
  - Own position
  - Opportunities, barriers
- ❖ Competitors
  - Main competitors
  - Potential competitors
  - Competing or alternative products/services
  - Competitors' strategies
- ❖ Market partners & stakeholders
  - Main service/product providers
- ❖ Business modelling & analysis
  - Pricing information
- ❖ Company benefits for each participant
  - Growth (turnover, staff headcount, etc.) targets
  - Economic and financial outlook (5 years)
  - Financing plan
- ❖ Exploitation & commercialization plans
  - Go-to-market strategy
  - Approach to distribution
  - Approach to advertisement
- ❖ IPR management
  - Detailed arrangements for the ownership/access of background/foreground knowledge

# Example of template & subcriteria mapping

**S2.1** The proposal indicates in a convincing way that there will be **demand/market (willing to pay)** for the innovation when the product /solution is introduced into the market

**S2.2** The **targeted users or user groups** of the final product/application, and **their needs**, are well described and the proposal provides a realistic description of why the identified groups will have an **interest in using/buying** the product/application, compared to current solutions available

**S2.3** The proposal demonstrates very good understanding of the needs for a realistic and relevant **analysis of market conditions**, total available **market size** and growth rate, **competitors and competitive solutions** and **key stakeholders**, or includes a plan for achieving this information

**S2.6** The innovation /solution has a clear **European dimension** both with respect to **commercialisation** and with respect to competitor / competition evaluation

**S2.4** It is described in a realistic and relevant way how the innovation has the potential to **boost the growth** of the applying company

## 2. Impact

*Applicants are expected to address the points relevant to their overall innovation project and to provide information available at this stage. They should clearly explain which aspects will be further explored in the feasibility study.*

### 2.1 Expected Impacts

#### • a) Users/Market

- Which **user needs** have been identified and will be met upon completion of the project?
- Describe the main **economic benefits for the users** that, compared to current state of the art, **will make the users buy** or invest in the innovation. What are you planning to use as unique selling points?
- Describe the type of **market**, e.g. a niche market or high volume market. What is the estimation of total available **market size and growth rate** (mature or growing market)?
- What are the market trends? Describe if and how your project addresses **European and/or global markets**.
- List **main competitors and competitive solutions**.
- Indicate the most **relevant market segments** for initial introduction of the new solution.
- Indicate the most important **market barriers** to be overcome to realise commercialization.
- Describe the **targeted users of the final solution**; in which market segment/geographical areas do you see these potential users, and how do you intend to reach them?
- List **key stakeholders** to get involved for making a successful commercial exploitation.

#### • b) Company

- How does the innovation project **fit with the strategy** of the participating SME(s)
- What is the **relevance and rationale of the innovation** project for the management team of the SME (or lead SME(s) in a consortium)

# Further points & summary

- ❖ Be bold, and provide quantified objectives
- ❖ Talk in terms of TRL 6+
- ❖ Take proper care of IPR issues
- ❖ Editing
  - Be concise, avoid redundancies
  - Help the readers read the proposal
    - Use editorial tricks, improve readability, highlight the most relevant parts
    - Consider that
      - 6 BIP1 per Working Day, i.e. (formally) 1h20 to read 10 pages and to score & comment on each of the many subcriteria
      - 4 BIP2 per Working Day, i.e. (formally) 2h to read 30 pages and to score & comment on each of the many subcriteria
  - Focus on the parts hitting a higher number of subcriteria
    - Clearly point to the subcriteria in the proposal
- ❖ Don't over-improve at each resubmission

# Some references

## ❖ EASME

- <http://ec.europa.eu/easme/en/horizons-2020-sme-instrument>

## ❖ Proposal templates

- BP1 template:  
[http://ec.europa.eu/research/participants/data/ref/h2020/call\\_ptef/pt/h2020-call-pt-sme-1\\_en.pdf](http://ec.europa.eu/research/participants/data/ref/h2020/call_ptef/pt/h2020-call-pt-sme-1_en.pdf)
- BP2 template:  
[http://ec.europa.eu/research/participants/data/ref/h2020/call\\_ptef/pt/h2020-call-pt-sme-2\\_en.pdf](http://ec.europa.eu/research/participants/data/ref/h2020/call_ptef/pt/h2020-call-pt-sme-2_en.pdf)

## ❖ Evaluation Forms:

- [http://ec.europa.eu/research/participants/data/ref/h2020/call\\_ptef/ef/2016-2017/h2020-call-ef-sme-2016-17\\_en.pdf](http://ec.europa.eu/research/participants/data/ref/h2020/call_ptef/ef/2016-2017/h2020-call-ef-sme-2016-17_en.pdf)

## ❖ FAQs

- EC's FAQ: [\(link\)](#)
- EASME's FAQ: [https://ec.europa.eu/easme/sites/easme-site/files/FAQ%20for%20Applicants%20SME%20Instrument\\_Version%201%20151028.pdf](https://ec.europa.eu/easme/sites/easme-site/files/FAQ%20for%20Applicants%20SME%20Instrument_Version%201%20151028.pdf)
- FAQ for external experts: [https://ec.europa.eu/easme/sites/easme-site/files/FAQ\\_for\\_experts\\_SME%20Instrument\\_02\\_10\\_15.pdf](https://ec.europa.eu/easme/sites/easme-site/files/FAQ_for_experts_SME%20Instrument_02_10_15.pdf)