



GUIDELINES FOR EVALUATORS

MSCA COFUND DOC2AMU

3I Doctoral Programme



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1. GENERAL

DOC2AMU is an innovative doctoral programme coordinated by the Doctoral College of Aix-Marseille University (AMU) and managed by Protisvalor Méditerranée.

The present Guidelines for Evaluators are published as DOC2AMU is compliant with the code of conduct for the recruitment of researchers, the European charter for researchers and with the ethical procedures and regulations of the Commission. The evaluation of these projects proposals is carried out by the DOC2AMU Selection Committee, composed of six independent external experts, the director of the Doctoral College, and the five intersectoral and interdisciplinary Research Poles' coordinators of AMU. The evaluation and selection process will comply with the Guide for Applicants – Marie Skłodowska-Curie actions, Co-funding of Regional, National, and International Programmes (COFUND):

http://ec.europa.eu/research/participants/portal/doc/call/h2020/msca-cofund-2015-dp/1652606-guide-for-applicants-2015_en.pdf)



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The experts evaluate eligible proposals on a personal basis, not as representatives of their employer, their country or any other entity. They are expected to be independent, impartial and objective, and to behave in a professional manner throughout the process.

Before commencing their work, evaluators will have to read and accept a non-disclosure agreement of confidentiality and conflict of interest (Annex I of this Guideline for Evaluators). This agreement requires experts to maintain strict confidentiality with respect to the entire evaluation process, during and after the evaluation. It can be found in Annex 1 of these Guidelines.

Under no circumstance may an evaluator attempt to contact an applicant on his/her own account, either during the evaluation or afterwards.

All eligible applications are evaluated against the criteria established by DOC2AMU Call for Proposals. Evaluation is performed individually and remotely by the Selection Committee, according to the Evaluation Grid provided on the secure evaluator portal of the DOC2AMU website (<http://doc2amu.univ-amu.fr>).

Under the terms of this agreement, the experts must disclose beforehand any known conflicts of interest, and immediately inform the DOC2AMU Project Management Team if such conflicts become apparent during the course of the evaluation. The DOC2AMU Project Management Team is composed of the Project coordinator, the European Project Manager and the financial Manager. The DOC2AMU Project Management Team and the DOC2AMU Selection Committee will take whatever action is necessary to eliminate such conflicts, as described in section 3 of the present Guidelines.



2. CODE OF CONDUCT FOR EVALUATORS

- The task of an evaluator is to participate in the confidential, fair and unbiased evaluation of each proposal according to the criteria of the DOC2AMU programme. The evaluator must invest her/his best efforts to do so and subsequently deliver a high quality work.
- The evaluator works as an independent person. Such a person is deemed to work in a personal capacity and, in performing the work, does not represent any organisation.
- The evaluator must use appropriate, non-discriminatory language related to evaluation of proposals.
- The evaluator commits him/herself to strict confidentiality and impartiality concerning his/her tasks. If an evaluator has a direct or indirect connection with a proposal, or other interest in any way connected with a proposal, or has any other allegiance which may impair his/her neutrality with respect to a proposal, the evaluator must declare such facts to the DOC2AMU Project Management Team as soon as he/she becomes aware of such circumstances. The DOC2AMU Project Management Team and the Selection Committee will ensure that, where the nature of any relation is such that it could threaten the evaluator's neutrality, he/she will not participate in the evaluation of the respective proposal and, if necessary, the competing proposals.
- Evaluators may not discuss any proposal with others, including other evaluators, before the Selection Committee meeting that will follow via a telephone or web conference (local members of the Selection Committee will attend in person). The Project Manager will review the process to ensure that fairness has been displayed at all levels of the evaluation and in achieving consensus. She will record the agreed points and produce a selection consensus report detailing the decision of the DOC2AMU Selection Committee.
- Evaluators may not communicate with applicants. No proposal may be modified during the evaluation process.
- Evaluators will log their evaluations to the DOC2AMU Project Manager through the tool provided on the website.
- The evaluator will be held personally responsible for maintaining the confidentiality of any documents or electronic files sent, including the returning, erasing or destroying of all confidential documents or files upon completing the evaluation as instructed. Evaluators may seek further information (i.e.: on the internet, specialized databases, etc.) for the purpose of



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completing the examination of proposals. Evaluators must not disclose the contents of proposals or information on applicants to third parties (i.e.: colleagues, students, etc.).

- Evaluators are required to comply strictly with any rules defined by the DOC2AMU Selection Committee to ensure confidentiality of the evaluation. Failure to do so may result in the exclusion from current and future evaluation processes.



3. HANDLING OF CONFLICTS OF INTEREST

By reading and accepting the code of conduct for evaluators, and after reviewing the project summaries, the evaluator will notify the DOC2AMU Project Management Team of any possible conflict of interest.

Conflict of interest can be direct or indirect. In a direct conflict of interest, an evaluator is involved in at least one of the following or similar situations regarding at least one of the thesis projects for which evaluation is requested within the same Call for proposals:

- A person is an applicant, a team member, or consultant in one of the proposals, or was involved in the preparation of such a proposal.
- A person is in a kinship relation with any of the persons involved in the proposal.
- A person has a personal interest or direct financial gain and would therefore benefit from one of the proposals being funded or not funded.

A person in a direct conflict of interest cannot participate in the evaluation process.

In an indirect conflict of interest, an evaluator is involved in at least one of the following or similar situations:

- A person has some other professional/business relation with at least one of the proposals
- A person is a competitor to the proposal in a scientific or business sense
- Persons who have been in a student/professor relationship with the person involved in the proposal, having less than 5 years of scientific autonomy or in any other professional relationship in the last 3 years.
- A person who has co-authored publications with the project bearer in the last 5 years.
- A person that may have any other relationship with a project bearer affecting his/her impartiality.



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A person in an indirect conflict of interest cannot be an evaluator, but can act as an observer on the Selection Committee meeting.

Members of the DOC2AMU Project Management Team and the DOC2AMU Selection Committee, and their families may not compete in the frame of the DOC2AMU Calls for Proposals. In case of other forms of personal relationships between a member of the DOC2AMU Project Management Team and/or the DOC2AMU Selection Committee and the project bearer, the DOC2AMU Selection Committee member and/or the DOC2AMU Project Management Team member must disclose such possible conflicts of interest on one or more proposals once information of the proposals applying for selection is presented.

The DOC2AMU Project Management Team or Selection Committee member who is involved in a conflict of interest regarding a specific proposal must remain neutral when a decision on financing is being made, must leave the premises while a discussion concerning the selection of a thesis project is in progress, must not comment on the evaluation process results or disclose information that might make influence the DOC2AMU Selection Committee's decision on selection. If the DOC2AMU member is in a conflict of interest with regard to any of the proposals, he/she will not participate in the selection of the proposal in question.

If the evaluator is in a direct conflict of interest with at least one of the proposals, the DOC2AMU Selection Committee will exclude him/her from the immediate evaluation procedure. If an evaluator is in an indirect conflict of interest, he/she may not participate in the evaluation of the particular proposal.

In case a conflict of interest is not fully described in this document, the DOC2AMU Selection Committee will make the final decision as to whether the particular evaluator may participate in the evaluation procedure or not, and whether to accept the evaluation report.

4. SELECTION OF EVALUATORS

The DOC2AMU Selection Committee will oversee the selection process for the selection of the external experts to evaluate the theses projects. The DOC2AMU Selection Committee will choose suitably qualified evaluators for the evaluation panels. Where possible, experts who evaluated theses proposals will also assess the corresponding applicants during Stage 3 of the Selection process (see figure on page 11).



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The evaluators will be identified from French, European and international organisations and will be selected to fit the scientific scope of the submitted proposals. A balance of nationalities and expertise will be sought, making sure that the panel represents international group of scientists. This will ensure impartiality during the evaluation of the applications.

Sources for finding potential evaluators are listed below:

- Scientific databases such as successful EU and international project coordinators
- Recommendations from the DOC2AMU Selection Committee
- Recommendations from successful and eminent scientists
- other COFUND expert databases

The DOC2AMU Selection Committee will regularly update the list of experts capable of evaluating the proposals. The list is drawn up to ensure:

- A high level of expertise
- An appropriate range of competencies, including the appropriate English language skills required for the proposals to be evaluated
- An appropriate balance between academic and industrial expertise and users
- A reasonable gender balance
- A reasonable distribution of geographical origins
- Regular rotation of experts
- Absence of any conflict of interest

In constituting the lists of experts, the DOC2AMU Selection Committee also takes account of their abilities to appreciate the industrial and/or societal dimension of the proposed work.



5. EVALUATION AND SELECTION

BEFORE THE EVALUATION

Once submitted the applicant will receive an email of acknowledgment of receipt of proposal. Eligibility criteria for each proposal are checked before the evaluation begins. Proposals which do not fulfil these criteria will not be included in the evaluation. Within the DOC2AMU Call for Proposals, a proposal will only be considered eligible if it meets all of the following conditions:

- **It is carried by certified Professors and researchers affiliated to one of the 12 AMU Doctoral Schools**
- **It is submitted to the DOC2AMU website before the closing date**
- **It is presented using the template found in the Call for Proposals.**
- **It addresses one of the six thematic topics: imaging, big data, climate change, globalisation, networks, nano-health**
- **It is interdisciplinary, intersectoral and international.**

Where a maximum number of pages has been indicated for a section of the proposal, the experts will be instructed to disregard any excess pages.

INDIVIDUAL EVALUATION OF PROPOSALS

After the closing date of this call for projects, each main doctoral school will have to rank the projects proposed by its members. This ranking will be provided as additional information to the Selection Committee.

Subsequently, the DOC2AMU Selection Committee will select among the received and ranked proposals 22 doctoral thesis projects to be published. Evaluation will be done remotely using an online secured tool of the DOC2AMU website. The selection criteria for these 22 projects are:

Evaluation criteria	
Criterion 1: Relevance and added value of the research project in terms of interdisciplinary and innovative aspects.	<ul style="list-style-type: none"> ✓ What is the impact of the Doctoral supervisor's publications in the research field? ✓ Is the Doctoral thesis project innovative when compared to the previous research activities of the



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	<p>supervisor?</p> <ul style="list-style-type: none"> ✓ Rate the quality and role of the academic partner(s) involved in the project ✓ Rate the social impact of the project ✓ Rate the integration of the thesis project in the interdisciplinary research axis
<p>Criterion 2: Novelty and originality of the approach, with regards to the “3I” dimensions.</p>	<ul style="list-style-type: none"> ✓ Are two laboratories linked to two Doctoral Schools involved in the thesis project? Rate the added value of this collaboration. ✓ Is a non-academic partner implicated? Rate its involvement.
<p>Criterion 3: Feasibility and potential research outcomes</p>	<ul style="list-style-type: none"> ✓ Is the doctoral research project feasible within a period of three years? The proposed work plan is useful for this criterion. ✓ What is the potential of research outcomes (publications, communications in international conferences, patents, academic and private sectors recruitment opportunities after doctorate completion, etc.)?
<p>Criterion 4: Potential impact and added value for the career of ESR</p>	<ul style="list-style-type: none"> ✓ Rate the quality of the management of the Doctoral supervisor based on his/her previous thesis supervisions: <ul style="list-style-type: none"> ○ Peer-review publications of previous doctoral researchers during their thesis (number and journal quality); ○ Average duration of the previously supervised doctoral theses; ○ Integration rate and the quality of integration of the previously supervised Doctorate degree holders
<p>Criterion 5: Potential impact of the project, fundamental and/or</p>	<ul style="list-style-type: none"> ✓ Does the project interact with one of the targeted regional challenges:



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<p>applied</p>	<p>(1) Risks, Security and Safety</p> <ul style="list-style-type: none"> a. Promoting global solutions for environmental surveillance and crisis management b. Reinforcing technological competitiveness for security solutions and diversifying applications <p>(2) Smart and sustainable mobility</p> <ul style="list-style-type: none"> a. Promoting user-centred mobility solutions that allow the optimisation of people or merchandise flows b. Developing new harbour and airport services or infrastructures that are both safe and energy-efficient c. Reinforcing the industrial competitiveness of aeronautics and naval industries by developing new means of transportation and promoting new activities <p>(3) Health and Nutrition</p> <ul style="list-style-type: none"> a. Bettering patient management with early diagnosis, assistance with the medical diagnosis and development of medical devices b. Developing e-health solutions c. Preventing diseases with the promotion of the Mediterranean Diet <p>(4) Tourism, Cultural industries and digital technology</p> <ul style="list-style-type: none"> a. Developing e-tourism solutions and increasing the flow of international visitors b. Creating links between the Transmedia and the Smart City <p>(5) Energy transition and Energy efficiency</p>
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	<ul style="list-style-type: none"> a. Building an offer of global service on thermic renovation in a Mediterranean climate b. Promoting management and security systems in Smart Grids c. Developing production of Renewable Marine Energies <p>✓ Does the project show great potential impact, fundamental or applied?</p>
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Evaluation scores will be given for each of the five criteria. Each criterion will be scored out of 5. A score 0 means that the proposal fails to address the criterion under examination or cannot be judged due to missing or incomplete information. A **score 1** means **poor** and, therefore, that the criterion is addressed in an inadequate manner, or there are serious inherent weaknesses. A **score 2** means **fair** and, therefore, that while the proposal broadly addresses the criterion, there are significant weaknesses. A **score 3** means **good** and, therefore, that the proposal addresses the criterion well, although improvements would be necessary. A **score 4** means **very good** and, therefore, the proposal addresses the criterion very well, although certain improvements are still possible. A **score 5** means **excellent** and, therefore, that the proposal successfully addresses all relevant aspects of the criterion in question.

The scorings for the different criterion are summarised in the table below.

Criteria	Scoring
Criterion 1: Relevance and added value of the research project in terms of interdisciplinary and innovative aspects.	25%
Criterion 2: Novelty and originality of the approach, with regards to the “3I” dimensions.	25%
Criterion 3: Feasibility and potential research outcomes	20%
Criterion 4: Potential impact and added value for the career of ESR	15%
Criterion 5: Potential impact of the project, fundamental and/or applied	15%



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- Only proposals scoring a minimum of 12 points will be considered for selection.

- Thesis projects will be selected according to the selection ranking, for up to 22 projects.

SELECTION COMMITTEE MEETING

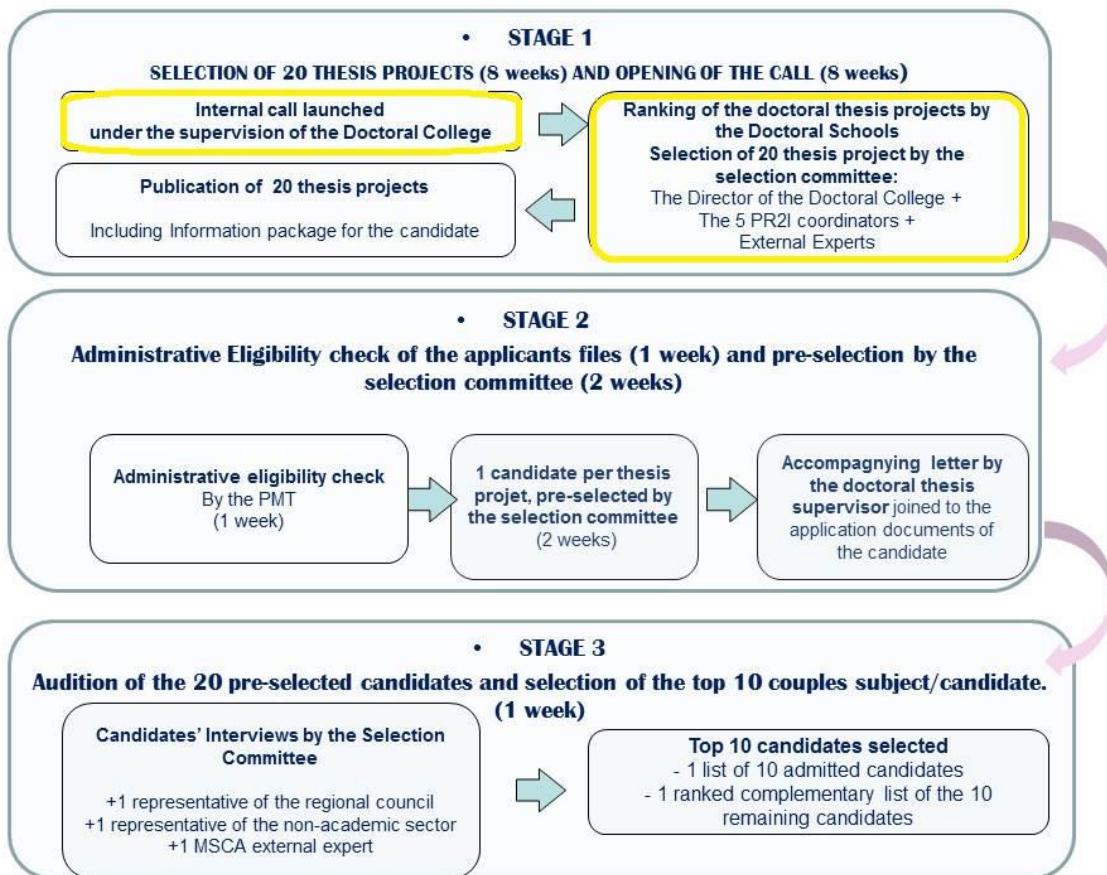
A selection meeting involving the DOC2AMU Selection Committee and the DOC2AMU project manager (acting as observer) will follow via a telephone or web conference (local members of the Selection Committee will attend in person). The observer will review the process to ensure that fairness has been displayed at all levels of the evaluation (on conflicts of interest, etc.) and in achieving consensus. She will record the agreed points and produce an evaluation consensus report detailing the decision of the DOC2AMU Selection Committee.

OUTCOME OF CONSENSUS

Proposals that successfully pass the selection process and are shortlisted for final selection will be published as broadly as possible so that international Master degree holders from any country will have a chance to apply and to possibly be selected. The call for applicants will be opened for 8 weeks and the whole process is planned to allow ESRs to start their Doctorate at the beginning of October of the same year. This is Stage 1 of the DOC2AMU Selection process.

The DOC2AMU Redress Procedure Following the Decision of the Selection Committee can be found on the website at: <http://doc2amu.univ-amu.fr/en/application-information/overview-of-the-selection-process-and-guidelines-for-evaluators>

Please note that applicants will be entitled to ask for anonymous copies of their evaluations.



During Stage 2, an administrative eligibility check of the applicants' files will take place, followed by a selection of one candidate per thesis project. These 22 candidates will then be invited in for interviews.

Interviews are Stage 3 of the Selection process. The 22 preselected candidates will be invited for an interview in Marseilles, and the Final Selection Committee will choose up to 11 project /candidate pairs.

Guidelines for Evaluators will also be published for the Call for Applicants (Stage 2) and for the Final Selection Committee (Stage 3).



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6. ADDITIONAL INFORMATION

All inquiries should be addressed to the DOC2AMU Project manager, Ms. Sarah SAWYER:

Email: sarah.ethier-sawyer@univ-amu.fr

Phone: + 33 04 91 99 85 95



ANNEX I: AGREEMENT OF NON-DISCLOSURE/CONFIDENTIALITY AND CONFLICT OF INTEREST

In the framework of the DOC2AMU doctoral programme, I, the undersigned, (*name and surname, professional address*), understand that being involved in the evaluation of applications (hereafter “research projects”) within the DOC2AMU 2nd Call for Projects implies the use of confidential scientific, technical, industrial or commercial information (hereafter “confidential information”) related to the research project(s) I am reviewing which will be communicated to me through written, oral form or any other support.

CONFIDENTIALITY

I expressly agree and undertake:

- To only use the confidential information for the review
- To neither reproduce nor disclose – in any form – all or part of the confidential information
- To take all preventative measures to prevent the disclosure of the confidential information to a third party
- Not to file a patent application or any other title of intellectual property based on confidential information
- To destroy the confidential Information, and any and all reproduction thereof, upon the completion and submission of the review(s)

However, these provisions of confidentiality will not apply to the information:

- That was lawfully in my possession prior to signing this agreement
- That has come into the public domain other than by a breach of this agreement
- That is required by law to be disclosed

CONFLICT OF INTERESTS

I also declare and undertake



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- Not to be currently working on any important collaboration or being in direct competition with the applicant to review
- Not to take any advantage from my position to profit myself, my relatives, my colleagues, my laboratory or my organisation
- Not to make contact, in any case, with the applicants in the framework of my mission
- To evaluate the research project(s) with equity and objectivity

I commit myself to take all necessary measures to respect the above mentioned obligations.

Date:

Signature: