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ET DE LA RECHERCHE

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*Bienvenue !  
Le webinar démarre à  
10h.*



**Le programme européen  
pour la recherche  
et l'innovation**



*BIENVENUE !*

*Webinaire prévu à 10h*



# **L'évaluation à l'aveugle sous Horizon Europe (pilote)**

*Organisé par les PCN juridiques & financiers*

*Intervenant.es invité.es : Mmes Isabel Vergara et Izabela Prokopowicz,  
Commission européenne*

*le 4 avril 2023*



## Avertissement

*Le contenu de la présente présentation ainsi que les éléments de toute nature l'accompagnant sont réalisés et fournis pour information uniquement, à la date indiquée ci-avant en planche 2.*

*Leurs auteures et présentatrices ne sauraient être tenues responsables de l'utilisation susceptible d'en être faite par des tiers.*

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# Introduction



# Présentation du webinaire

## Contexte :

Présenter le pilote  
d'évaluation à l'aveugle  
(2023-2024)

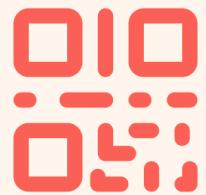
## A travers :

- Modalités
- Illustrations

## Ne seront pas abordés :

- Les critères d'admissibilité
- Les autres critères d'éligibilité
- Les critères d'évaluation
- Les modalités de notation

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**#Blind**

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## Qui êtes-vous (votre profession) ?

Consultant projet européen

Consultante projets européens

Chef de projets PCN Santé  
chargée de gestion de projets

Juriste chargé de valo

Public Affairs European Affairs Officer  
Enseignante/ IPE

IPE

consultante

chargé d'affaires européennes SAE IRD

Chercheuse

# Chef de projet

EU affairs officer

ingénieur projets européens IPE - CNRS

Chef de la grant office PCN  
Cheffe de projet Europe

## Ingénieur de projet européen

Conseiller Financement Entreprise Europe animateur réseau europe

Charge de projets européens Chef de projets européens

## Connaissez-vous l'évaluation à l'aveugle ?

0 | 4 | 3

oui



non



0 4 1

Avez-vous déjà soumis une proposition "à l'aveugle" ?

oui



5 %

non



95 %

ⓘ Start presenting to display the poll results on this slide.

# L'équipe des PCN juridiques et financiers

Fanny SCHULTZ (coord. ; 100%)



Irene CRETA (60%)



Cécile BARAT (40%)



Ingrid LY-KY (50%)



Lucie VAUCEL (40%)





## Intervenant(e)s

Commission européenne, DG RTD, unité H3

- Isabel VERGARA OGANDO
- Izabela PROKOPOWICZ



# Missions des PCN juridiques et financiers

- Informer et former sur les conditions de participation
  - aspects juridiques et financiers généraux du programme
  - Horizon Europe, H2020
- « Hotline » pour les participants français au programme-cadre



Suivez notre actualité via le portail français  
et retrouvez y notre trombinoscope



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# Intervention de la Commission

## Avertissement

*La présente présentation est rédigée et présentée en anglais*

*A l'issue, l'audience sera invitée à poser ses questions en français*

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HORIZON EUROPE

# Pilot on Blind evaluation





# Purpose of the pilot

- In HE WP 2023-2024, all two-stage calls will be evaluated blindly, except one call for Widening (legal basis on article 28 of HE Regulation)
- With this pilot we want to tackle some understandable concerns that the evaluation process could be **perceived** as biased towards well-known organisations in countries with better performing Research and Innovation systems (a recent independent study has not revealed such a bias).
- The pilot aims to identify whether the **implementation** of blind evaluation within our legal requirements and operational context creates any difficulties. If this is not the case, it might lead to a modified approach, with a greater use of blind evaluations, which could effectively mitigate the risk of **real, potential or perceived reputational bias**.

Article 28

## Award criteria and selection

1. A proposal shall be evaluated on the basis of the following award criteria:
  - (a) excellence;
  - (b) impact;
  - (c) quality and efficiency of the implementation.
2. Only the criterion referred to in point (a) of paragraph 1 shall apply to proposals for ERC frontier research actions.
3. The work programme shall lay down further details concerning the application of the award criteria laid down in paragraph 1 including any weighting, thresholds and where relevant rules for dealing with *ex aequo* proposals, taking into consideration the objectives of the call for proposals. The conditions for dealing with *ex aequo* proposals may include, but shall not be limited to, the following criteria: SMEs, gender, and geographical diversity.
4. The Commission and other funding bodies shall take into account the possibility of a two-stage submission and evaluation procedure and where appropriate, **anonymised proposals** may be evaluated during the **first stage of evaluation** based on one or more of the award criteria referred to in paragraph 1.



# Key facts

- A pilot on Blind Evaluation has been launched in the Horizon Europe WP 2023-24
- **All two-stage calls** in 2023 and 2024 are taking part in the pilot (except one call for Widening)
- It only concerns the **first stage application** of two-stage calls
- First-stage proposals of two-stage submissions are evaluated blindly; applicants may not disclose their identity in Part B of their proposal
- **NEW admissibility criterion:** Applicants submitting a proposal under the blind evaluation pilot must not disclose their **organisation names, acronyms, logos nor names of personnel** in **Part B** of their first-stage application. Proposals including indirect identification of applicants are discussed case by case.



**No identification data** can be mentioned by applicants in the proposal's **Part B**, otherwise **inadmissible proposal**



# Process

Blind evaluations require that Experts do not know the consortium structure and the applicant(s) involved.

## Proposal - Part A

The IT system will automatically hide from Experts the identification (consortium) data in the Proposal Details page.

## Proposal - Part B

As it is not possible to hide any information from Part B in the SEP IT tool, it is up to the applicant to omit there any identification data in their first-stage application.

The evaluating officer manually checks whether the applicant included any identification in Part B of the proposal.

If proposals include any direct identification of the applicant in Part B, the proposal will be declared inadmissible. Indirect identifications may result as well in declaring a proposal inadmissible (analysis done case by case).



## Important to know

- Difference between clearly inadmissible proposals and ‘grey-zone’ cases, which will be evaluated on a case-by-case basis with the help of the legal team.
- We expect that there will be admissible proposals, where the evaluator could guess the identity of the applicant regardless (e.g., small research community). We plan to track those cases and examine to what extent true blind evaluations were possible.
- Mention of country of the applicant does not necessarily mean that a proposal will be deemed inadmissible. However, in case the applicant is clearly identifiable, the proposal will be inadmissible.
- Proposals with blacked out names and information are not preferred but accepted.
- We will also consider the intentionality behind the exposure of identity.
- Guidance on direct and indirect identification of the applicant can be found in the [1st stage Standard Application Form template](#).



# Questions from events

- *How can experts assess the capacity of the partners to perform the work proposed (implementation)?*  
Only excellence and part of the impact are evaluated in first-stage proposals, we do not evaluate implementation at this stage.
- *How can applicants support the state of the art or TRL of a proposal without citing their own publications or projects?*  
Applicants cannot mention these publications as theirs, but they can mention them from a neutral point of view.
- *Can we mention governmental bodies by name in a blind evaluation proposal?*  
If they are beneficiaries, then not. The consortium structure cannot be mentioned in the first stage application. The consortium will be revealed in the second stage application, as the second stage is not evaluated blindly.
- *How to manage if we have to mention the location of a pilot plot or type of farm, or a climatic area?*  
This could be mentioned (especially when the topic description requires it), as the applicant does not necessarily have to be from this area.



# References to publications

The proposal can include references to participants' own publications if there is **no emphasis** that the publication is authored by one or more of the proposers.

For example, the following statement will **not** be admissible:

*'For climate impact, we will use greenhouse gas emission intensities, following a methodology developed previously by a project partner (Dalin et al.)'*

but the following would be ok:

*'For climate impact, we will use greenhouse gas emission intensities, following the methodology described in Dalin et al.'*



# References to R&I activities

- **Names of past projects** can be mentioned, but it cannot be explicitly indicated that the proposal is a continuation of these projects or that the partners from the past projects overlap with project partners of the current proposal.
- If the applicant would like to **refer to other R&I activities as their own**, then the name of the past/on-going project cannot be mentioned, and the project should not be identifiable through its description.
- The **name of the city and its characteristics** can be mentioned, provided that there is no explicit indication in the proposal, that any of the applicants are from this location (even if this would be in reality the case). Otherwise, if the participant wants to mention that one of project partners is coming from/ is closely connected with the given city, then the city name should not be mentioned and the city should be only vaguely described by its characteristics, which would not allow for its identification.



# Examples of statements resulting in inadmissible proposals

## Examples of statements resulting in inadmissible proposals

- ‘Most of project’s participants have been involved in the previous H2020 project, NANOCOM...’
- ‘For climate impact, we will use greenhouse gas emission intensities, following a methodology developed previously by a project partner (Dalin et al.)’
- ‘This task in WP3 will be based on outputs generated by some participants of the consortium’, (with in the footnote a link to a YouTube video or webpage where participants can be identified)
- ‘The consortium includes the largest research institute in France’



# Examples of statements resulting in inadmissible proposals

- ‘Partner 3 is the leading company in Spain for wind turbine installation’
- ‘Our current research expands our previous findings described in a recently published article (William et al, 2022)’
- ‘The consortium consists of leaders in the high tech industry, including the biggest in terms of capital constructor of micro chips ’
- ‘The coordinator organisation was the one who first introduced the concept of m-RNA in vaccines’
- ‘The consortium consists of 2 research centres (including an international one based in Geneva) and the oldest university in Belgium’



# Assessment of the pilot on Blind Evaluation

- The full assessment of the pilot on blind evaluations will be conducted after the evaluation of all participating calls (after WP 2023-2024). An interim analysis, after the first round of participating 2023 topics will be performed as well, but no definitive feedback will be available at this point.
- The assessment exercise will include, among others, a separate questionnaire to applicants and experts, feedback received from call coordinators and additional questions for experts in their evaluation forms, if they were able to guess the identity of the applicant(s) in case of admissible proposals.
- The purpose of the assessment of the pilot will be to measure whether true blind evaluations are possible given the operational and legal context of the Horizon Europe evaluation procedure.

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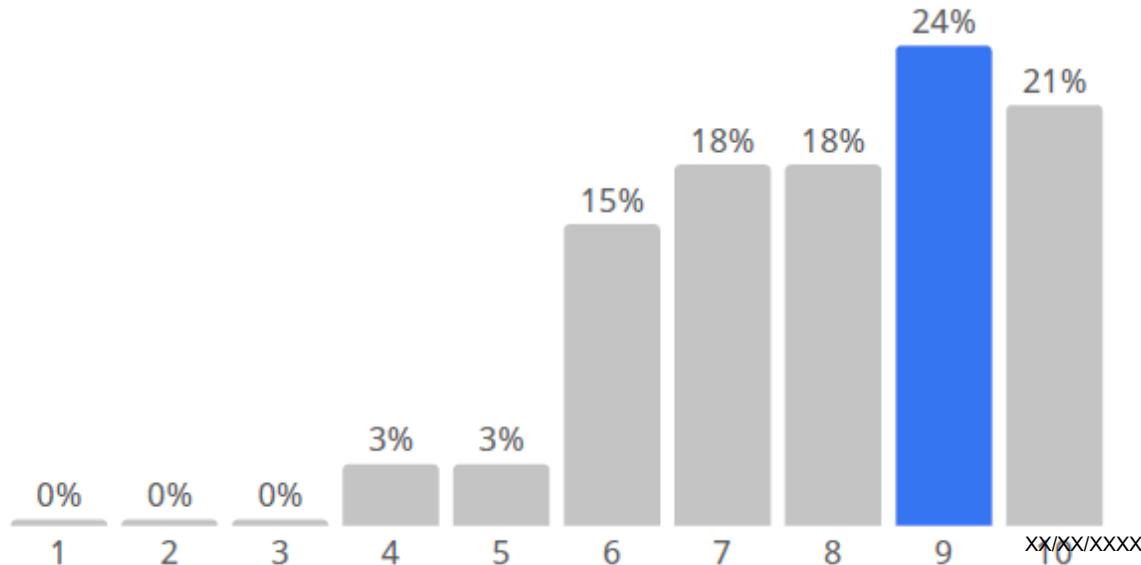


# Session de Q&R

Avez-vous apprécié ce webinaire ?

0 | 3 | 4

Score: 8.0



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## 4. Ressources utiles



# Ressources utiles – Evaluation à l'aveugle

UE :

- *Webinar on blind evaluation in Horizon Europe*
- *Standard application forms for RIA IA stage 1* (rubrique « reference documents » dans « How to participate » du Funding & Tender opportunities portal)

PCN :

- *Article sur le site Horizon Europe français*



# Documents de référence sur les règles de participation

- Règlement Financier de l'Union (RFUE) (juil. 2018)
- Stratégie de mise en œuvre (avr. 2020)
- MGA Corporate (juin 2020)
- MGA Corporate pour HEU & Euratom (15 avr. 2022)
- Annexes générales au programme de travail général Horizon Europe pour 2023-2024 (6 déc. 2022)
- MGA Corporate quasi intégralement annoté (version de travail) (1<sup>er</sup> avr. 2023)
- Guide du programme « *Programme guide* » & liste des pays éligibles au financement de l'UE

*A venir : publication V1 du MGA annoté (l'officielle), annoncée pour courant 2023*

*Retrouvez l'ensemble des textes officiels d'HEU sur cette page*



# Ressources utiles – portail européen et H2020

UE :

- Funding & Tender Opportunities Portal « le portail »
- IT how to : questions techniques sur le portail de l'IT Helpdesk
- European IP Helpdesk : propriété intellectuelle

Horizon 2020 (H2020) :

- Fiches pratiques H2020



# Portail français Horizon Europe

## Informations actualisées sur :

- Le programme-cadre
- Les AAP (contenu enrichi)
- Les manifestations, événements, formations, webinaires à revoir
- Des témoignages, des conseils
- Le dispositif national d'accompagnement
- Boîtes à outil et FAQ
- Fiches pratiques juridiques et financières pour le montage et la gestion des projets en cours
- Suivi statistique

The screenshot shows the homepage of the French Horizon Europe portal. At the top, there is a header with the logo of the Ministry of Higher Education, Research, and Innovation, the "horizon europe" logo, and the text "Le site français du programme européen pour la recherche et l'innovation". Below the header, there is a sidebar with "MENU" and "AGENDA" buttons. The main content area features a section titled "A la Une" with a blue background and white text. It includes a circular graphic of interconnected lines and dots, a call to action for an open call for international research consortia, and a link to PCN Horizon Europe applications. To the right, there is a large button labeled "Je participe" with a hand cursor icon, and a text box explaining the first enlightenment regarding participation conditions. At the bottom, there is a dark blue bar titled "Agenda" with a yellow star icon, and a decorative footer element featuring a stylized European Union flag.

# Pages dédiées aux questions juridiques et financières du portail français [www.horizon-europe.gouv.fr](http://www.horizon-europe.gouv.fr)

- Ressources juridiques et financières : notre actualité, nos événements, nos fiches pratiques HEU, notre boîte à outils, nos FAQ...
- Montage, dépôt et évaluation des propositions : instruments de financement, participation d'entités de pays tiers à HEU, impliquer des entités tierces dans un projet, la procédure d'octroi...
- Préparer le lancement d'un projet : préparer et signer le GA, gérer la PI...
- Gérer votre projet : règles d'éligibilité des coûts, enregistrer son temps...
- FAQ « Gérer ma candidature et mon projet »
- nos précédents webinaires (à revoir)



# Pages dédiées aux questions juridiques et financières

## Nouveautés

Ressources juridiques et financières : notre actualité, nos événements, nos fiches pratiques HEU, notre boîte à outils, nos FAQ...

**Pour vous aider**

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Fiches pratiques H2020 > Les vidéos du PCN > Plan d'égalité des genres (GEP) > Science ouverte >

**Fiches pratiques HE > FAQ Lump sum >**





**MERCI DE VOTRE ATTENTION**

