



Guidelines for referees on the assessment of grant applications

Commercialisation Project – Proof-of-Concept

Open-ended call

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About the processing of applications

The aim of the application type Commercialisation Project is to contribute to increasing commercial exploitation of publicly-funded research. The purpose of a Proof-of-Concept Project is to reduce the project's uncertainty relating to technology and the market. Upon project conclusion, the most critical questions and uncertainties have been clarified, so that the next stage of the commercialisation process can begin.

For further information, see:

- [the call for Proof-of-Concept Projects](#)
- [the Commercialisation Project webpage](#)

Applications are assessed as they are received

Applicants will be notified of the funding decision as soon as possible (normally within five to seven weeks) and no later than three months after the application was submitted. This means that more applications are individually assessed by referees via the Research Council's web solution and not all applications are assessed by a panel. This approach simplifies the referee's role and makes it less demanding and more flexible.

The processing of applications takes place in two stages

Stage 1:

- Applications are processed as they are received. Individual referee assessments are submitted via the Research Council's web solution. Referees have approximately 10 days to assess the application. Your assessment will only be shared with the applicant in anonymised form to highlight the application's strengths and weaknesses.
- If a referee has limited capacity, they may request fewer applications to assess. Please let us know if this is the case when you receive specific requests to assess applications.

Stage 2:

A mathematical average per application is determined based on the individual referee assessments. The applications are then ranked and placed in one of the following three groups:

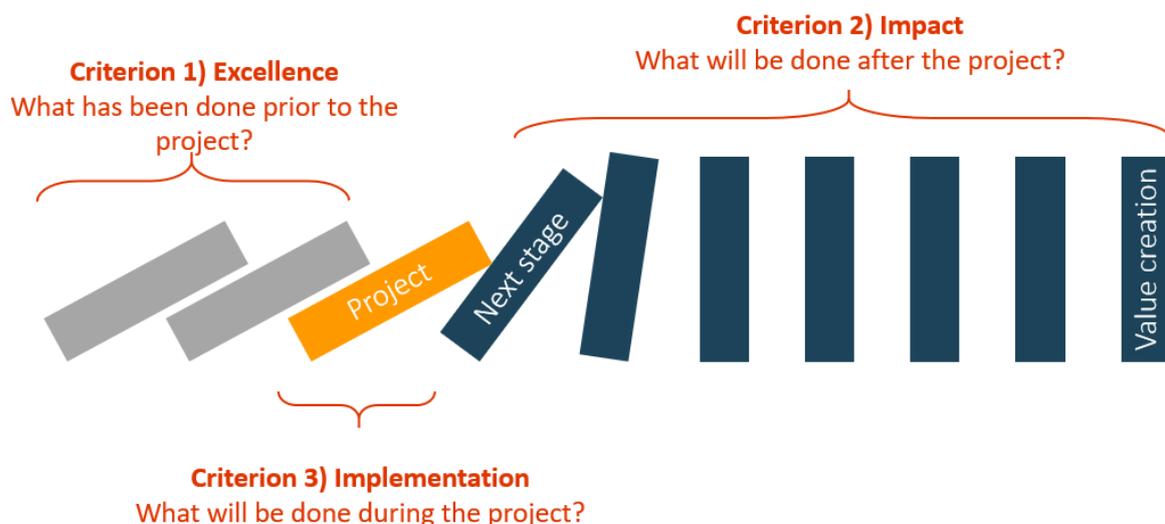
- 1) **Group 1** – Applications with a high average mark – fast-track approval, no referee panel: The referees more or less agree on the assessment of these applications, which means there is no need for a panel to arrive at a final mark.
- 2) **Group 2** – Applications with a medium average mark – referee panel: In this case, the referees' assessments are not in agreement. The applications will be further assessed during a digital panel meeting (approx. one hour) where the referees arrive at a final mark. The panel meeting will be held at the referees' convenience.
- 3) **Group 3** – Applications with a low average mark – fast-track rejection, not referee panel: The referees more or less agree on the assessment of these applications, which means there is no need for a panel to arrive at a final mark.

Guide to the assessment criteria

Applications are assessed on the basis of the application form and approved attachments seen in relation to the criteria 1) Excellence, 2) **Impact** and 3) Implementation. A mark and the grounds on which it is awarded must be given for each of the criteria. Each criterion must be assessed on the basis of the following scale of marks:

7	Exceptional	The proposal addresses all relevant aspects of the criterion exceptionally well. Shortcomings are not present, or only very minor.
6	Excellent	The proposal successfully addresses all relevant aspects of the criterion. Only minor shortcomings are present.
5	Very good	The proposal addresses the criterion very well. A small number of shortcomings are present.
4	Good	The proposal addresses the criterion well. A number of shortcomings are present.
3	Fair	Addresses parts of the criterion. The proposal broadly addresses the criterion, but there are a number of significant weaknesses.
2		
1	Weak	The criterion is inadequately addressed, or there are serious inherent weaknesses.
	Poor	The proposal fails to address the criterion or cannot be assessed due to missing or incomplete information.

The application must clearly specify what has been done previously, and what will be done during and after the project. This is reflected in the assessment criteria and can be illustrated as dominoes. Criterion 1 is an assessment of whether the project has a robust starting point. Criterion 2 is an assessment of whether this is of commercial interest and can contribute to value creation. Criterion 3 is an assessment of whether the project activities will contribute to triggering the next stage of the commercialisation process.



1) Excellence

In this section, the reasoning behind the application and any work carried out prior to the project are assessed.

- i. Research results:
 - To what extent is the underlying research base adequately described, including who is behind the research and how it originates from a publicly funded research organisation?
 - What is novel, why is the research interesting and where is the project on the TRL scale?
- ii. Degree of innovation:
 - To what extent is the need or problem to be solved in a new or better way accounted for and how does it differ from existing solutions (state-of-the-art)?

What are the potential shortcomings for this criterion?

There can be many types of shortcomings for this criterion, for example:

- inadequate description of concrete research results;
- inadequate knowledge of the state-of-the-art and the needs situation of potential customers;
- inadequate description of how the product/process/service represents significant improvements vis-à-vis the state-of-the-art;
- inadequate documentation (e.g. references to claims from potential customers).

2) Impact

In this section, the long-term plan must be assessed, in addition to the plans for what will happen after the project.

- i. Market insight and areas of application:
 - To what extent have market insight, areas of use, and the reasons why the results are commercially interesting been accounted for? To what extent does the applicant refer to dialogue with relevant actors?
 - To what extent is the competition situation identified and accounted for?
- ii. Strategy for realisation:
 - To what extent have the main aspects concerning what will happen after the project been accounted for, including any hypotheses addressing choice of strategy, challenges, risks and rights, expected income and investments and staffing needs?
- iii. Benefit to society and sustainability:
 - How well are the important societal challenges that the project seeks to solve described?

What are the potential shortcomings for this criterion?

There can be many types of shortcomings for this criterion, for example:

- lack of a realistic understanding of the market and value chain;
- inadequate description of potential customer segments and needs situation;
- inadequate realisation strategy and risk analysis;
- inadequate calculation of market sizes and income potential based on realistic assumptions;
- inadequate description of future investment and resource needs;
- Sustainable Development Goals are listed without an explanation being provided of how the project plans to help to achieve them;
- inadequate documentation (e.g. introductory dialogue with potential customers/relevant market players).

3) Implementation

In this section, the short-term plan is assessed, as well as what the project will do to trigger the next phase.

- i. Project plan:
 - To what extent does the project explain what will be done, why the activities are important, what is considered a successful outcome, and what the results will trigger?
 - To what extent does the project present a realistic implementation plan with measurable milestones and associated activities?
- ii. Management, team and expertise:
 - To what extent does the project have access to the necessary resources and expertise to implement the project?
 - To what extent does the project have a plan for involving relevant external actors (investors, partners, clients, stakeholders, mentors, public and societal actors, etc.)?
- iii. Budget:
 - To what extent are the budget and the financing plans realistic, cost-effective, and clearly rooted in the project's plans and resource needs?

What are the potential shortcomings for this criterion?

There can be many types of shortcomings for this criterion, for example:

- it is unclear what will be achieved by the end of the project/what must be obtained to trigger the next phase;
- the project plan entails little involvement by/alignment with relevant market players;
- the milestones are not measurable nor based on critical decision-making elements;
- the project team is not sufficiently dedicated or lacks critical expertise;
- the planned use of support is insufficiently cost-efficient.

Expectations of the application assessments

The Research Council of Norway conducts a thorough assessment of all applications. The assessments carried out by external referees are an essential part of the processing of applications and will be shared with the applicants in anonymous form to contribute to learning. This includes marks and comments from the individual referee assessments and the referee panel's final marks and comments for applications that move on to the panel assessment stage.

Prior to the panel assessment, if relevant, the referees will be given access to the complete individual referee assessments (not anonymised). This means that the panel referees:

- gain insight into the other referees' grounds for assessment;
- become aware of new aspects and gain insight into complementary expertise;
- will be better equipped to prepare critical questions concerning projects where there is a need to clarify any disagreements.

It is therefore important that any information that is lacking in the application is pointed out in the comments fields for the respective criteria. Each criterion should be given a mark on the basis of how well the application addresses the criterion's main question and the various sub-questions. If a poor mark is awarded due to a weakness or lack of clarity in the application, it must be explained why this is a shortcoming and how significant it is. Grounds must also be provided for good marks, with references to the content of the application. There must be a logical connection between the grounds provided, the mark and the descriptions given in the scale of marks.

Any shortcomings and ambiguities highlighted in the comments fields form the basis for:

- 1) what must be improved in a new application if the current application is rejected, or
- 2) what must be elaborated on in a revised application before the project can begin if the current application is granted funding.

The assessment process itself is meant to be of value to the applicant, regardless of whether the project is granted funding. Assessments and feedback provided by individual referees should not be considered the only correct interpretation. They are intended to give the applicant insight into what they have succeeded in communicating and how the project is perceived from a commercial and market perspective. Referees should therefore also include the following in the comments fields for the different criteria:

- proposals for critical questions that the applicants should look into in more detail;
- proposals for potential partners or mentors, and competitors they should keep an eye on;
- good advice relating to the specific market, or planned project activities.