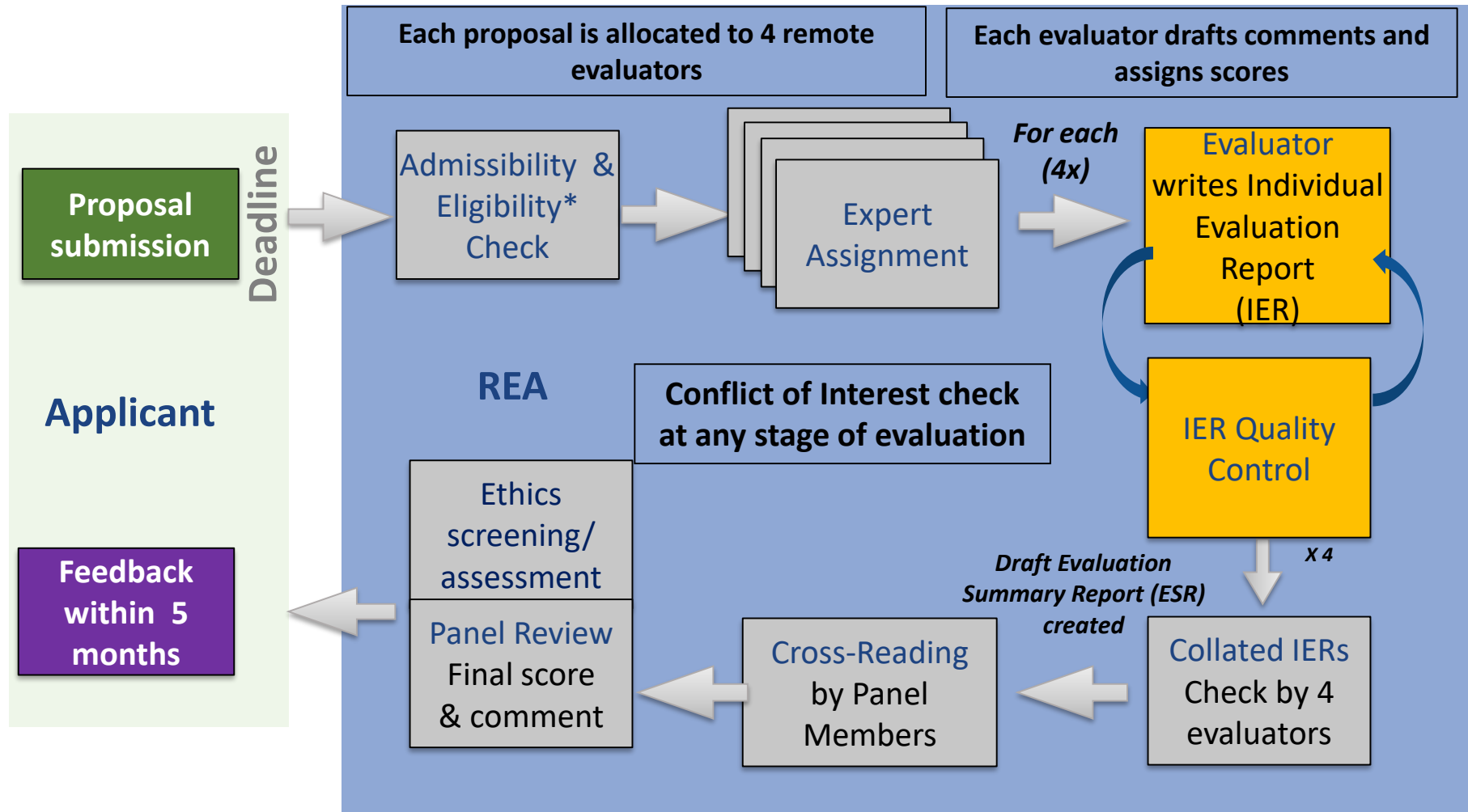


WEBINAR “EUROPEAN INNOVATION COUNCIL - EIC: OPPORTUNITÀ DI FINANZIAMENTO PER LA RICERCA INNOVATIVA”

TESTIMONIANZA DI VALUTAZIONE PROGETTI IN AMBITO FET HORIZON 2020

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NB: le slide seguenti sono estrapolate dal Web-Briefing for Remote Evaluators del FET-Open 2018-2020



*out-of-scope can be declared at further stages

Conflicts of interest (COI) (I)

COI rules are in Annex 1 Code of Conduct of the expert contract

You have a COI if you:

- were involved in the preparation of the proposal (including pre-proposal checks/'mock' evaluations)
- stand to benefit directly/indirectly, if the proposal is successful or fails
- have a close family/personal relationship with any person representing an applicant legal entity
- are a director/trustee/partner of an applicant or involved in the management of an applicant's organisation
- are employed or contracted by an applicant or a named subcontractor
- are a member of an Advisory Group or Programme Committee in an area related to the call in question
- are a National Contact Point or are directly working for the Enterprise Europe Network

FET-Open: Scope

Proposals are sought for cutting-edge high-risk / high-impact interdisciplinary research with ALL of the following essential characteristics so-called "**FET gatekeepers**":

- **Radical vision:** the project must address a clear and radical vision, enabled by a new technology concept that challenges current paradigms. In particular, research to advance on the roadmap of a well-established technological paradigm, even if high-risk, will not be funded.
- **Breakthrough technological target:** the project must target a novel and ambitious science-to-technology breakthrough as a first proof of concept for its vision. In particular, blue-sky exploratory research without a clear technological objective will not be funded.
- **Ambitious interdisciplinary research:** for achieving the technological breakthrough and that opens up new areas of investigation. In particular, projects with only low-risk incremental research, even if interdisciplinary, will not be funded.

Eligibility

Rules for Participation Regulation No. 1290/2013

A proposal will only be considered eligible if:

1. Its content corresponds, wholly or in part, to the topic description for which it is submitted (so called *in-scope*, contrary to *out-of-scope*)



Proposals not satisfying all FET gatekeepers will be considered *out-of-scope*

2. At least three legal entities are present in the consortium. The following applies:

- Each of the three must be established in a different EU Member State (MS) or Horizon 2020 associated country (AC);
- All three legal entities must be independent of each other.

Evaluation criteria, Scoring and Thresholds

Excellence	Impact	Quality and efficiency of the implementation
<p>Adherence to the "FET gatekeepers" as described in the call text:</p> <ul style="list-style-type: none"> • Clarity of the radical vision of a science-enabled technology and its differentiation from current paradigms. • Novelty and ambition of the proposed science-to-technology breakthrough that addresses this vision. • Range of and added value from interdisciplinarity for opening up new areas of research; non-incrementality of the research proposed. • High-risk, plausibility and flexibility of the research approach. 	<ul style="list-style-type: none"> • The extent to which the outputs of the project would contribute to the expected impacts listed in the work programme under this topic. • Effectiveness of measures and plans to disseminate and use the results (including management of IPR) and to communicate about the project to different target audiences. 	<p>The following aspects are taken into account:</p> <ul style="list-style-type: none"> • Coherence and effectiveness of the research methodology and work plan to achieve project objectives and impacts, including adequate allocation of resources to tasks and partners. • Role and complementarity of the participants and extent to which the consortium as a whole brings together the necessary expertise.
<p><u>Threshold: 4/5</u> <u>Weight: 60%</u></p>	<p><u>Threshold: 3.5/5</u> <u>Weight: 20%</u></p>	<p><u>Threshold: 3/5</u> <u>Weight: 20%</u></p>

Expected Impact

- Scientific and technological contributions to the foundation of a new future technology
- Potential for future social or economic impact or market creation
- Building leading research and innovation capacity across Europe by involvement of **key actors** that can make a difference in the future, **for example** excellent young researchers, ambitious high-tech SMEs or first-time participants to FET under Horizon 2020

(evaluated under the Impact criterion)

First-time participants to FET under Horizon 2020 are individuals not their institutions or organizations

Source: Future and Emerging Technologies Work Programme

Interpretation of the scores

Scores must be in the range 0-5. Half marks may be given. When an evaluator identifies significant shortcomings, he or she must reflect this by awarding a lower score for the criterion concerned.

- 0 The **proposal fails to address the criterion** or cannot be assessed due to missing or incomplete information.
- 1 **Poor.** The criterion is inadequately addressed, or there are serious inherent weaknesses.
- 2 **Fair.** The proposal broadly addresses the criterion, but there are significant weaknesses.
- 3 **Good.** The proposal addresses the criterion well, but a number of shortcomings are present.
- 4 **Very Good.** The proposal addresses the criterion very well, but a small number of shortcomings are present.
- 5 **Excellent.** The proposal successfully addresses all relevant aspects of the criterion. Any shortcomings are minor.

Proposal composition

- Part A: Administrative part of the proposal
- Part B: Scientific narrative part of the proposal (research core proposal)
 - **Section 1: Excellence**
 - **Section 2: Impact**
 - **Section 3: Quality and efficiency of the implementation**
 - Section 4: Members of the consortium
 - Section 5: Ethics and security

Guiding principles

Independence

- You are evaluating in a personal capacity
- You represent neither your employer, nor your country!

Impartiality

- You must treat all proposals equally and evaluate them impartially on the basis of their merits, irrespective of their origin or the identity of the applicants

Objectivity

- You evaluate each proposal as submitted; meaning on its own merit, not its potential if certain changes were to be made

Accuracy

- You make your judgment against the official evaluation criteria and the call or topic the proposal addresses, and nothing else

Consistency

- You apply the same standard of judgment to all proposals

Remote Evaluator's (RE) tasks

- RE evaluates each proposal as submitted, not on its potential if changes were to be made
- If RE identifies shortcomings/weaknesses, these must be reflected in a lower score
- RE comments on the identified issues, but cannot make recommendations
- Proposals with weaknesses that prevent the project from achieving its objectives should not receive above-threshold scores (should stay below threshold for a given criterion)
- To complete the RE task you have to sign-in and submit the Individual Evaluation Report (IER) in the electronic system (**FUNDING & TENDER OPPORTUNITIES PORTAL**)
- To implement the QC comments please respond **within 2 days** to the specific QC comments by modifying accordingly your IER and re-submitting it.

Individual Evaluation Report (IER)

- Quality of IER is PARAMOUNT!
 - IERs remain unchanged and are collated all together (ESR) and sent to the applicants with possible additional comments by the panel review
 - Quality is ensured by the fairness of the assessment, completeness and full compliance of the comments with corresponding FET-Open evaluation criteria/sub-criteria
- **Scope of IER is to give:**
 - **Clear assessment of the proposal based solely on its merits**
 - **Clear feedback on the proposal's strengths and weaknesses**

Consistency between IER comments and scores

- You should ensure that your scores (per criterion) are consistent with the corresponding comments (per criterion including all different sub-criteria) using the scale provided.
- You will not be suggested a score that should be given (it is your task as evaluator), but you will be informed that the proposed score may not correspond to the provided comments (for a given criterion); you will be further invited to revisit your score or your comments.
- It is of paramount importance that you are properly using the range of scores (the whole range of scores from 0 to 5 with step of 0.5 should be used); scores must be above thresholds if a proposal is to be considered for funding.

Some typical problems, requiring the intervention from the VC-QC (I)

- Comments starting with a summary of the proposal
- Particular part of a sub-criterion not addressed at all
- Comments for one (sub-)criterion entered under another (sub-)criterion
- Score for a given criterion not aligned with the corresponding comments
- Comments clearly too short or too long
- Emotional or personal statements (such as '*I believe/I feel*' etc) or any form derogative/abusive language
- Hypothetical / conditional statements when expressing your judgment (such as '*seems/would/could*' etc)
- Too generic comments. Always substantiate your judgement by referring specifically to the content of the proposal
- Categorical comments when referring to factual data of the proposal – "there is no description of...", "there is complete lack of..."

Some typical problems, requiring the intervention from the VC-QC (II)

- Comments with examples of research already being conducted elsewhere (followed by citations)
- Suggestions for improvement of the proposal
- Please avoid using speculative expressions such as “seems to be” and “is difficult to see” – please rephrase
- Please remove any names of research investigators (such as Professors, researchers, etc.)
- Please refrain from any reference to specific locations and specific numbers (such as number of SMEs present in the proposal, aggregate number of work packages) to avoid the possibility of factual errors

Remember : please always substantiate your judgment/statement by referring specifically to the content of the proposal

**Please read carefully the provided analytical
HAND-OUT for Remote Evaluators
that includes specific examples**

IER modifications in practice

The VC-QC comments can be seen in SEP, on the left side of the IER's screen (please, press on 'Expand comments')

The screenshot shows a task details panel on the left and a list of criteria on the right. The task details panel includes:

- Panel: CLUSTER-D
- Call: H2020-FETOPEN-1-2016-2017-RIA_11-05-2016
- Deadline: 15 July 2016 23:59
- Task Status: Finished
- Task Owner: [Redacted]

Below the task details is the 'Task Comments' section. It features a button labeled 'Expand comments -' with a red arrow pointing to it. Below the button, it says 'Last 4 of 5 comments' (highlighted in yellow). The first comment is from Adelina NICOLAIE (28/Jun 17:02) and reads: '2.1 Please delete the final sentence, you should not provide marks for individual subcriteria, 2.2 Please delete the final sentence, you should'.

On the right side of the screen, there is a list of criteria with expandable sections:

- + Criteri
- Current sc
- + Criteri
- Current sc
- + Scope
- Current st:
- + Operat
- Current st:
- + Except
- + Use of

Figure 1: The comments in SEP for the quality control: while the repository is keeping all the comments from the beginning of the work, the left side window displays only the latest 4 comments.

Diverging opinion exercise

In case one Remote Evaluator has a **different (positive or negative)** opinion which substantially differs from the assessment of the other three evaluators, (reflected in a substantial score difference), the Call Coordinator will give to this Remote Evaluator the option to provide further information and references, in support to her/his opinion on respective criterion/criteria.

This is an optional task for the Remote Evaluator and the scores and comments provided already in the IER will not be modified.

The respective Remote Evaluator may also be asked about her/his availability during the Review Panel week, in case the Panel considers helpful to contact her/him for specific questions via a phone call or a videoconference.

Feedback to applicants Evaluation Summary Report (ESR)

- Collation of all individual comments, per sub-criterion, from all 4 Individual Evaluation Reports (IER) – may be mutually contradicting (no consensus): full transparency
- Consensus score of the proposal, per criterion, is calculated as a median of all individual scores from IERs
- Final score, per criterion, is decided by the final Panel Review and the proposal total score is calculated as a weighted sum of scores from all 3 criteria
- Final Panel Review adds also some additional comments, possibly including the advice not to resubmit the proposal