

GTN

Groupe Thématique National



Transport

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MINISTÈRE
DE L'ÉDUCATION NATIONALE,
DE L'ENSEIGNEMENT SUPÉRIEUR
ET DE LA RECHERCHE



Ministère
de l'Écologie,
du Développement
durable
et de l'Énergie



MINISTÈRE DE L'ÉCONOMIE
DE L'INDUSTRIE ET DE L'ÉNERGIE



Témoignage d'un expert évaluateur de propositions des défis 3 Energie et 4 Transport

Experts évaluateurs

Publication par la Coordination des Points de contact nationaux du MENESR d'une brochure intitulée:

« Devenir expert évaluateur »

Réponse à trois questions principales:

- pourquoi devenir expert ?
- qui peut être expert ?
- en quoi consiste le travail d'évaluation ?

http://cache.media.education.gouv.fr/file/2016/33/1/H2020-expert_525331.pdf

Expert évaluateur dans le cadre des AAP de H2020

Retour d'expérience

New types of calls and proposals



- **Calls are challenge-based, and therefore more open to innovative proposals**
 - Calls are less prescriptive - they do not outline the expected solutions to the problem, nor the approach to be taken to solve it
 - Calls/topics descriptions allow plenty of scope for applicants to propose innovative solutions of their own choice
- **There is a greater emphasis on impact, in particular through each call or topic impact statements**
 - Applicants are asked to explain how their work will contribute to bringing about the described impacts
 - During the evaluation, experts are asked to assess this potential contribution
- **There is more emphasis on innovation**
 - Horizon 2020 supports all stages in the research and innovation chain including non-technological and social innovation and activities closer to the market
- **Proposals may be both inter-disciplinary and cross-sectoral in nature to tackle specific challenges**

More emphasis on innovation*



- **Substantial support to activities** such as prototyping and testing, demonstrating and piloting, first market replication - establishing technical and economic viability in (near) operational environments
- **Significant support to demand side approaches** innovation procurement (pre-commercial procurement and public procurement of innovative solutions), standard-setting, inducement prices...
- **Piloting new forms and sources of innovation** extending beyond technological and research-based innovation
- **Leveraging and boosting engagement of industry** Public Private Partnerships, SME measures, Debt and Equity Instruments...
- **For the evaluation of a proposal, need to take into account innovation activities in the targeted innovation actions as well as in research and innovation actions**

Cross-cutting issues



- **Cross-cutting issues are fully integrated in the work programme (WP):**
 - **Social Sciences and Humanities (SSH)** is integrated across all Horizon 2020 activities to successfully address European challenges
 - **Gender dimension in the content of R&I** - a standard question on relevance of sex/gender analysis is included in proposal templates
 - **The new strategic approach to international cooperation** consists of a general opening of the WP and targeted activities across all relevant Horizon 2020 parts
 - The approach to providing 'automatic funding' to third country participants is restricted – see [list of countries](#)
 - you should check requests for 'exceptional funding'
 - **Other cross-cutting issues** such as science education, open access to scientific publications, ethics, standardisation ... may also be included in the WP
- **When you evaluate a proposal, you need to take into account cross-cutting issues if explicitly mentioned under the scope of the topic**
 - A successful proposal is expected to include these elements, or convincingly explain why not relevant in a particular case

Integration of SSH in Horizon 2020

- **Social sciences and humanities (SSH) are given an enhanced role as a cross-cutting issue across Horizon 2020**
- **SSH disciplines are invited to address complex societal challenges, which is why contributions from the SSH will often appear in interdisciplinary and multidisciplinary contexts**
- **Topics that explicitly take into account the social, economic, behavioural, institutional, historical and/or cultural dimensions of a societal challenge are flagged as SSH-relevant**
- **If your assigned proposals belong to an SSH-relevant topic, you should explicitly identify and evaluate contributions from the SSH in these proposals**

Impact of grant preparation on evaluation



- **No grant negotiation phase!**
 - The time from submission of a proposal, evaluation and signature of the grant has been reduced to a maximum of 8 months (max. 5 months for evaluation + max. 3 months for grant signature)
- **What does this mean for the evaluation of proposal?**
 - You evaluate each proposal as submitted not on its potential if certain changes were to be made
 - If you identify shortcomings (other than minor ones and obvious clerical errors), you must reflect those in a lower score for the relevant criterion
 - You explain the shortcomings, but do not make recommendations i.e. do not suggest additional partners, additional work packages, resources cut...
 - Proposals with significant weaknesses that prevent the project from achieving its objectives or with resources being seriously over-estimated must not receive above-threshold scores
 - Any proposal with scores above the thresholds and for which there is sufficient budget will be selected as submitted

Role of independent experts

- **As independent experts you evaluate proposals submitted in response to a given call**
- **You are responsible for carrying out the evaluation of the proposals themselves**
 - You are not allowed to delegate the work to another person!
- **You must close reports in the electronic system within a given deadline**
 - This is part of their contractual obligations!
 - The allowance/expenses experts claim may be reduced or rejected otherwise
- **Significant funding decisions will be made on the basis of your assessment**

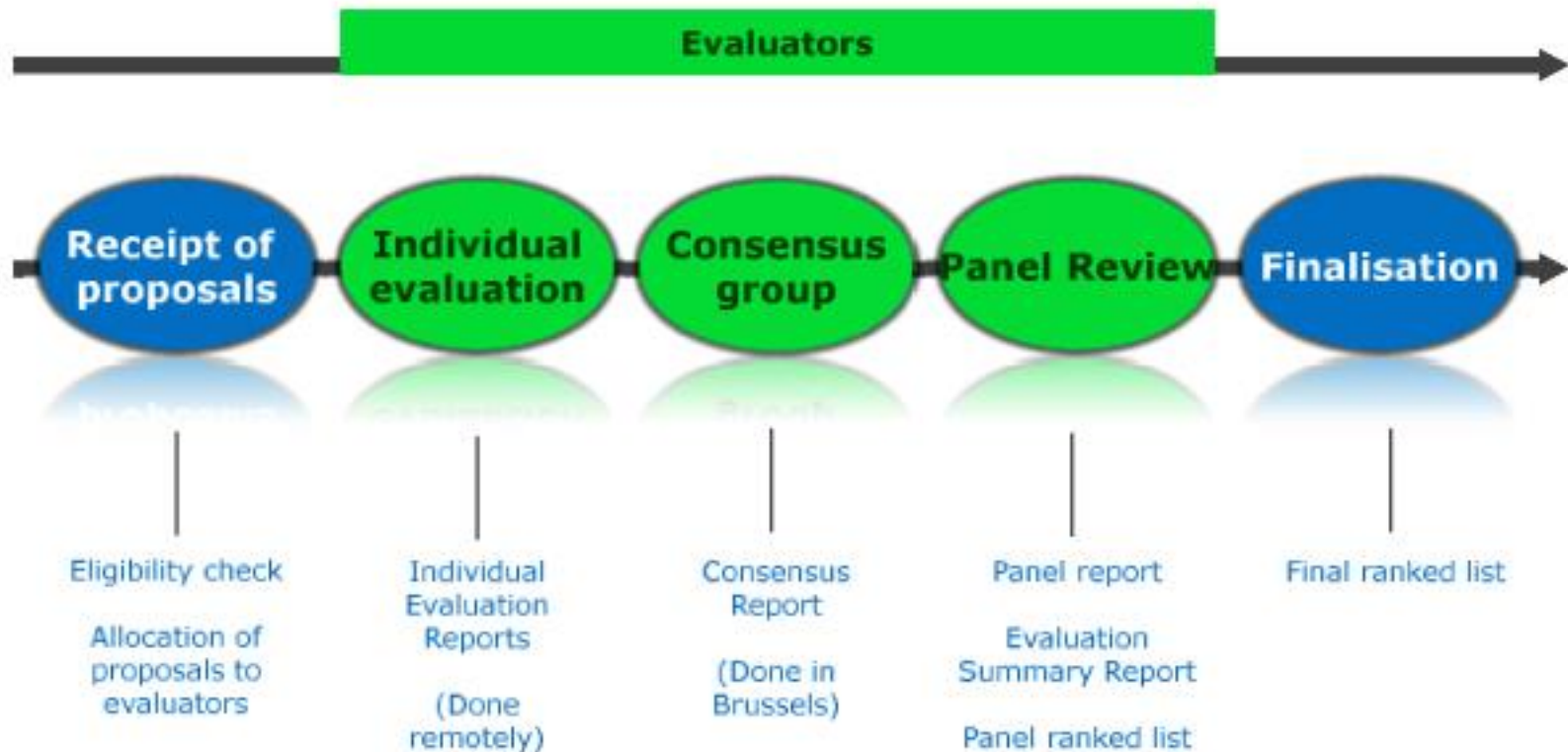
Principes directeurs

- Indépendance
- Impartialité
- Objectivité
- Correctness / 'Accuracy'
- Consistance

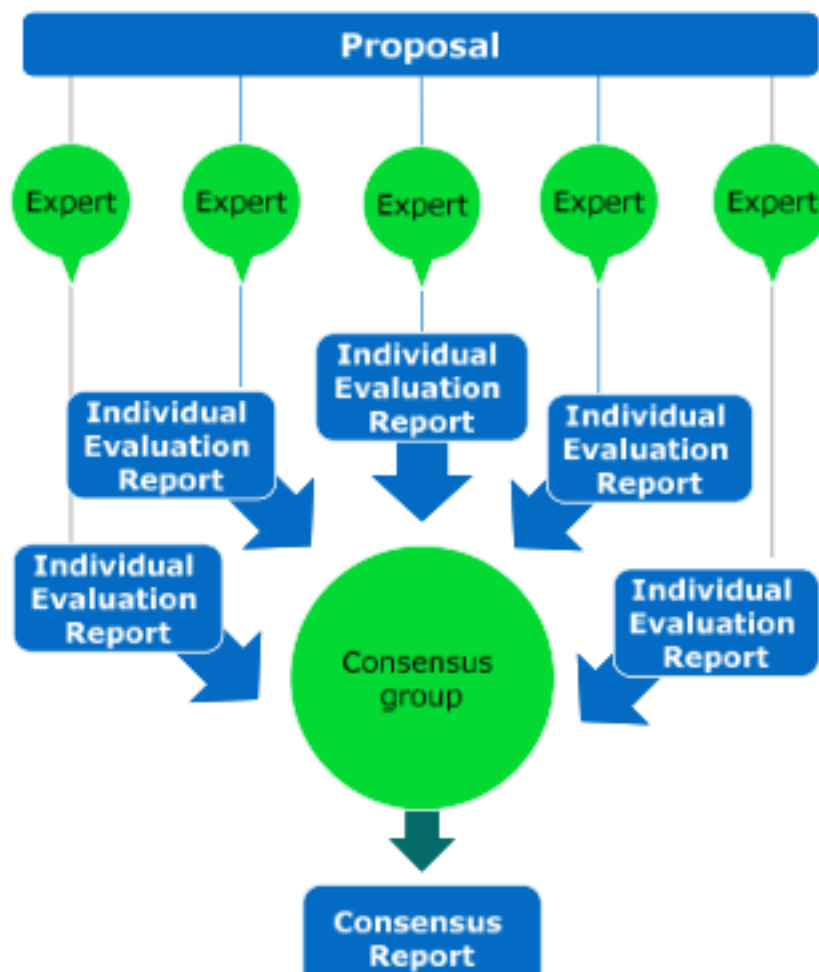
Principes directeurs

- Confidentialité
- Conflict of Interest (COI)
- Rôle des rapporteurs
- Observateurs
- Le rôle du panel (« Consensus meeting »)

Processus général d'évaluation



Processus d'évaluation, phases 'remote' et 'panel'



Evaluation criteria

- **There are three evaluation criteria:**

- Excellence (relevant to the description of the call or topic)

- Impact

- ☐ Communication activities 

- ☐ Research data management where relevant 

- Quality and efficiency of the implementation

- ☐ You should check requests for 'exceptional funding' from third country participants not included in the [list](#)

Innovation Management: is a process which requires an understanding of both market and technical problems, with a goal of successfully implementing appropriate creative ideas.

Typical Output: new or improved product, service or process.

For consortium: it allows to respond to an external or internal opportunity.

 new

- **The criteria are adapted to each type of actions, as specified in the**

Research & Innovation Actions

Excellence

Clarity and pertinence of the objectives

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

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)

Credibility of the proposed approach

Impact

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

Enhancing innovation capacity and integration of new knowledge

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

Any other environmental and socially important impacts (not already covered above)

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

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

Coordination & support actions

Excellence

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

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

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

Interpretation of the scores

- | | |
|----------|--|
| 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. |

Quelques observations personnelles

- Critère « excellence » : un état de l'art irréprochable est indispensable !
- Clarté
- Bon anglais !
- Mise en évidence du lien avec AAP (jusqu'à reprendre les termes listés dans l'appel)
- Montrer la plus-value / caractère innovateur de la proposition

Quelques observations personnelles

- Qualité du consortium !
avoir un consortium équilibré en terme de 'nationalités' (partenaires Europe de l'Est)
Partenaires de qualité et de renommée (scientifique, autre)
- COHERENCE de la proposition sur les 3 dimensions
- Impact très valorisé
- Communication avec dispositifs « site » etc = attendus
- ('financial breakdown' moins important qu'attendu..., attention quand même aux contradictions ou dépenses non justifiables / trop élevées)
- MANAGEMENT !!!
(montrer capacité, aspect 'expérience FP'= capital)

Quelques observations personnelles

Concernant l'exercice en général, attentes de la Commission vis-à-vis du Panel :

- Objectif : être inattaquable sur le plan juridique
- Pas de 'promesses' implicites
- Soins particuliers sur le « wording » (phrases courtes, factuelles, dans l'esprit de ce qui constitue les objectifs de l'AAP)
- Vocabulaire ! : 'shortcomings / minor shortcomings / weak / serious weaknesses...'

Pour les futurs déposants

- Essayer! Même en cas d'échec, expérience importante ('rodage')
- Le fait d'avoir 'échoué' peut dépendre de l'enveloppe global de l'AAP; ce qui compte est la 'note' (13 – 15)
- Qualité du consortium avec des partenaires compétents et fiables (livrables, en temps et en heure, reporting!)
- 'Coller' au texte de l'AAP
- Etat de l'art : se situer par rapport aux projets réalisés / en cours du périmètre thématique !
- Prendre les critères d'évaluation comme 'fil rouge' (check, par exemple 'soundness of concept' ou 'effectiveness of the proposed measures (impact)' ...