



# Il processo di valutazione: criteri e iter

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# Adapting to Horizon 2020

- New types of call → new types of proposal
  - multi-disciplinary and multi-sectorial;
  - more emphasis on innovation and close-to-market;





# Eligibility check made by EC

- EU Commission will check your proposal for eligibility (against general eligibility criteria set out in General Annexes A and C to the work programme and specific eligibility conditions set out in the work programme for your call).

## Example:

Research & innovation actions require, for instance, a minimum of three independent legal entities established in different Member States or associated countries.

- **Specific cases:**  
 In the case of two-stage submission schemes, an eligibility check is carried out at first stage. At second stage, we will check that the eligibility conditions are still complied with.



# Evaluation of proposals

- chooses its experts
- evaluates your proposal
- establishes its ranked list



# Chooses its experts

- **How are the evaluators selected?**
  - Looking at keyword specified in your proposal.
  - High level of skill, experience and knowledge in the relevant areas (*e.g. field, project management, innovation, exploitation, dissemination and communication*);
  - Provided the above condition can be satisfied, a balance in terms of:
    - skills, experience and knowledge;
    - geographical diversity;
    - gender;
    - where appropriate, the private and public sectors, and
    - an appropriate turnover from year to year.



# Chooses its experts

- At least **three independent experts** per proposal (but can be more depending on WP).  
Exception: For the first stage in two-stage submission schemes and for low-value grants, it may be that only two experts are used.
- Additional experts appointed for **ethics review**.
- The evaluation process might be followed by one or more **independent observers**.



# Conflict of interest

## Is considered a conflict of interest exists, if an expert:

- was involved in the preparation of a proposal;
- benefits directly or indirectly if a proposal is accepted;
- has a close family or personal relationship with any person representing an applicant;
- is a director, trustee or partner or is in any way involved in the management of an applicant;
- is employed or contracted by one of the applicants or any named subcontractors;
- is a member of an advisory group set up by the Commission to advise on the preparation of EU or Euratom Horizon 2020 work programmes or work programmes in an area related to the call;
- is a National Contact Point or is directly working for the Enterprise Europe Network;
- is a member of a programme committee;
- for Marie Skłodowska-Curie actions: is acting as a referee of the applicant.



# Conflict of interest

The EU Commission decides whether a conflict of interest exists — taking account of the objective circumstances, available information and related risks — when an expert:

- was employed by one of the applicants in the last three years;
- is involved in a contract or grant agreement, grant decision, membership of management structures (e.g. member of management or advisory board etc.) or research collaboration with an applicant or a fellow researcher, or had been so in the last three years
- is in any other situation that could cast doubt on their ability to participate in the evaluation of the proposal impartially, or that could reasonably appear to do so in the eyes of an external third party.

The EU Commission will publish on the internet site at least once a year the list of experts who have assisted us together with their area of expertise.





# Evaluation of proposals

- Award criteria:
  - **Excellence**
    - Sole criterion for ERC frontier research actions
  - **Impact**
    - Higher weighting for innovation actions
  - **Quality and efficiency in the implementation**
  
- Details, weightings and thresholds are specified in WP

# Award criteria for: Research and Innovation Actions; Innovation Actions; SME instrument



***Excellence*** Clarity and pertinence of the objectives;

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Credibility of the proposed approach;

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Soundness of the concept, including trans-disciplinary considerations, where relevant;

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Extent that proposed work is ambitious, has innovation potential, and is beyond the state of the art (e.g. ground-breaking objectives, novel concepts and approaches).

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# Award criteria for: Research and Innovation Actions; Innovation Actions; SME instrument



## ***Impact***

The expected impacts listed in the work programme under the relevant topic;

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Enhancing innovation capacity and integration of new knowledge;

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Strengthening the competitiveness and growth of companies by developing innovations meeting the needs of European and global markets, and where relevant, by delivering such innovations to the markets;

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Any other environmental and socially important impacts;

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Effectiveness of the proposed measures to exploit and disseminate the project results (including management of IPR), to communicate the project, and to manage research data where relevant.

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Award criteria for:  
Research and Innovation Actions; Innovation  
Actions; SME instrument



***Quality and  
efficiency of  
implementation***

Coherence and effectiveness of the work plan, including appropriateness of the allocation of tasks and resources;

Complementarity of the participants within the consortium (when relevant);

Appropriateness of the management structures and procedures, including risk and innovation management.



## Award criteria for: Coordination & support actions

- Excellence*** Clarity and pertinence of the objectives;
- 
- Credibility of the proposed approach;
- 
- Soundness of the concept;
- 
- Quality of the proposed coordination and/or support measures.





## Award criteria for: Coordination & support actions

### ***Impact***

The expected impacts listed in the work programme under the relevant topic;

Effectiveness of the proposed measures to exploit and disseminate the project results (including management of IPR), to communicate the project, and to manage research data where relevant.





# Scoring/weights/thresholds

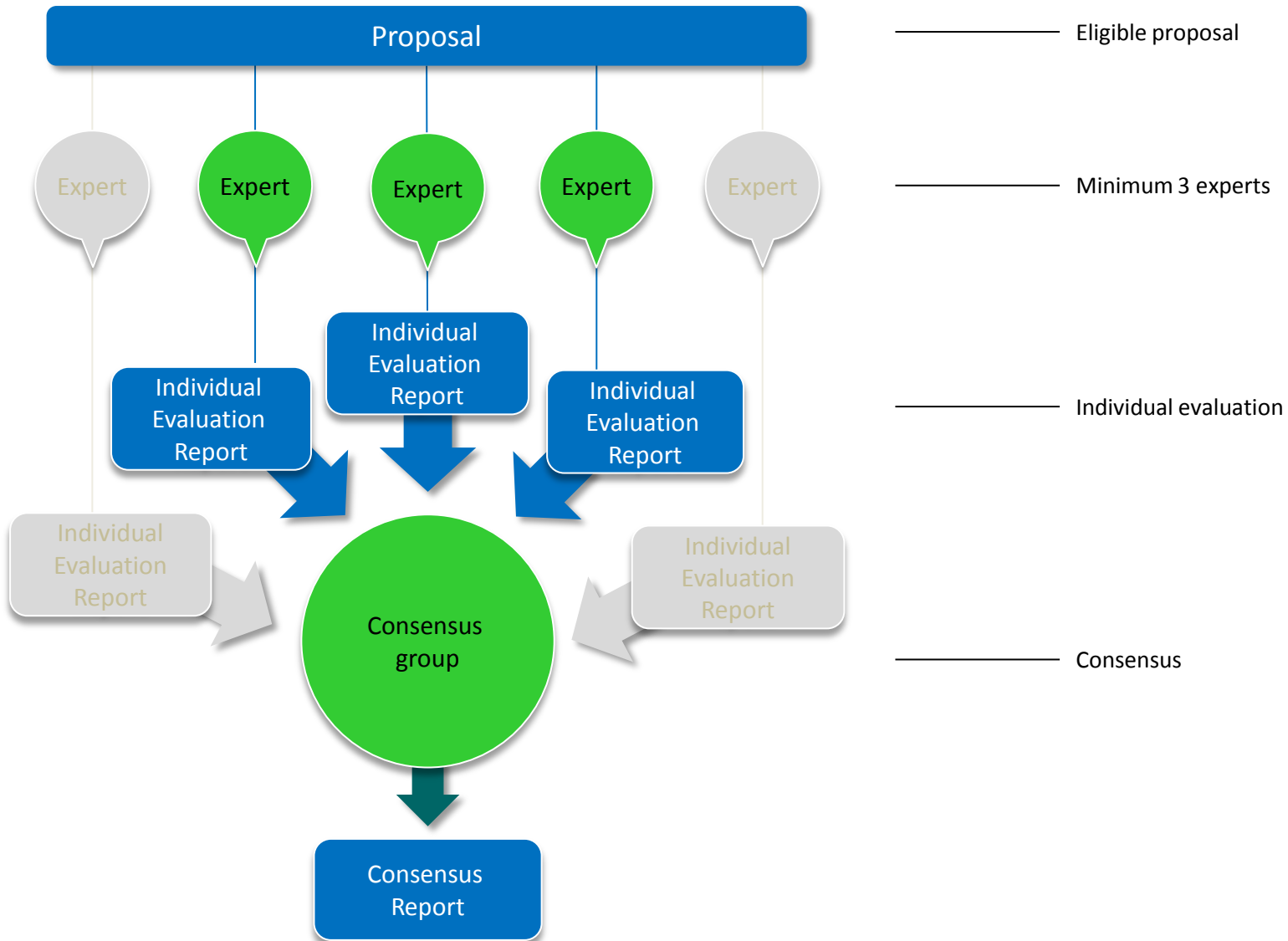
- Each criterion scored out of 5.
- Individual criterion threshold of 3.
- Proposal threshold of 10 (out of 15)
- Unlike FP7, for Innovation Actions and SME instrument...
  - impact criterion weighted by factor of 1.5
  - Impact considered first when scores equal



# evaluation process phases

- Phase 1 — Individual evaluation
- Phase 2 — Consensus group
- Phase 3 — Panel review







# Individual evaluation

Each expert carries out an evaluation and prepares an ‘**individual evaluation report (IER)**’ with comments and scores for each criterion.

They also indicate if the proposal:

- falls entirely outside the scope of the part of the call which they are evaluating or
- involves security issues that will need further scrutiny.



# Consensus group

- The individual experts then form a ‘consensus group’ to come to a common view and agree on comments and scores (produce a ‘consensus report’: **Evaluation Summary Report - ESR**).
- The group has an impartial ‘moderator’ (normally a Commission/Agency staff member), who:
  - seeks a consensus and
  - ensures that proposals are evaluated fairly, in line with the criteria and the WP.
- If a consensus group cannot reach a common view
  - the consensus report will set out both the majority view and the dissenting views.
  - An additional expert might be called to join the consensus group.



# Panel review

Finally, a panel will review all the proposals within a call, or part of a call, to:

- make sure that the different consensus groups have been **consistent** in their evaluations across the call;
- if necessary, propose a **new set of marks or comments**; and
- **resolve cases where a minority view was recorded** in the consensus report.
- It may be possible to arrange for all the consensus group experts to examine all the proposals, and carry out their final review at the same time as they prepare the consensus reports.
- As part of the panel deliberations, the Commission/Agency may organise **hearings with the applicants**.



# Panel review

The ‘**panel report**’ includes:

- the ‘**evaluation summary report (ESR)**’ for each proposal (based on the consensus report, including comments and scores, and taking into account the panel’s deliberations and any new scores or comments considered necessary),
- explanations and a list of proposals passing all thresholds, with their final score, (‘**panel ranked list**’)
- where necessary, the panel’s recommendations for priority order in the event of equal scores, using the procedure set out in the work programme.



# Priority of proposals with equal score

- For each group of tied proposals
  - First consider those that "**fill gaps**" in the WP
  - Of those, look at score for '**excellence**', then at score for '**impact**' (*reverse for Innovation actions & SME instrument*)
  - If still equal, look at **SME** budget
  - If still equal look at **gender** balance in key personnel
  - If still equal, consider other factors (overall portfolio, wider H2020, EU objectives etc)
  - Then repeat for those that don't "fill gaps"



# Process to grant and signature of GA

- Time to Grant 8 months (Exceptions: ERC, complex actions, requested by applicants)
  - 5 months for informing applicants on outcome of scientific evaluation
  - 3 months for signature of GA = grant finalisation process
- More multi-step (stopping evaluation when threshold failed)
- Proposals strictly evaluated on their own merit – No more recommendations for substantial changes
- no changes of the composition of the consortium before signature of the grant agreement (removal or substitution needs to be duly justified)



## Ethics pre-screening and ethics review

- In parallel to the evaluation, EC will check if your proposal complies with ethical principles and relevant legislation.
- Although the main focus is on the **ethical dimension** (e.g. ethics, human rights and protection of human beings, animal protection and welfare, data protection and privacy, environmental protection, malevolent use of research results), EC may also look at '**research integrity**' issues (e.g. fabrication, falsification or plagiarism, including misrepresenting credentials and authorshipimproprieties).





## Ethics pre-screening and ethics review

The ethics review has two stages:

- Stage 1 — **Ethics screening:** pre-screening based your ‘ethics self-assessment’ whether ‘ethical issues’ are raised and, in case, adequately handled.
- Stage 2 — **Ethics assessment:** for proposals raising serious ethical issues a more detailed analysis is made  
 (e.g. severe intervention on humans, lack of appropriate ethics framework in the country where the research will be conducted, etc.)



# Specific cases: 2-stage submission

## 1<sup>st</sup> step:

- ‘Short outline proposal’: 15 pp.  
 (invited to submit the ‘full proposal’ for 2<sup>nd</sup> stage if succeeding 1st-stage evaluation).
- Evaluated: **Excellence** and first part of **Impact** (paragraph 2.1)
- 2-3 expert **evaluating remotely**  
 (mathematical average of scores; no consensus report/qualitative discussion)
- List of partners to be inserted, but resources not evaluated, nor “consortium as a whole”.

## 2<sup>nd</sup> step:

- Full proposal, full evaluation (individual and consensus evaluations)
- The full proposal must be consistent with the short outline proposal and cannot differ substantially.
- Experts might be different from those of 1<sup>st</sup> step.



# Useful link

- Grant Manual – Section on: proposal submission and evaluation
  - [http://ec.europa.eu/research/participants/data/ref/h2020/grants\\_manual/pse/h2020-guide-pse\\_en.pdf](http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/pse/h2020-guide-pse_en.pdf)