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Il processo di valutazione dei progetti europei e il corretto approccio ai valutatori

Ciro Franco

Capo Ufficio Promozione e servizi di supporto per le iniziative di ricerca

Sessione di formazione trasversale per i dottorandi

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Il punto di partenza: fattori chiave nella progettazione europea



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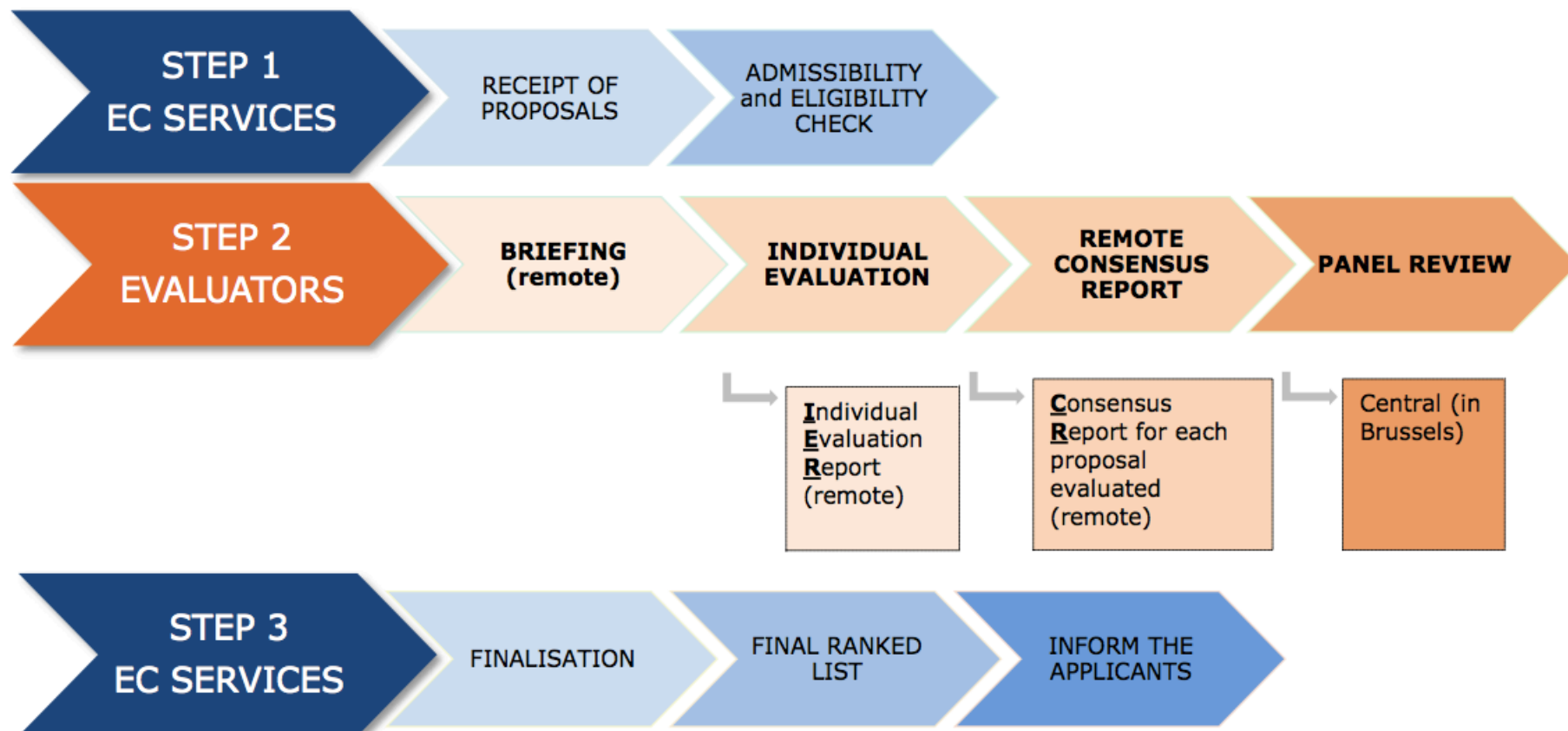
- **Allineamento agli obiettivi dell'Unione Europea e focalizzazione sull'impatto atteso**
- **Approfondita conoscenza dei criteri e delle logiche del processo di valutazione**
- **Interdisciplinarietà e necessaria integrazione tra diverse competenze**



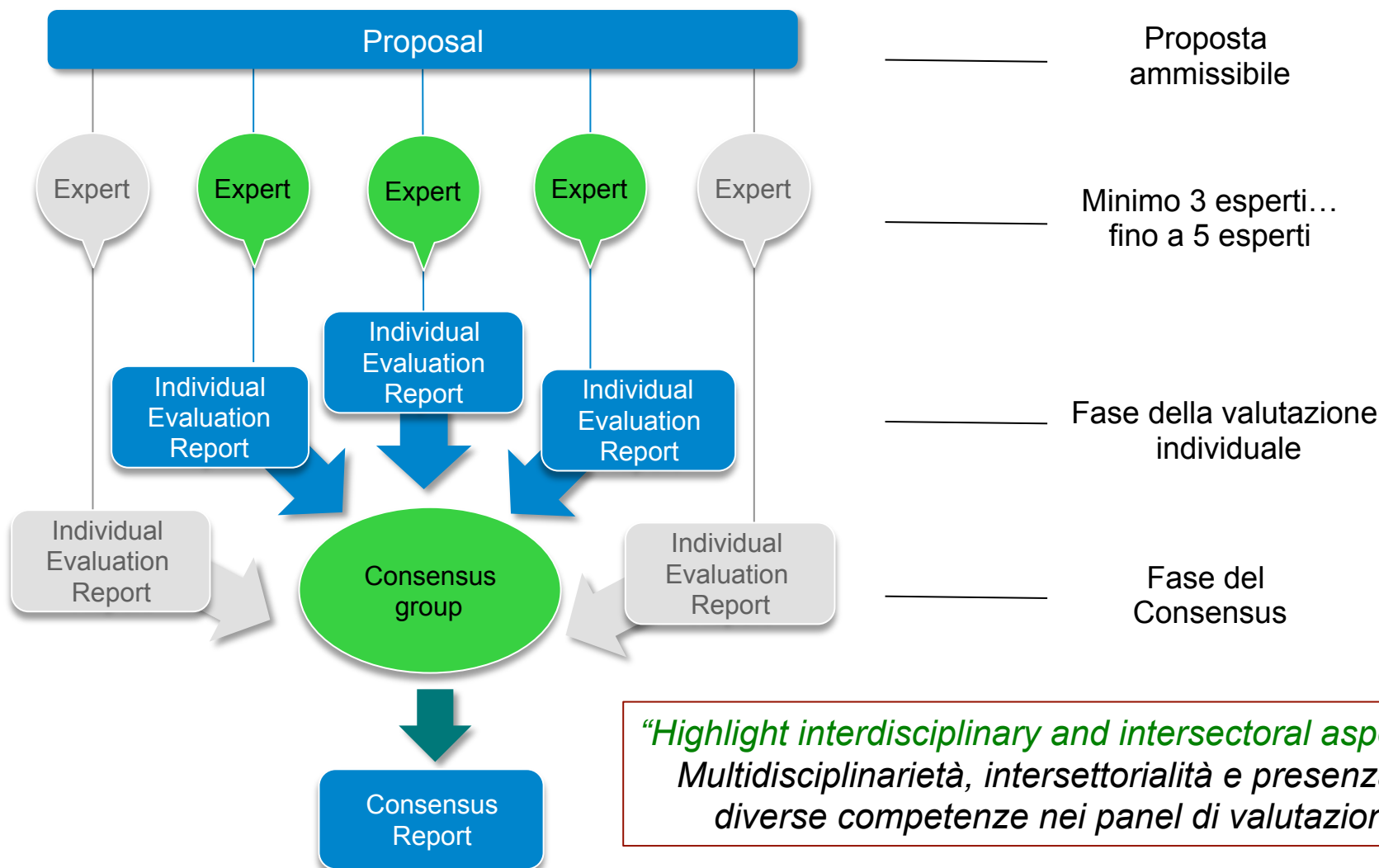
Il workflow del processo di valutazione



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I ruoli nel processo di valutazione



I fondamentali principi della valutazione europea

**Dal punto di
vista del
proponente**



**CAPACITA' DI
COMUNICARE**

Objectivity

- Each proposal has to be evaluated only on the basis of the text of the proposal



Accuracy

- The only references of the evaluation are represented by the criteria set by the EU



**ALLINEAMENTO
ALLE REGOLE**

I diversi focus della valutazione nei due approcci progettuali di Horizon 2020



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Top-down

- ✓ **Pertinenza e allineamento al topic**
- ✓ **Particolare attenzione agli impatti attesi dal topic e descritti nel WP**
- ✓ **Misurabilità degli impatti specifici previsti**

Bottom-up

- ✓ **Organizzazione in diversi panel scientifici di valutazione**
- ✓ **Strategicità nella scelta del Panel di valutazione**
- ✓ **Creatività e originalità nella scelta del topic della ricerca**

I criteri di valutazione in Horizon 2020



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Excellence

- Clarity and pertinence of the objectives;
- Soundness of the concept and credibility of the proposed methodology;
- Extent that the proposed work is beyond the state of the art, and demonstrates innovation potential (e.g. ground-breaking objectives, novel concepts and approaches, new products, services or business and organisational models)
- Appropriate consideration of interdisciplinary approaches and, where relevant, use of stakeholder knowledge.

Impact

- Extent to which the outputs of the project would contribute to each of the expected impacts mentioned in the work programme under the relevant topic;
- Any substantial impacts not mentioned in the work programme, that would enhance innovation capacity, create new market opportunities, strengthen competitiveness and growth of companies, address issues related to climate change or the environment, or bring other important benefits for society;
- Quality of the proposed measures to:
 - Exploit and disseminate the project results (including management of IPR), and to manage research data where relevant.
 - Communicate the project activities to different target audiences.

Implementation

- Quality and effectiveness of the work plan, including extent to which the resources assigned to work packages are in line with their objectives and deliverables;
- Appropriateness of the management structures and procedures, including risk and innovation management;
- Complementarity of the participants and extent to which the consortium as whole brings together the necessary expertise;
- Appropriateness of the allocation of tasks, ensuring that all participants have a valid role and adequate resources in the project to fulfil that role.

Punteggi e commenti

Excellent. The proposal successfully addresses all relevant aspects of the criterion. Any shortcomings are minor.

Very Good. The proposal addresses the criterion very well, but a small number of shortcomings are present.

Good. The proposal addresses the criterion well, but a number of shortcomings are present.

Fair. The proposal broadly addresses the criterion, but there are significant weaknesses.

Poor. The criterion is inadequately addressed, or there are serious inherent weaknesses.

The proposal **fails** to address the criterion or cannot be assessed due to missing or incomplete information.

5

Excellent

4

4.9
↑
↓
4.0

Very Good

3

3.9
↑
↓
3.0

Good

2

2.9
↑
↓
2.0

Fair

1

1.9
↑
↓
1.0

Poor

0

Il punto di partenza del proponente: comprendere il punto di vista del valutatore



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When is a proposal good? When it facilitates the readability by the evaluator

Evaluators do really not like verbosity, unclear language, bad layout, meaningless illustrations, small print, platitudes

A proposal is not a scientific paper

The first two pages are critically important – if you lose the evaluators' attention there, you are lost!

Il tempo come risorsa

I **valutatori** lavorano sotto pressione:

- devono leggere molti documenti, complessi, di qualità molto variabile, in breve tempo
- in una lingua spesso diversa dalla propria
- riguardanti temi non necessariamente ben noti

I **proponenti** devono facilitare il lavoro dei valutatori (**semplicità e attenzione al linguaggio**):

- dare una struttura semplice ma omogenea alla proposta
- evidenziare punti importanti
- evitare assolutamente affermazioni gratuite, ripetizioni di parti dei documenti della Commissione, autocelebrazioni, ovvietà
- evidenziare in modo immediato cosa si intende fare, quale è lo scopo?

Il punto di vista del proponente... non coincidente con quello del ricercatore



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Pubblicazione accademica

Researcher centred
Passione accademica

Past Oriented
Focus su lavoro già svolto

Expository
Finalità illustrativa

Impersonal
Neutrale

Verbosity rewarded
No limiti di pagine

Specific Terminology
Gergo scientifico/molto specifico

VS

Proposta progettuale

Sponsor centred
Orientato al servizio

Future Oriented
Lavoro che si intende svolgere

Persuasive
“vendere” un’idea al lettore

Personal
Trasmettere entusiasmo

Brevity rewarded
Limite di lunghezza

Specific Terminology
Audience ampia

**Comprendere
contesto e
regole**

**Impostare
un chiaro
piano di
lavoro**

**Usare il
linguaggio
corretto**

Excellence

- Clarity and pertinence of the objectives;
- Soundness of the concept and credibility of the proposed methodology;
- Extent that the proposed work is beyond the state of the art, and demonstrates innovation potential (e.g. ground-breaking objectives, novel concepts and approaches, new products, services or business and organisational models)
- Appropriate consideration of interdisciplinary approaches and, where relevant, use of stakeholder knowledge.

- Utilizzare una **struttura chiara, tabelle, figure**, riferimenti appropriati
- Concentrarsi sulle **PAROLE CHIAVE** utilizzate nel testo della call
- Non focalizzarsi solo sul contesto della propria specifica disciplina, ma **richiamare documenti e iniziative di riferimento** a livello europeo e internazionale (regolamenti, documenti, progetti già finanziati)
- Essere **multidisciplinari**: considerare diversi aspetti dello stesso problema e coinvolgere diverse competenze
- **Innovazione** in tutti gli aspetti del progetto

Impact

- Extent to which the outputs of the project would contribute to each of the expected impacts mentioned in the work programme under the relevant topic;
- Any substantial impacts not mentioned in the work programme, that would enhance innovation capacity, create new market opportunities, strengthen competitiveness and growth of companies, address issues related to climate change or the environment, or bring other important benefits for society;
- Quality of the proposed measures to:
 - Exploit and disseminate the project results (including management of IPR), and to manage research data where relevant.
 - Communicate the project activities to different target audiences.

- Iniziare dai principali **impatti menzionati nel testo della call**, fare chiaro riferimento al testo
- Considerare **tutti i tipi di potenziale impatto** (scientifici, economici, sociali, ambientali, politici, etc.)
- Descrivere le **misure per massimizzare** gli impatti
- Fornire **indicatori chiari** di misurazione
- Disseminazione scientifica
- Sfruttamento dei risultati
- **Comunicazione**: *who needs to know? Which channel and scale?*

Implementazione

Implementation

- Quality and effectiveness of the work plan, including extent to which the resources assigned to work packages are in line with their objectives and deliverables;
- Appropriateness of the management structures and procedures, including risk and innovation management;
- Complementarity of the participants and extent to which the consortium as whole brings together the necessary expertise;
- Appropriateness of the allocation of tasks, ensuring that all participants have a valid role and adequate resources in the project to fulfil that role.

- Focus su **coerenza** tra risorse disponibili e attività previste (fattibilità)
- Attenzione agli **aspetti organizzativi**
- Chiara ed equilibrata **struttura di governance del consortium**
- Attenzione ai **meccanismi decisionali** e al consensus building
- **Risk management**: individuazione di specifici rischi e di relative azioni di mitigazione/possibili soluzioni

Allineamento alle procedure nazionali di valutazione a criteri e schemi europei



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PRIN

1. **Qualità del progetto di ricerca:** merito scientifico e natura innovativa del progetto da un punto di vista internazionale
2. **Composizione del gruppo di ricerca, fattibilità e congruità del progetto:** capacità di realizzare il progetto proposto (qualificazione, composizione e complementarietà dei membri della compagine proposta)
3. **Impatto del progetto:** contributo alla soluzione di problemi sociali

Bando di Ateneo – Progetti H2020

Per stimolare la partecipazione ai progetti europei

*Finanziamenti **riservati a gruppi di ricerca che abbiano presentato progetti collaborativi** come Sapienza nell'ambito di Horizon 2020 che siano stati oggetto di **positiva valutazione**, **ma non siano stati ammessi al finanziamento***

Cross-cutting issues are fully integrated in the Work Programme:

- **Social Sciences and Humanities (SSH):** are integrated across all Horizon 2020 activities to successfully address European challenges
- **Gender dimension:** in the content of R&I, it addresses the relevance of sex/gender analysis is flagged in some topics
- **International cooperation:** the new strategic approach consists of a general opening of the WP and targeted activities across all relevant Horizon 2020 parts
- **Open Innovation:** to introduce more actors in the innovation process, so that knowledge can circulate more freely, and be transformed into products and services that create new markets, fostering a stronger culture of entrepreneurship



Integration of **Social Sciences** and **Humanities** in Horizon 2020: Participants, Budget and Disciplines

4th Monitoring report on SSH flagged projects
funded in 2017 under the Societal Challenges
and Industrial Leadership priorities

Cosa si aspettano i valutatori da una proposta?

Credibility

- Convincing and feasible idea

Communication

- Clear description of all the project tasks
- Make the proposal readable
- Straight message to the evaluators

Concreteness

- Specific concepts (not generic statements)
- Who will do what, when and how

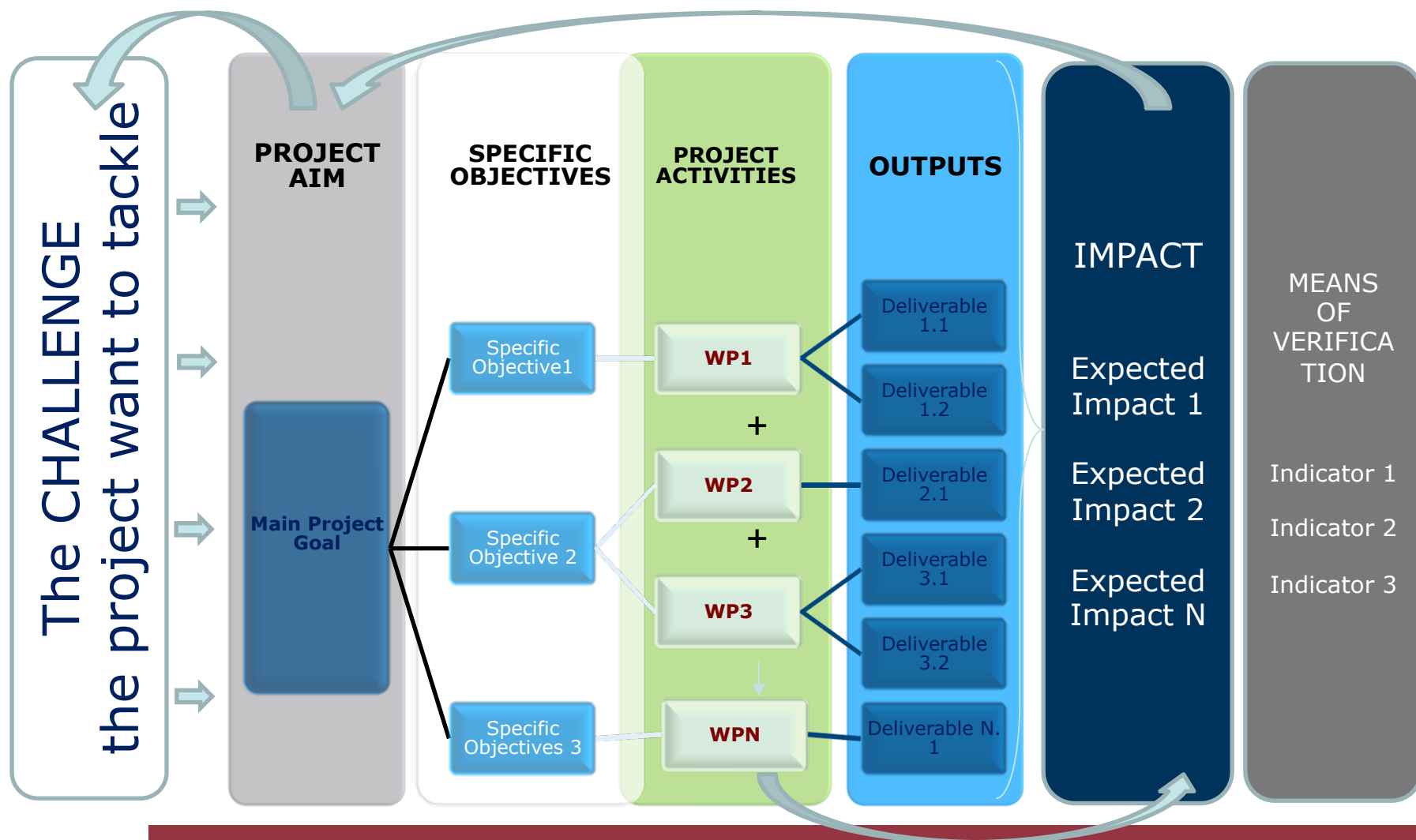
Consistency

- High quality text (proof read)

La coerenza nella logica della proposta



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***I principali punti di attenzione e le più
ricorrenti criticità nei giudizi dei valutatori***

EXCELLENCE - Weaknesses

- The state-of-the-art of the research topic is very generic and the **contribution that the project is expected to make to advance the state-of-the-art** within the field is not carefully prepared
- **The choice of the partner institutions** included in the research is not well justified
- The proposal does not provide **neither specific goals nor clear, well defined or measurable target outcomes**
- The **methodology is not presented in detail** especially with regard to the method to be used to progress towards the achievement of the research goals. The proposal plans **multiple analyses**, but it is not made clear how these will be linked together
- **Interdisciplinary and innovative aspects** of the proposed research are not sufficiently presented

IMPACT - Weaknesses

- The plans related to activities to reach non-specialist and non-scientific audiences are not satisfactorily presented and their **benefits to society not clearly explained**
- Outreach activities are considered but are addressed in an insufficient way. In general, the expected impact of the proposed communication measures has been given little attention. **Insufficiently detailed information is provided about the non-academic audiences to be addressed** and the concrete measures to address them
- The issues of **dissemination and communication are overlapping** in the proposal

IMPLEMENTATION - Weaknesses

- **The deliverables and milestones are not defined with sufficient specificity**
- **There is not a clear chronogram by tasks**
- **The details of the work packages are not sufficiently explained. So the feasibility of WPs is not demonstrated**
- **The quality of the proposed interaction between the participating organisations is insufficiently demonstrated**

Consigli finali per il proponente



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Cambiare la prospettiva

- Your proposal must be written in order **to solve European problems** identified in EU policies (never give the impression that you are writing a project because trying to get funding!)

Aspetti psicologici

- Do not assume that all three evaluators are hardcore experts in the specific scientific field
- **Do not annoy the evaluator** with technicalities but let's try to accompany him/her throughout the proposal contents
- **Do not use incomprehensible acronyms**: the acronym should refer to the basic concept of the project

La strategia

- Get prepared well in advance (**long-term strategy**)
- **Involve in the drafting of the proposal BOTH the scientific and administrative staff** (well balanced activities ARE a MUST)
- Ask to an external (not involved in the project) to read the proposal (**proof reading**)
- It is strongly suggested **to read carefully the results of the evaluations (ESR)**



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Ciro Franco
***Capo Ufficio Promozione e Servizi di Supporto
per le Iniziative di Ricerca***

Sapienza Università di Roma

Piazzale Aldo Moro, 5

www.uniroma1.it

ciro.franco@uniroma1.it

Tel. 0039 06 4969 0259