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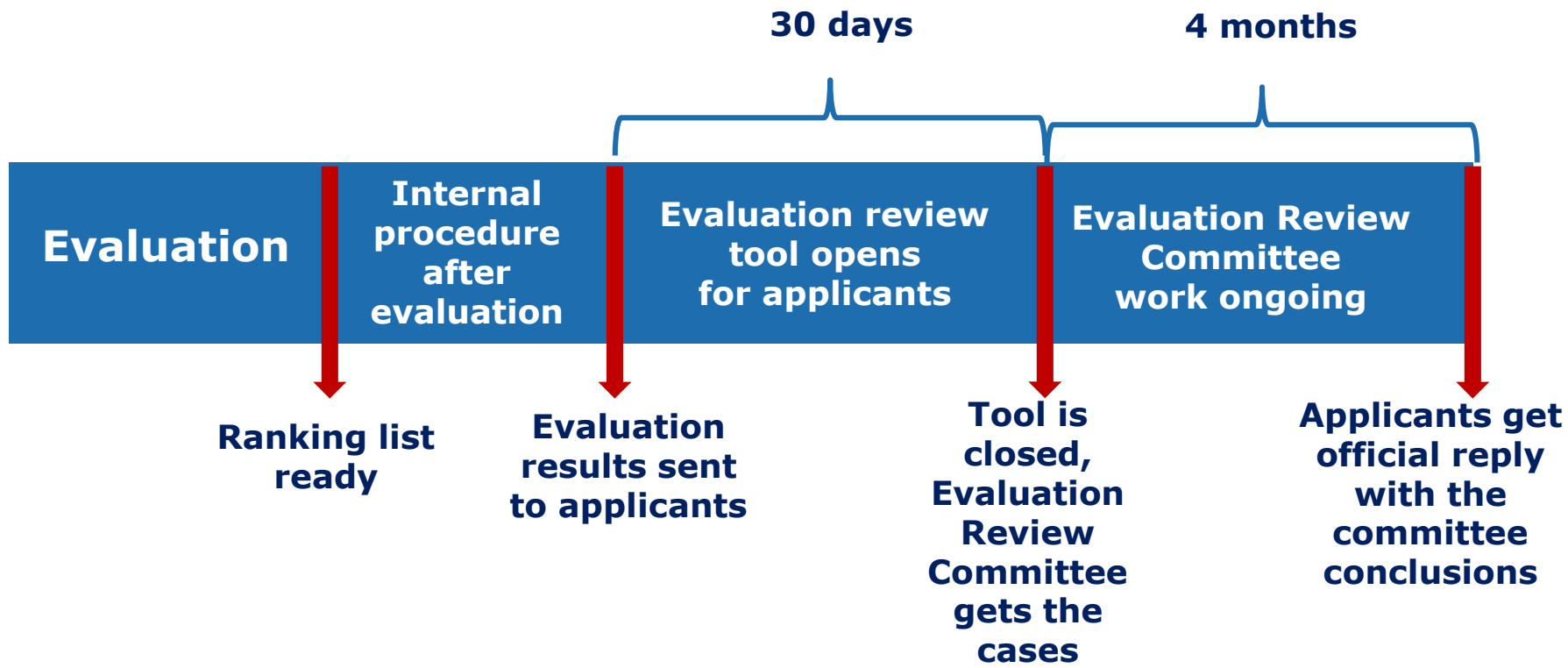


Horizon 2020 Evaluation Review process

NCP meeting
30 November 2016

Research
Executive
Agency

Horizon 2020 Evaluation Review - overview



Guiding principles:

Fairness & impartiality

Complainants must be treated equally and impartially, irrespective of their origin or identity.

Efficiency

Complaints should be handled efficiently without compromising quality or neglecting the rules.

Confidentiality

Proposals and all beneficiary-related information, data, and documents received must be treated confidentially.

Privacy

Personal data must be processed under Regulation No 45/2001 and according to the notifications to the Commission/Agency Data Protection Officer (DPO).

No simultaneous submission of complaints:

If more than one remedy applies to a Commission/Agency decision (i.e. admissibility/eligibility review, evaluation review (*see Article 16 H2020 Rules for Participation Regulation No 1290/2013*), Article 22 request (*see Article 22 of Council Regulation (EC) No 58/2003*) or Article 263 TFEU action), **complainants must NOT take more than one formal action at a time.**

The applicant must wait for the final decision of the Commission/Agency and then take further action against that final decision.

In this case, all **deadlines** will start to run as from when the complainants receive the final decision.

Contacts with applicants - Missing information:

- **Limited** to the absolute minimum
- Only permitted if needed **to request more information/explanations**

If communication to applicants is needed:

- Must be made **directly to the complainant**
- Via the **Participant Portal**

Main principles:

WHO:

- ✓ Applicants that consider that the evaluation of their proposal was not carried out properly (*see Article 16 H2020 Rules for Participation Regulation No 1290/2013*).

WHAT:

- ✓ It is **LIMITED** to procedural aspects of the evaluation and the factual errors in the ESR (including the suitability of the experts).
- ✓ It does **NOT** extend to the merits of the evaluation (i.e. the assessment of the experts of the quality of the proposal).

How is the complaint filed:

- **By the coordinator** (for IF also by the researcher)
- **Within 30 days** after receiving the evaluation result letter

Timing & deadlines for the Evaluation Review completion:

Whole process must be completed within **4 months** after the deadline for submitting complaints, including sending the response to applicants.

How is the complaint assessed?

The evaluation review committee must review the evaluation on the basis of the **complaint** and all the **documents** relating to the proposal, the call and the evaluation, *such as:*

- **Evaluators' CVs**
- **Proposal**
- **Work Programme**
- **Other call documents (GfA)**
- **Evaluation reports** (*evaluation summary report (ESR), individual evaluation reports (IERs), consensus report (CR), panel report, ethics summary report / security summary report, if applicable, observer report*)

Main actors:

Evaluation Review Committee:

- Assess all complaints
- Meetings or in writing
- Consensus on all cases
- Main reader and 1-2 additional cross-readers assigned for each case

Call Coordinator

- Supporting documents, procedure, cannot influence the process

Quality controller

- Responsible for checking of the quality of the outcome (procedure, typos, wording, arguments used by the committee)

Responsible Authorizing Officer

- REA HoD, responsible for the call in question (Delegation on behalf of Director)

Support of Redress Office / Common Legal Support Service

- In case of needed – legal advice, procedural questions, difficult cases, etc.

Evaluation Review Committee:

- Internal committee of the DG/Agency concerned
- Permanent status
- Only **one** evaluation review committee per call

Composition: min 4 members:

- At least 3 REA experienced POs (incl **chairperson**)
 - *good knowledge of evaluation procedure*
 - *come from a unit other than the one responsible for the call*
- Parent DG member – 1 per committee
- if needed, REA Legal officer

The Call Coordinator: Invited to present information about the call (without being a member)

- REA members - formally appointed by the REA Director
- DG EAC members - appointed by the EAC responsible parent unit

! The Evaluation Review Committee is NOT the same as the Admissibility and Eligibility Review Committee.

Procedure:

- The **committee chairperson** - organising the work of the committee
- The committee **decides on each case** (in a meeting(s) or by written procedure).
- The committee **may seek advice from experts with specialist knowledge** (e.g. input from project officers, evaluators, moderators).
- The committee may also **seek advice from the redress office, legal office**, etc.
- The committee **concludes by consensus** (all members agree on all cases).

Specific case:

Disagreement/NO consensus

- Chairperson must bring the case to the attention of the redress office OR
- Decision by the Responsible Authorizing Officer

Outcome of the evaluation review: (1)

Case A:

No evidence or inadequate evidence to support the complaint (i.e. the results of the initial evaluation are confirmed)

Example: questioning the technical competence of the evaluators without proof.

Case B:

Evidence to support the complaint, but no re-evaluation recommended (because the shortcoming is limited to a certain part of the evaluation and did not influence the overall outcome)

Example: complaint about a criterion that, even if accepted for that criterion, would still not have put the proposal for funding in the ranking list.

Minor shortcomings in the ESR and drafting errors may be considered by the Committee as inadequate evidence.

Outcome of the evaluation review: (2)

Case C:

Sufficient evidence to support the complaint, with (full or partial) re-evaluation recommended.

***Example:** Re-evaluation is recommended when the evidence suggests that there has been a serious problem in the execution of the proposal's evaluation which is likely to have jeopardised the evaluation result (influenced whether or not to retain the proposal in question).*

Specific case:

The complaint does not fulfil the eligibility requirements.

***Examples:** the request was not submitted by the coordinator, the request was submitted out of time (the deadline expired 30 days after receipt of the proposal rejection letter), the request does not raise shortcomings in the evaluation procedure*

What happens afterwards? (1)

If the complaint is upheld for re-evaluation, the proposal is sent to (full or partial) **re-evaluation**.

- Re-evaluation carried out by **experts who have not been involved** in the previous evaluation of the proposal in question.
- Good practice to invite experts who were involved in the panel discussions of the proposal in question to present their opinion to the panel meeting.
- **New experts - conflict of interest** for the proposal must be ensured.

Re-evaluations must be based on the proposal as it was originally submitted:

- No additional information is admissible
- The conditions and requirements of the call to which it was submitted apply.

What happens afterwards? (2)

- ✓ If the **re-evaluation results** in a score which **is higher** than the score of the lowest proposal originally invited to grant preparation, the re-evaluated proposal invited to grant preparation.
- ✓ If the **re-evaluated proposal** receives the **same score** as another proposal invited to grant preparation, the experts must determine the **priority order** by applying the method set out in the Work Programme.

The score of the re-evaluation is the final score for the proposal
(Even if lower than the one awarded originally)

**Complainants can NOT request
a second evaluation review procedure.**

Committee concluded the work, what is next?

The final conclusion of the committee available - the Responsible Authorizing Officer (RAO) is informed.

RAO either:

- **Takes a decision in line with the conclusions of the committee**, or
- **May ask the committee to reconsider its position**, taking account his/her comments (in very exceptional cases)

Specific case:

Deviation from the recommendation of the evaluation review committee — If the committee confirms its position and the RAO would still like to deviate from it, the matter must be referred to the REA Director.

Outcome of the process – information to the applicants:

On the basis of the consensus decision, the committee chairperson responsible for preparing the **Evaluation Review Committee Report (“Report”)**:

- Outcome of the evaluation review process (Specific details of the complaint, analysis of the committee, final result)
- Must not refer to other competing proposals, nor contain any reference that could identify the experts that evaluated it

Once the RAO approves the results, **responsible unit will:**

- inform the complainant, by sending an **evaluation review result letter with enclosed Report,**
- Inform the complainant about other means of redress.

The work of the committee including the results of the Evaluation Review must be documented in the internal report, available for audit purposes.

Summary of REA Evaluation Review process in Horizon 2020:

	No of evaluated proposals	No of submitted requests	%	Result A	Result B	Result C	Funded after re-evaluation	% of upheld cases (B+C)
ITN 2014	1153	10	0,9%	10	0	0	0	0,0%
ITN 2015	1563	18	1,2%	15	1	2	0	0,2%
ITN 2016	1565	22	1,4%	11	8	3	0	0,7%
IF 2014	6389	115	1,8%	90	16	9	0	0,4%
IF 2015	8380	124	1,5%	81	19	23	1	0,5%
RISE 2014	200	1	0,5%	1	0	0	0	0,0%
RISE 2015	361	2	0,6%	2	0	0	0	0,0%
COFUND 2014	90	2	2,2%	2	0	0	0	0,0%
COFUND 2015	117	0	0,0%	0	0	0	0	0,0%
NIGHT 2014	46	6	13,0%	6	0	0	0	0,0%
NIGHT 2016	42	7	16,7%	7	0	0	0	0,0%

REA MSCA Evaluation Review Committees:

Committee A:

- ITN
- RISE
- COFUND
- NIGHT

Committee B:

- IF (EF)

Committee C:

- IF (GF, CAR, RI, SE)

When to submit a request for Evaluation Review:

- ✓ When you have spotted a clear contradiction in the ESR
- ✓ When you consider there is a factual mistake in the ESR
- ✓ When you feel that experts were not suitably qualified to assess your proposal
- ✓ When you suspect that the evaluation procedure was not followed

When NOT to submit a request for Evaluation Review:

- ✗ You are not happy with the result of the evaluation, you have expected positive comments
- ✗ When you disagree with the opinion of the experts
- ✗ When you find your score too low
- ✗ When your resubmitted proposal scores lower than the one from the previous year

NB: the list is not exhaustive



REMEMBER:

Successful complaints are normally the short ones...



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***Thank you
for your attention***



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