



**Agronomická
fakulta**

20.10.2017, Pardubice

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**Personal experience from H2020 MSCA:
independent (ethics) expert point of view**

H2020-MSCA-2015-IF

H2020-MSCA-IF-2016

**Mendelova
univerzita
v Brně**



ENV panel, 9-13 November 2015

IF 2016 - ETHICS 12-16 December 2016

IF 2015: Overview



Panel	CAR	GF	RI	ST	Grand Total
CHE	18	78	50	860	1.006
ECO	8	22	13	163	206
ENG	16	148	72	801	1.037
ENV	28	157	62	823	1.070
LIF	54	253	208	1823	2.338
MAT		20	12	160	192
PHY	10	85	65	811	971
SOC	57	241	84	1312	1.694
Grand Total	191	1.004	566	6.753	8.514

Submitted	Transfers from CAR/RI/GF to ST	Ineligible/ Inadmissible	Total Eligible	Withdrawn	TOTAL Evaluated
1.070	4	13	1.057	2	1.055

- **1 Chair**
- **19 Vice-Chairs**
- **158 Evaluators**

- **IER tasks/evaluator: 17 – 22 proposals (average 20)**
- **Rapporteur tasks/evaluator: 5-8 proposals (average 7)**
- **8-9 experts/VC**

Overview of evaluation criteria

Evaluation Criterion	Threshold	Weight	Priority if ex-aequo
Excellence	n/a	50%	1
Impact	n/a	30%	2
Implementation	n/a	20%	3
Total	70%		

IF – Evaluation criteria



Excellence	Impact	Implementation
Quality, innovative aspects and credibility of the research (including inter/multidisciplinary aspects)	Enhancing research- and innovation-related human resources, skills and working conditions to realise the potential of individuals and to provide new career perspectives	Overall coherence and effectiveness of the work plan, including appropriateness of the allocation of tasks and resources
Clarity and quality of transfer of knowledge/training for the development of researcher in light of the research objectives	Effectiveness of the proposed measures for communication and results dissemination	Appropriateness of the management structures and procedures, including quality management and risk management
Quality of the supervision and the hosting arrangements		Appropriateness of the institutional environment (infrastructure)
Capacity of the researcher to reach or re-enforce a position of professional maturity in research		Competences, experience and complementarity of the participating organisations and institutional commitment

Overview of the Evaluation Process

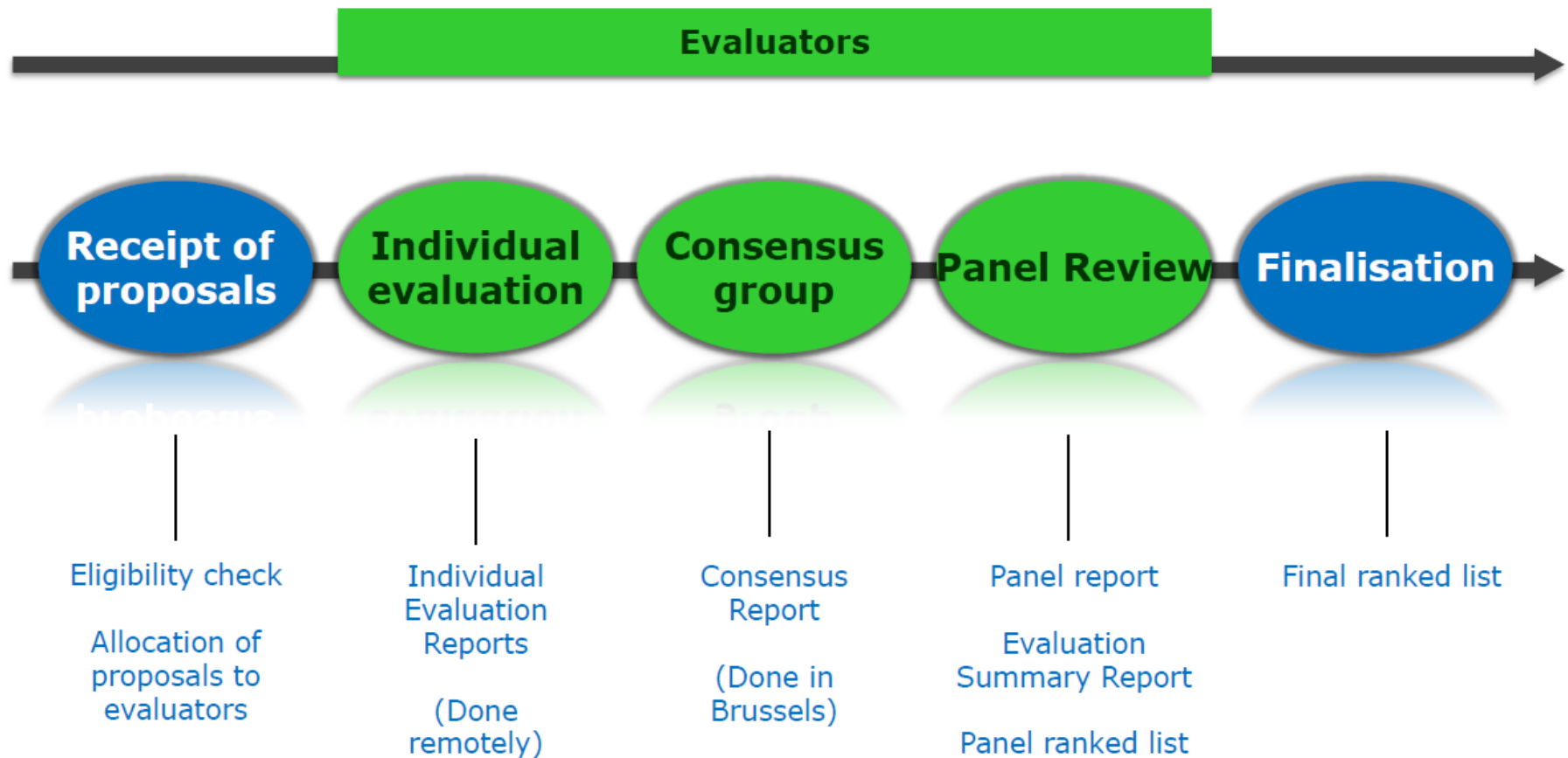


TABLE OF CONTENTS

LIST OF PARTICIPANTS

START PAGE COUNT.....

- | | | |
|----|----------------|--------------|
| 1. | SUMMARY | |
| 2. | EXCELLENCE | |
| 3. | IMPACT | MAX 10 pages |
| 4. | IMPLEMENTATION | |

STOP PAGE COUNT.....

- | | |
|----|--|
| 5. | CV OF THE EXPERIENCED RESEARCHER (<u>max 5 pages</u>) |
| 6. | CAPACITIES OF THE PARTICIPATING ORGANISATIONS (<u>max 1 page</u> for the Beneficiary; <u>max 0.5 page</u> for Partner Organisation in the GF) |
| 7. | ETHICAL ASPECTS |
| 8. | LETTERS OF COMMITMENT OF PARTNER ORGANISATIONS (<u>only for GF</u>) |

CRITERION 1 (weight 50%)

EXCELLENCE

Sub-criterion 1.1 Quality, innovative aspects and credibility of the research (including interdisciplinary/ multidisciplinary aspects)

- Introduction, state-of-the-art, objectives and overview of the action
- Research methodology and approach: *highlight the type of research and innovation activities* proposed
- Originality and innovative aspects of the research programme

Sub-criterion 1.2 Clarity and quality of transfer of knowledge/training (for the development of researcher in light of the research objectives)

- Extent to which the Experienced Researcher *will gain new knowledge* from the hosting organisation(s) during the fellowship through training
- *Extent to which the hosting organization(s) may also benefit from the previous experience of the researcher*
- How the knowledge previously acquired by the researcher will be transferred to the host organisation(s)

Important Clarifications for Evaluation Criteria

Criterion Excellence/Sub-criterion 2

- Two way transfer of knowledge:
 - i) **From the host to the researcher:** new skills and knowledge that planned to be acquired during the fellowship
 - ii) **From the researcher to the host:** knowledge and skills previously acquired
- When assessing this subcriterion, consider the researcher's level of research experience
- For Global Fellowships: assess how the new skills and knowledge acquired in the Third Country will be transferred back to the host institution in Europe

CRITERION 1 (weight 50%)

EXCELLENCE

Sub-criterion 1.3 Quality of the supervision (including hosting arrangements)

- Qualifications and *experience of the supervisor* (s): i.e., supervisors' level of experience on the research topic proposed and documented track record of work (such as: main international collaborations. participation in projects, publications...).
- Hosting arrangements (administrative and “*settling-in*” support, etc.) covering how the experienced Researcher will be (well) *integrated within the hosting organisation(s)* in order that all parties gain the maximum knowledge and skills from the fellowship.

Sub-criterion 1.4 Capacity of the researcher (to reach or re-enforce a position of professional maturity in research)

- Research experience (including assessment of the *match between the Researcher's profile and the proposed project*)
- Research results including patents, publications, teaching etc, taking into account the level of experience
- Independent thinking and leadership qualities
- Potential for reaching a position of professional maturity

CRITERION 2 (weight 30%)

IMPACT

Sub-criterion 2.1 Enhancing research- and innovation-related human resources, skills, and working conditions (to realise the potential of individuals and to provide new career perspectives)

- *Impact of the research and training on the Experienced Researcher's career*
- Impact of the Researcher's activity on European society, including the science base and/or the economy (in a manner appropriate to the specific research field)

Sub-criterion 2.2 Effectiveness of the proposed measures for communication and results dissemination

- Communication and public engagement strategy of the action
- Dissemination of the research results
- *Exploitation of results and intellectual property*

The Gantt chart (see sub-criterion 3.1 below) should highlight these activities.

Important Clarifications for Evaluation Criteria

Criterion Impact/Sub-criterion 1

- You should assess:
 - the expected impact to increase career prospects for the Experienced Researcher
 - to what extent competences acquired during the fellowship, including any secondments, increase the impact of the researcher's future activity on European society
- However, the main focus and attention should be on the impact of the project on the career of the researcher and not on the researcher's activity on European society

CRITERION 3 (weight 20%)

IMPLEMENTATION

Sub-criterion 3.1 Overall coherence and effectiveness of the work plan (including appropriateness of the allocation of tasks and resources)

The proposal should be designed in the optimal way to achieve the desired impact. A Gantt chart should be included in the text where the following should be listed: *Work Packages description; List of major deliverables; List of major milestones;* Secondments if applicable. The Gantt chart must also cover the “*dissemination activities*” assessed under sub-criterion 2.2 (above).

Sub-criterion 3.2 Appropriateness of the management structure and procedures (including quality management and risk management)

- *Project organisation and management structure*, including the financial management strategy, as well as the progress monitoring mechanisms put in place;
- *Risks* that might endanger reaching project objectives and the *contingency plans* to be put in place should risk occur.

The following could be also included in the Gantt chart (see sub-criterion 3.1): Progress monitoring; Risk management; Intellectual Property Rights (IPR).

Sub-criterion 3.3 Appropriateness of the institutional environment (infrastructure)

- According to the *description of the legal entity/ies and its main tasks* (per participant, as described in the tables of section 6 of the proposal).
- Has the fellowship a maximum chance of a successful outcome?

Sub-criterion 3.4 Competences, experience and complementarity of the participating organisations and institutional commitment

- How the *fellowship will be beneficial for both* the Experienced Researcher and host organisation(s).
- Commitment of beneficiary and partner organisations to the programme

Full scoring scale consistent with the comments

Excellent. The proposal successfully addresses all relevant aspects of the criterion. Any shortcomings are minor.

Very Good. The proposal addresses the criterion very well, but a small number of shortcomings are present.

Good. The proposal addresses the criterion well, but a number of shortcomings are present.

Fair. The proposal broadly addresses the criterion, but there are significant weaknesses.

Poor. The criterion is inadequately addressed, or there are serious inherent weaknesses.

The proposal **fails** to address the criterion or cannot be assessed due to missing or incomplete information.

5

Excellent

4

Very Good

3

Good

2

Fair

1

Poor

0

Importance of Research Ethics in H2020



- ✓ For all activities funded by the European Union, **Ethics** is an integral part of research from beginning to end.
- ✓ **Ethical compliance** is crucial for **all scientific domains** (not only in Life Sciences).
- ✓ In H2020, all proposals considered for funding will be submitted to an **Ethics Review**.
- ✓ All proposals must describe **ethical issues** raised & how they will be addressed so as to **conform to national, European and international regulations**.

Ethics Issues Table



1. HUMAN EMBRYOS/FOETUSES ⁱ		Page
Does your research involve Human Embryonic Stem Cells (hESCs) ?	<input type="radio"/> Yes <input type="radio"/> No	
Does your research involve the use of human embryos?	<input type="radio"/> Yes <input type="radio"/> No	
Does your research involve the use of human foetal tissues / cells?	<input type="radio"/> Yes <input type="radio"/> No	
2. HUMANS		Page
Does your research involve human participants?	<input type="radio"/> Yes <input type="radio"/> No	
Does your research involve physical interventions on the study participants?	<input type="radio"/> Yes <input type="radio"/> No	
Does it involve invasive techniques?	<input type="radio"/> Yes <input type="radio"/> No	
3. HUMAN CELLS / TISSUES		Page
Does your research involve human cells or tissues? If your research involves human embryos/foetuses, please also complete the section "Human Embryos/Foetuses" [Box 1].	<input type="radio"/> Yes <input type="radio"/> No	
4. PROTECTION OF PERSONAL DATA ⁱⁱ		Page
Does your research involve personal data collection and/or processing?	<input type="radio"/> Yes <input type="radio"/> No	
Does your research involve further processing of previously collected personal data (secondary use)?	<input type="radio"/> Yes <input type="radio"/> No	
5. ANIMALS ⁱⁱⁱ		Page
Does your research involve animals?	<input type="radio"/> Yes <input type="radio"/> No	

6. NON-EU COUNTRIES		Page
Does your research involve non-EU countries?	<input type="radio"/> Yes <input type="radio"/> No	
Do you plan to use local resources (e.g. animal and/or human tissue samples, genetic material, live animals, human remains, materials of historical value, endangered fauna or flora samples, etc.)?	<input type="radio"/> Yes <input type="radio"/> No	
Do you plan to import any material - including personal data - from non-EU countries into the EU? If you consider importing data, please also complete the section "Protection of Personal Data" [Box 4].	<input type="radio"/> Yes <input type="radio"/> No	
Do you plan to export any material - including personal data - from the EU to non-EU countries? If you consider exporting data, please also complete the section "Protection of Personal Data" [Box 4].	<input type="radio"/> Yes <input type="radio"/> No	
If your research involves low and/or lower middle income countries , are benefits-sharing measures foreseen?	<input type="radio"/> Yes <input type="radio"/> No	
Could the situation in the country put the individuals taking part in the research at risk?	<input type="radio"/> Yes <input type="radio"/> No	
7. ENVIRONMENT PROTECTION		Page
<small>^{vi} Directive 2001/18/EC - ^{vii} Directive 2004/41/EC - ^{viii} Regulation EC No 1831/2003 - ^{ix} Directive 2009/56/EC - ^x Council Directive 92/43/EEC - ^{xi} Council Directive 79/409/EEC - ^{xii} Council Regulation EC No 338/97</small>		
Does your research involve the use of elements that may cause harm to the environment, to animals or plants?	<input checked="" type="radio"/> Yes <input type="radio"/> No	36
Does your research deal with endangered fauna and/or flora and/or protected areas?	<input type="radio"/> Yes <input type="radio"/> No	
Does your research involve the use of elements that may cause harm to humans, including research staff?	<input checked="" type="radio"/> Yes <input type="radio"/> No	37
8. DUAL USE ^{xiii}		Page
Does your research have the potential for military applications?	<input type="radio"/> Yes <input type="radio"/> No	
9. MISUSE		Page
Does your research have the potential for malevolent/criminal/terrorist abuse?	<input type="radio"/> Yes <input type="radio"/> No	
10. OTHER ETHICS ISSUES		Page
Are there any other ethics issues that should be taken into consideration? Please specify	<input type="radio"/> Yes <input type="radio"/> No	

Indicates pages in Part B of the proposal

Key document for Ethics Experts



3. Human cells/tissues

This section refers to research using, producing or collecting human cells or tissues.

Such cells or tissues may:

- be obtained from commercial sources
- originate from another laboratory, institution or biobank
- be produced or collected by you during previous research activities or
- be produced or collected by you as part of this research project.

3.1 Ethics issues checklist

Section 3: HUMAN CELLS / TISSUES	YES/NO		Page	Information to be provided	Documents to be provided
Does your research involve human cells or tissues (other than from Human Embryos/Foetuses, see section 1)?	<input type="checkbox"/>	<input type="checkbox"/>		Details of the cells/ tissue types. plus:	Copies of relevant Ethics Approvals. Copies of accreditation/designation/authorisation/ licensing for using, processing or collecting the human cells or tissues (if required). plus:

http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/ethics/h2020_hi_ethics-self-assess_en.pdf

1. Human embryos and fetuses (& hESC)
2. Humans
3. Human cells/tissues
4. Personal data
5. Animals
6. Third countries / Non-EU Countries
7. Environment & Health and Safety
8. Dual use
9. Misuse
10. Other issues

Ethics Opinion

✓ **Ethics clearance**

The proposal is **ethics-ready**: no ethics requirements are included in report

✓ **Conditional ethics clearance**

Ethics requirements are included in report

✓ **Ethics assessment recommended**

Limited number of cases:

- serious and/or complex ethics issues (e.g. severe intervention on humans)
- Human Embryonic Stem Cells (hESCs)

✓ **Additional information needed**

Insufficient information in the proposal



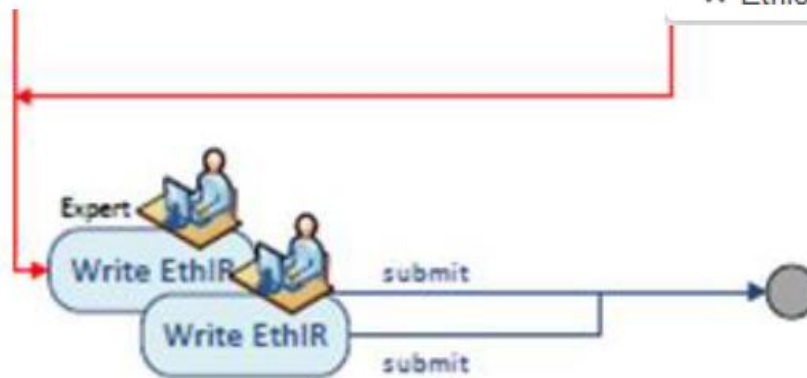
EthIR

Remote Phase



SCREENING EthIR PHASE

Screening concerns proposals (likely) to be funded WITH ethics issues flagged by the applicant, or proposals with issues detected in pre-screening



Ethics Individual Report

✗ Write EIR

Ethics Consensus Report

✗ Approve ECR

✗ Ethics Consensus Report

Task: Write EIR

- Draft the **Ethics individual Report (EthIR)**
- 2 experts per proposal

- **be clear** (short sentences, well arranged text)
- **do not skip/avoid** any requested point
- let the experts to **find the answer easily**
- **impress** by your idea (highlight benefits)
- **the state of the art** – rich overview
- use **common terminology** (deliverables, milestones....)
- **CV** should not have any gap (add e.g. maternity leave or other breaks)
- **do not think „they know“**
- **do not give up if you are not successful**

Thank you and bon courage!