



European Research Council
Executive Agency

Established by the European Commission



Horizon 2020
European Union Funding
for Research & Innovation

European Research Council (ERC) **Proof of Concept Grants**

Guide for Reviewers

Applicable to the ERC Proof of Concept Grants

(ERC Work Programme 2018)

Version 1.0

13 November 2017

CONTENTS

1. Introduction	3
2. Panel structure	4
3. Reviewers	4
4. The individual reviews	5
5. Conflict of Interest (Col).....	6
6. The criteria.....	6
7. Preparation and organisation of the panel meetings	8
8. Feedback to applicants (the Evaluation Report)	9
9. The role of the Scientific Council (ScC)	10
10. The role of Independent Observers.....	10
1. Annex 1	11

1. Introduction

The selection of proposals for funding by the European Research Council (ERC) Proof of Concept is based strictly on the evaluation criteria set in the ERC Work Programme 2018.

The ERC Rules for Submission

The ERC Scientific Council (ScC) has established a document, adopted by the European Commission, namely the 'ERC Rules for the submission of proposals and the related evaluation, selection and award procedures relevant to the Specific Programme of Horizon 2020 - the Framework Programme for Research and Innovation (2014-2020)' ([ERC Rules for Submission](#))¹. The ERC Rules for Submission define a number of high-level requirements on the processes implemented by the ERC.

The ERC Work Programme

The ERC ScC has also established the [ERC Work Programme](#) (WP) for 2018², which, inter alia, defines the parameters of the Call for Proposals for ERC Proof of Concept Grants. More specifically, it defines the call deadlines and the call budgets. It specifies the evaluation criteria and sets the framework for budgetary implementation.

This document

This document complements the abovementioned legal texts. It specifies in more detail the evaluation process and its inputs and outputs, and it defines the responsibilities of the participants in the process. It details the "ERC Rules for Submission" in a number of important issues, such as the management of conflict of interest.

¹ European Commission C(2017) 4750 of 12 July 2017

² European Commission C(2017) 5307 of 2 August 2017

2. Panel structure

In the context of the PoC evaluation procedure, given that it does not involve any scientific evaluation per se, reviewers are grouped in a single evaluation panel.

3. Reviewers

The panels

An ERC PoC panel differs from other ERC panels in several ways. It is composed by a pool of experts, who do not necessarily have similar scientific background, and is not chaired by a Panel Chair. The PoC reviewers are selected by the ERCEA on the basis of their technical expertise. They make a significant commitment of their time to the ERC review process. The size of the panel might be increased if the demand of the PoC increases.

PoC reviewers perform the following tasks:

- Individual review –by electronic means– of a subset of the proposals (remote work).
- If necessary, participation in the panel meetings.
- In case of panel meeting, prior familiarisation with a relevant subset of proposals in preparation for the meeting.

The contracts

In all cases, the relationship between the ERCEA and the reviewers is defined by a written and signed agreement (the Contract³). Signature of this contract by the reviewer indicates acceptance of the conditions regarding confidentiality and conflict of interest (Annex 1, Code of Conduct to the expert contract), and use of personal data by the ERCEA. The ERCEA cannot make proposals available to a reviewer who has not been officially contracted (i.e. signed the Contract and, in so doing, agreed to the terms laid down in it including in particular, confidentiality and conflict of interest aspects).

A breach of the Code of Conduct or other serious misconduct by a reviewer may be qualified as grave professional misconduct and may lead to the exclusion of this independent expert.

Use of personal data

All experts involved in the evaluation of proposals must keep in mind that any personal data received are only to be used for the purposes for which they are transmitted. All unnecessary and excessive information submitted by applicants should be disregarded.

³ The model expert contract was adopted by the European Commission Decision C(2017)1392 of 07 March 2017.

4. The individual reviews

Individual reviews are carried out remotely prior to panel meetings by the deadline set by the Call coordinator. Panel Members participate in the individual review stage.

Minimum requirements

In the PoC scheme each proposal is evaluated by at least 3 individual reviewers. In case of panel meeting, each application is assigned to a “lead reviewer” who introduces the proposal to the panel for discussion and is responsible for drafting the panel comment⁴.

The interpretation of 'individual'

During the individual evaluation process, there shall be no discussions of the proposals between reviewers. Moreover, during the remote evaluation of proposals (i.e. before panel meetings) reviewers should not disclose the proposals assigned for their evaluation to other experts. When a Panel Member considers that he/she has insufficient expertise to evaluate any of the proposals he/she received to review, he/she should immediately inform the ERCEA's PoC call coordinator so that the proposal can be reallocated to another reviewer.

Marks and comments

Individual evaluation consists of:

- Awarding a pass/fail mark for each of the evaluation criteria⁵. It is of utmost importance that only the criteria as described in the Work Programme are used to assess the proposals. Reviewers should refrain from using any additional criteria no matter the importance it bears in the frame of a given proposal. Each proposal should be treated with the same severity and professionalism (equal treatment).
- Providing a succinct explanatory comment substantiating each mark. Comments should take the form of a statement and explanation of key strengths and key weaknesses of the proposal, in the light of the evaluation criteria.

The nature of the comments

Comments should be provided by each reviewer for the proposal. As these comments will be sent to the applicant as feedback, they should be of good quality, succinct but substantial. They should also be impeccably polite.

⁴ The panel comment is part of the “Evaluation Report” which is returned to the applicant as feedback. The panel comment drafted by the lead reviewer is agreed upon in its final version by all reviewers.

⁵ See ERC Work Programme 2018, Evaluation criteria

Reviewers are obliged to observe the following guidelines:

- Use dispassionate, analytical and unambiguous language.
- Use grammatically correct, complete, clear sentences with no jargon.
- Provide polite comments.
- Critical comments should be constructive and not offensive.
- Avoid self-declaration of insufficient expertise (personal or panel) or non-confidence in the proposal.
- Avoid reference to the applicant age, nationality, gender, or personal matters.
- Avoid making reference to scores in the comments.
- Avoid any direct comparison with any other proposals.
- Avoid any reference or comparison with previous assessments.
- Avoid comments that give a description or a summary of the proposal.
- Avoid dismissive statements about the Principal Investigator or the project.

Individual reviews have to be submitted in due time to the ERCEA and at the latest prior to the panel meeting.

5. Conflict of Interest (Col)

Reviewers should not be put in a situation in which their impartiality might be questioned, or where the suspicion could arise that recommendations are affected by elements that lie outside the scope of the review. To that effect, the ERC has formulated a clear set of rules pertaining to conflict of interest (Col). These rules are annexed to the Contract and can be found at the end of this document.

6. The criteria

The criteria express the objectives of the ERC activity at the level of the review. They are, therefore, defined in the applicable ERC Work Programme. There are two types of criteria:

- Eligibility criteria.
- Evaluation criteria.

Eligibility criteria

Eligibility criteria are simple, factual and legally-binding rules. Their interpretation does not

involve scientific judgement. Hence, eligibility is not part of the review process. Instead, it is carried out in parallel by the ERCEA. Nevertheless, if an expert considers a proposal to be potentially ineligible during the evaluation process he/she should clarify the case immediately with the ERCEA's PoC call coordinator. In some (rare) cases, proposals may be declared ineligible during or even after the review process, as their ineligibility can only be confirmed with some delay.

Evaluation criteria

The evaluation criteria are at the core of the review process. The evaluation criteria and their interpretation are described in the applicable ERC Work Programme. All judgement on proposals must be made against the evaluation criteria⁶, and against these criteria alone. It is to be noted that, ***in order to be considered for funding, proposals will have to be awarded a pass mark by a majority of reviewers on each of the three evaluation criteria.***

The incorrect application of the evaluation criterion or the application of inexistent or irrelevant criteria is considered a procedural error, which may lead to a successful evaluation review and justify a re-evaluation of the proposal.

Ranking

A proposal which fails one or more of the criteria will not be ranked and will not be funded.

If there is not enough budget to fund all the proposals which pass all three evaluation criteria, those proposals which pass all three evaluation criteria will be sorted by the number of pass marks awarded by reviewers to criterion 1 (Excellence- Innovation potential), then by the number of pass marks awarded to criterion 2 (Impact), then by the number of pass marks awarded to criterion 3 (Quality and efficiency of the implementation). Proposals will be funded in order of the ranking resulting from this 3-level sorting exercise until depletion of the available budget per evaluation round.

⁶ See ERC Work Programme 2018, ERC Proof of Concept Grant evaluation

7. Preparation and organisation of the evaluation including panel meetings

About the necessity of the panel meeting

The ERC Work Programme 2018 states that proposals which have passed all three evaluation criteria (i.e. 'awarded a pass mark by a majority of reviewers on each of the three evaluation criteria') will be ranked according to the number of pass marks they received at the end of the individual review process following the procedure explained above. Proposals will be funded in order of this ranking up to depletion of the available budget. If necessary, the reviewers will meet as an evaluation panel in order to determine a priority order for proposals which have the same ranking. Panel meetings will hence only be held if there is any ambiguity on the list of proposals to be considered for funding.

Briefings of experts

At the start of the evaluation session, panel members are invited to Brussels for an Initial Panel Meeting. This meeting's purpose is two-fold – the first is to brief the Panel members on all relevant aspects of the evaluation processes and procedures, and the second is to exchange view with the ERC Executive Agency's (ERCEA) staff about the evaluation.

Experts are encouraged to participate at this initial briefing.

These briefings cover matters such as the evaluation processes and procedures; the content of topics under consideration; the terms of the experts' contract, including confidentiality, impartiality, concealment of conflict of interest rules, completion of tasks and approval of reports and the possible consequences of non-compliance; instructions to disregard any excess pages; and the need to evaluate proposals 'as they are'; and very limited scope for recommending improvements to highly scored proposals.

For experts evaluating remotely, particular attention will be given to their briefing when specially adapted material may be needed (e.g. CD-ROMs, on-line presentations). Close contact is maintained with the individual experts to assist them on any query.

Outputs of the panel meetings

The output of any individual panel meeting, to be provided at the end of the meeting, consists of the following elements:

1. The ranked list of proposals;
2. The feedback to applicants (see section 8 below);
3. A panel report.

The possible use of a voting system

In the later stages of the evaluation process, panels may expedite their ranking process by the use of a voting system (e.g. a majority vote on one or more proposals, with each Panel Member having one vote per proposal being considered). A Panel Member cannot vote for a proposal if under a Col, and in such case, an appropriate adjustment is applied. Voting can be an effective way of finalising a ranking list.

8. Feedback to applicants (the Evaluation Report)

Apart from recommendations on fundable proposals and their ranking, the most important output of the panel meetings and the evaluation is the feedback to applicants. According to the ERC Rules for Submission, the ERCEA will provide an Evaluation Report to each applicant, which documents the results of the evaluation. Especially in the case of rejection, the Evaluation Report needs to convey a comprehensive explanation of the fate of the proposal and the position of the Panel with regard to it. The principle applied is that the Evaluation Report of each proposal contains a documentation of all comments and observations it received from Panel Members.

Elements of the Evaluation Report

The Evaluation Report of any proposal comprises three components:

1. The recommendation of the panel (ranking list).
2. Average pass/fail by criterium
3. A compilation of Individual reviews.

The comments by individual reviewers

The comments by reviewers are included in the Evaluation Report as received. They may be subject to mild editing by the ERCEA, without altering their intended message, in order to enhance clarity, remove any inappropriate, irrelevant or polemic remarks, remove revelation of the reviewers' identity, misleading recommendations, etc. These individual comments may not necessarily be convergent - differences of opinion about the merits of a proposal are legitimate among evaluators, and it is potentially useful for an applicant to be informed of the various views.

The panel report

In addition to the ranked list of proposals, the panel report briefly documents the evaluation methodology followed by the panel. It may also contain, as deemed appropriate, reflections on issues such as the quality of proposals in relation to the budget and other observations. It may furthermore contain recommendations to be taken into account by the ERC in future review sessions.

9. The role of the Scientific Council (ScC)

The ERC ScC may delegate its members to attend panel meetings. The role of the ScC delegates relates to ensure and promote coherence of reviews, to identify best practices, and to gather information for future reviews of the procedures by the ScC.

In conformity with the mandate of the ScC, to carry out the scientific governance of the ERC, and in line with the role of the ScC foreseen in the WP, ScC Members will abstain from influencing the results of the review process.

10. The role of Independent Observers

Under the ERC Rules for Submission, independent experts may be appointed as observers to examine the evaluation process from the point of view of its working and execution. The Independent Observers are independent of the ERCEA and of the ScC. Their function and role is described in the ERC Rules for Submission.

1. Annex 1

Code of conduct as annexed to the new model expert contract (in force since 01/04/2017). The version adapted to the ERC Calls is herein reported.

1. Performing the work

1.1. The expert must work independently, in a personal capacity and not on behalf of any organisation.

1.2. The expert must:

(a) evaluate each proposal in a confidential and fair way, in accordance with the Horizon 2020 Rules for Participation Regulation No 1290/2013⁷ and, in particular, with the ERC Rules for Submission and Evaluation⁸;

(b) perform his/her work to the best of his/her abilities, professional skills, knowledge and applying the highest ethical and moral standards;

(c) follow the instructions and time-schedule given by the Agency.

1.3. The expert may not delegate the work to another person or be replaced by another person.

1.4. If a person or entity involved in a proposal(s) approaches the expert before or during the evaluation, s/he must immediately inform the Agency.

1.5. The expert may not be (or become) involved in any of the actions resulting from the proposal(s) that s/he evaluated (at any stage of the procedure, including for two-stage calls).

⁷ Regulation (EU) No 1290/2013 of 11 December 2013 laying down the rules for the participation and dissemination in "Horizon 2020 – the Framework Programme for Research and Innovation (2014-2020)" (OJ L 347, 20.12.2013, p. 81).

⁸ Available at http://ec.europa.eu/research/participants/portal/desktop/en/funding/reference_docs.html

2. Impartiality

2.1. The expert must perform his/her work impartially and take all measures to prevent any situation where the impartial and objective implementation of the work is compromised for reasons involving economic interest, political or national affinity, family or emotional ties or any other shared interest ('conflict of interests').

The following situations will automatically be considered as conflict of interest:

(a) for a proposal(s) s/he is requested to evaluate, if s/he:

(i) was involved in the preparation of the proposal(s);

(ii) is a director, trustee or partner or is in any way involved in the management of an applicant (or linked third party or other third party involved in the action);

(iii) is employed or contracted by one of the applicants (or linked third parties, named subcontractors or other third parties involved in the action);

(iv) has close family ties (spouse, domestic or non-domestic partner, child, sibling, parent etc.) or other close personal relationship with the principal investigator of the proposal s/he is requested to evaluate as an additional reviewer from another panel (cross-panel or cross-domain proposal);

(v) has (or has had during the last five years) a scientific collaboration with the principal investigator of the proposal;

(vi) has (or has had) a relationship of scientific rivalry or professional hostility with the principal investigator of the proposal;

(vii) has (or has had), a mentor/mentee relationship with the principal investigator of the proposal.

In this case, the expert must be excluded from evaluation of the proposal(s) concerned (and may not take part in any discussion or scoring of the proposal and must leave the room or the electronic forum when it is discussed ('out of the room' rule). Part(s) of an evaluation to which the expert already participated must be declared void. Comments and scores already given must be discounted. If necessary, the expert must be replaced and the proposal(s) concerned must be re-evaluated.

However, in exceptional and duly justified cases, the responsible Agency staff may decide to nevertheless invite the expert to take part in the evaluation, if:

- the expert works in a different department/laboratory/institute from the one where the action is to be carried out and
- the departments/laboratories/institutes within the organisation concerned operate with a high degree of autonomy and
- the participation is justified by the requirement to appoint the best available experts and by the limited size of the pool of qualified experts.

In this case, the other experts in the group of evaluators will be informed about the situation of the expert.

(b) for a proposal(s) s/he is requested to evaluate AND for all proposal(s) competing for the same call budget-split, if s/he:

(i) was involved in the preparation of any proposal(s) assigned to the same panel within the same call budget-split;

(ii) would benefit if any proposal(s) assigned to the same panel within the same call budget-split is accepted or rejected;

(iii) has close family ties (spouse, domestic or non-domestic partner, child, sibling, parent etc.) or other close personal relationship with a person (including linked third parties or other third parties) involved in the preparation of any proposal(s) assigned to the same panel within the same call budgetsplit, or with a person which would benefit if such a proposal(s) is accepted or rejected.

In this case, the expert may not evaluate any proposal in the call concerned ('out of the call' rule). Part(s) of an evaluation to which the expert already participated must be declared void. Comments and scores already given must be discounted. If necessary, the expert must be replaced and the proposal(s) concerned must be re-evaluated.

(c) for ALL proposal(s) under the call in question, if s/he:

(i) is a member of an advisory group set up by the Commission to advise on the preparation of EU or Euratom Horizon 2020 work programmes or work programmes in an area related to the call in question;

(ii) is a National Contact Point (NCP) or is working for the Enterprise Europe Network (EEN);

(iii) is a member of a programme committee;

(iv) has submitted a proposal as a principal investigator or a team member, under the same call;

(v) has close family ties (spouse, domestic or non-domestic partner, child, sibling, parent etc.) or other close personal relationship with the principal investigator of any proposal submitted to his/her panel.

In this case, the expert may not evaluate any proposal in the call concerned ('out of the call' rule). Part(s) of an evaluation to which the expert already participated must be declared void. Comments and scores already given must be discounted. If necessary, the expert must be replaced and the proposal(s) concerned must be re-evaluated.

The following situations may be considered as conflict of interest if the responsible Agency staff so decides (in consultation with the ERC Scientific Council) , in view of the objective circumstances, the available information and the potential risks:

(a) employment of the expert by one of the applicants (or linked third parties or other third parties involved in the action) in the last three years;

(b) involvement of the expert in a contract, grant, prize or membership of management structures (e.g. member of management or advisory board etc.) or research collaboration with an applicant, a linked third party or another third party involved in the action in the last three years;

(c) any other situation that could cast doubt on his/her ability to participate in the evaluation impartially, or that could reasonably appear to do so in the eyes of an outside third party.

In this case, the responsible Agency staff may decide (in consultation with the ERC Scientific Council) to exclude the expert from the evaluation (and on the scope, i.e. only for the proposal(s) concerned or also for competing proposal(s) or the entire call) and, if necessary, to replace him/her and organise a re-evaluation.

2.2. The expert will be required to confirm — for each proposal(s) s/he is evaluating — that there is no conflict of interest, by signing a declaration in the Participant Portal electronic exchange system (see Article 21).

If the expert is (or becomes) aware of a conflict of interest, s/he must immediately inform the responsible Agency staff and stop working until further instructions.

2.3. If the expert breaches any of his/her obligations under Points 2.1 and 2.2, the Agency may apply the measures set out in Chapter 5, and in particular terminate the Contract (see Article 17).

3. Confidentiality

3.1 During implementation of the Contract and for five years after the date of the last payment, the expert must keep confidential all data, documents or other material (in any form) that is disclosed (in writing or orally) and that concerns the work under the Contract ('confidential information').

Unless otherwise agreed with the responsible Agency staff, s/he may use confidential information only to implement the Contract.

The expert must keep his/her work under the Contract strictly confidential, and in particular:

(a) not disclose (directly or indirectly) any confidential information relating to proposal(s) or applicants, without prior written approval by Agency;

(b) not discuss proposal(s) with others (including other experts or Agency staff that are not directly involved in the evaluation of the proposal(s)), except during evaluation meetings and with prior approval by the responsible Agency staff;

(c) not disclose:

- details on the evaluation process or its outcome, without prior written approval by Agency;
- details on his/her position/advice;
- the names of other experts participating in the evaluation.

(d) not communicate with applicants (including linked third parties or other third parties involved in the actions) nor with the principal investigators or potential team members or persons linked to them during the evaluation or afterwards — except in panel hearings, interviews or on-site visits.

If the Agency makes documents or information available electronically for remote work, the expert is responsible for ensuring adequate protection and for returning, erasing or destroying all confidential information after the end of the evaluation (if so instructed).

If the expert works on Agency premises, the expert:

(a) may not remove from the premises any documents, material or information on the proposal(s) or on the evaluation;

(b) is responsible for ensuring adequate protection of electronic documents and information and for returning, erasing or destroying all confidential information after the end of the evaluation (if so instructed).

If the expert uses outside sources (for example internet, specialised databases, third party expertise etc.) for his/her evaluation, s/he:

(a) must respect the general rules for using such sources;

(b) may not contact third parties, without prior written approval by the Agency.

The confidentiality obligations no longer apply if:

- the Agency agrees to release the expert from the confidentiality obligations;
- the confidential information becomes public through other channels;
- disclosure of the confidential information is required by law.

3.2 If the expert breaches any of his/her obligations under Point 3.1, the Agency may apply the measures set out in Chapter 5.