

Work Programme 2020

Generic Call for Proposals

AAPG 2020 Guide

Submission, Evaluation, Selection and Funding Guidelines

Applicants are advised to carefully read the entire document as well as the full-text version of the AAPG 2020 and the Regulations concerning the conditions of allocation of ANR funding before submitting research project pre-proposal, registration or proposal.

Contents

A. CC	ONTEXT OF GENERIC CALL FOR PROPOSALS 2020	5
A.1. C	BJECTIVES OF THE GENERIC CALL FOR PROPOSALS	5
A.2. F	UNDING INSTRUMENTS	6
A.2.1.	International Collaborative Research Projects (PRCI)	8
A.2.2.	Collaborative Research Projects involving Enterprises (PRCE)	13
A.2.3.	Collaborative Research Projects (PRC)	14
A.2.4.	Young Researchers Projects (JCJC)	14
B. TH	IE TWO-STAGE SELECTION PROCESS FOR THE AAPG IN 2020	16
B.1. G	ENERAL PROCESS	16
B.2. P	ARTIES INVOLVED IN THE EVALUATION AND SELECTION PROCESS	16
B.3. T	HE SCIENTIFIC EVALUATION PANELS FOR THE 2020 AAPG	17
	TAGE 1: PRE-PROPOSAL SUBMISSION AND EVALUATION PROCEDURES, DURES	
B.4.1.	Submitting pre-proposals (PRC/PRCE/JCJC instruments) and registering (PRC 17	CI instrument)
B.4.2.	Eligibility of pre-proposals and registrations	21
B.4.3.	Evaluation of pre-proposals	24
B.5. S	TAGE 2: FULL PROPOSAL SUBMISSION AND EVALUATION PROCEDURES	25
B.5.1.	Submitting full proposals	25
B.5.2.	Eligibility of full proposals	28
B.5.3.	Evaluation of full proposals	33
C. AN	NNEX 1: PROVISIONAL TABLE FOR THE GENERIC CALL FOR PROPOSALS 2020	0 38
	NNEX 2: LIST OF SCIENTIFIC EVALUATION PANELS FOR THE RESEAR RED BY THE WORK PROGRAMME 2020 AND AAPG 2020	
E. AN	NNEX 3: SPECIAL MECHANISMS	41
E.1. V	ERY LARGE RESEARCH INFRASTRUCTURES (TGIR)	41
E.2. C	OMPETITIVENESS CLUSTERS	41

A. Context of Generic Call for Proposals 2020

A.1. Objectives of the Generic Call for Proposals

The <u>Generic Call for Proposals 2020</u> (AAPG 2020) is the "Research and Innovation" component of the ANR's <u>Work Programme 2020</u>.

AAPG 2020 is directed towards all scientific communities and all public¹ and private players involved in French research, including small and medium-sized enterprises (SMEs) and very small enterprises. It is designed to give researchers in various disciplines access to co-funding in a large number of research themes (applied or otherwise) in addition to their allocated recurrent funding.

The "Research and Innovation" component of the ANR's Work Programme 2020, which supports the AAPG 2020, has been structured into 49 research themes:

- 36 research themes spanning 7 disciplinary areas
 - o Environmental Sciences (6 themes)
 - o Energy and Materials Sciences (5 themes)
 - o Life Sciences (10 themes)
 - o Social Sciences and Humanities (4 themes)
 - o Digital Sciences (7 themes)
 - o Mathematics and its Interactions (1 theme)
 - o Physics of Matter, High Energy, Earth and Universe Sciences (3 themes).

13 research themes covering **cross-disciplinary** challenges and integrating issues from various scientific fields:

- Healthcare Environment Society (5 themes)
- o Healthcare Digital (1 theme)
- o Digital Humanities (1 theme)
- Society Digital Security (1 theme)
- o Digital Energy Environment Society (5 themes).

The "Research and Innovation" component also supports, within the Generic Call for Proposals, the implementation of the French state's government work programmes and strategic priorities for 2020. Each priority or government work programme is reflected in one or more of the scientific themes of the ANR's Work Programme and its Generic Call for Proposals². These strategic priorities are described below:

• **Artificial Intelligence** (AI Plan), primarily under theme 5.2 "Artificial intelligence" within the "Digital Sciences" disciplinary area. This priority also covers proposals under disciplinary or interdisciplinary research themes that fall outside this area but involve an AI component.

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¹ The European Regulation on state aid for research, development and innovation uses the terms Entreprises, Research organisations and knowledge spillovers to qualify funding beneficiaries. (see <u>Regulations concerning the conditions of allocation of ANR funding).</u>

² Complementary budgetary guidance will be provided for cross-disciplinary, strategic and French-German priorities (mentioned in this document) and the implementation of government plans, as was the case in 2018 and 2019.

- Social Sciences and Humanities (SSH Plan), primarily under the following themes: 4.1 "Innovation Work", 4.2 "Culture, creations, heritage", 4.3 "Lifelong cognitive skills, education and training" and 4.4 "Inequalities, discriminations, migrations", within the "Social Sciences and Humanities" disciplinary area. This priority also covers proposals under disciplinary or cross-disciplinary research themes that fall outside this area but involve an SSH component.
- **Quantum Technologies**, which comes exclusively under theme 5.7 "Quantum technologies" within the "Digital Sciences" disciplinary area.
- Antimicrobial resistance, which comes under the following themes: 3.1 "Biochemistry of living organisms", 3.2 "Characterisation of structures and structure-function relations of biological macromolecules", 3.3 "Genetics, genomics and RNA", 3.4 "Cellular biology, developmental biology and evolution", 3.6 "Immunology, infectiology and inflammation", 3.7 "Molecular and cellular neuroscience Developmental neurobiology", 3.9 "Translational health research" and 3.10 "Biomedical innovation" within the "Life Sciences" field; theme 2.3 "Molecular chemistry and associated processes for sustainable chemistry" within the "Energy and Materials Sciences" field; and the following cross-disciplinary themes: 8.2 "Contaminants, ecosystems and health", 8.3 "Health-Environment: . Environment, pathogens and emerging or re-emerging infectious diseases, adaptations and antimicrobial resistance", 8.4 "Public health", 8.5 "Mathematics and digital sciences for biology and health" and 8.7 "Healthcare technologies"
- Autism in Neurodevelopmental Disorders, which comes under the following themes: 3.3 "Genetics, genomics and RNA", 3.4 "Cellular biology, developmental biology and evolution", 3.7 "Molecular and cellular neuroscience Developmental neurobiology", 3.8 "Integrative and cognitive neuroscience", 3.9 "Translational health research" and 3.10 "Biomedical innovation" within the "Life Sciences" field; 4.3 "Lifelong cognitive skills, education and training" within the "Social Sciences and Humanities" field; and cross-disciplinary theme 8.7 "Healthcare technologies".
- **Translational Research on Rare Diseases**, which comes exclusively under theme 3.9 "*Translational health research*" within the "*Life Sciences*" fields.
- Cooperation within French-German research projects Complementary budgetary guidance will be issued for French-German collaborative programmes and the implementation of such programmes (Elysée treaty, revised in 2019 at Aachen)

Each theme in the Work Programme corresponds, within the AAPG, to a dedicated scientific evaluation panel covering all topics concerned. The panels dealing with cross-disciplinary themes include members who cover all required disciplines.

The project coordinator chooses the panel which will evaluate the proposal during stage 1 (submission of the pre-proposal for PRC, PRCE and JCJC instruments or registration for the PRCI instrument) and this choice cannot be modified during the process.

Special mechanisms

For "Very large research infrastructures (TGIR)", and "Competitive clusters" see Annex 3.

A.2. Funding instruments

There are four funding instruments in the Generic Call for Proposals divided into two categories:

- ➤ The "Collaborative Research" category proposes three instruments: "Collaborative Research Projects" (PRC), "Collaborative Research Projects involving Enterprises" (PRCE), and "International Collaborative Research Projects" (PRCI).
- ➤ The "Individual" category relates solely to the "Young Researchers" instrument (JCJC).

The expected impact and characteristics of these different funding instruments determine the key points in the selection and are summarised in table 1.

Table 1: Table summarising the four funding instruments

	Consortium specificities	Instrument characteristics
International Collaborative Research Projects (PRCI)	Collaboration between at least one French public research body (a knowledge spillover and research organisation or facility laboratory eligible for ANR funding) applying for ANR funding and at least one foreign partner simultaneously applying for funding from a foreign funding agency as part of a bilateral agreement between the ANR and a foreign agency. Companies may participate, depending on the agreement with the foreign agency ³ .	Balance between the scientific contributions (jointly defined objectives, shared skills and tasks, shared results and intellectual property pursuant to a consortium agreement) and financial contributions of the respective partners in each country and added value for France from the collaboration
Collaborative Research Projects involving Enterprises (PRCE)	Collaboration between at least one French public research body (a knowledge spillover and research organisation or facility laboratory eligible for ANR funding) and at least one company conducting research and development work in France. Potential foreign partners participate with their own funds.	Effective collaboration between the two types of partners (objectives defined jointly, shared skills and tasks, shared risks and results and intellectual property pursuant to a consortium agreement)
Collaborative Research Projects (PRC)	Collaboration between at least one French public research body (a knowledge spillover and research organisation or facility laboratory eligible for ANR funding) national or international, public or private, research teams or groups. Collaboration within one single public research body (a knowledge spillover and research facility eligible for ANR funding) between several teams or research teams. Potential foreign partners participate with their own funds. Companies conducting R&D work may participate without effective collaboration.	Strong synergy between several skills involved (objectives defined jointly, shared skills and tasks, shared risks and results)

³ Available from the AAPG webpage

Young researchers (JCJC)

Single-partner instrument: a French public research body (a knowledge spillover and research organisation or facility laboratory eligible for ANR funding).

Coordinator who obtained their diploma (PhD or equivalent) less than 10 years ago, and after 01/01/2009 (unless a derogation applies).

Collaboration with foreign and national researchers is possible if own funds are used.⁴

Collaboration with a company conducting R&D work is possible if their own funds are used without effective collaboration.

Empower young researchers working in France and encourage them to adopt innovative approaches as they tackle scientific and technological obstacles.

A.2.1. International Collaborative Research Projects (PRCI)

The "Collaborative Research Projects – International" (PRCI) funding instrument is specific to these bilateral collaborations between at least one French research body (a knowledge spillover and research organisation or facility laboratory eligible for ANR funding) and at least one foreign partner (eligible for funding from a foreign funding agency that has signed a bilateral agreement with ANR).

For PRCI type projects, there should be a strong synergy between partners from both countries, with equal involvement of French and foreign partners. This means:

- Both the French and foreign scientific coordinators being clearly identified and both being actively involved in coordinating the project⁵;
- A work programme showing well-balanced scientific contributions by partners from each country;
- A description of resources showing well-balanced financial contributions by partners from each country.

Under the Generic Call for Proposals 2020, the countries covered by these international bilateral agreements are likely to be:⁷

- Europe: Germany, Austria, Luxembourg and Switzerland.
- > Worldwide: Brazil, Canada Quebec, Hong Kong, Russia, Singapore and Taiwan.

⁴ If the young researcher wishes to include partners using their own funds, they must check that the structure of the project satisfies the objectives and expectations of the JCJC instrument to ensure that the proposal will not be considered as a PRC, PRCE or PRCI. Young researchers can submit a proposal under the PRC, PRCE or PRCI instruments as coordinators.

⁵ If the consortium includes several French partners, one of these partners must be declared as the coordinating partner. If the consortium includes several foreign partners, one of these partners must be declared as the coordinating foreign partner.

⁶ With regard to well-balanced financial contributions by partners from each country, the economic situation of the countries and the partners is taken into account.

⁷ The list of countries covered by the PRCI instrument has yet to be confirmed at the time of publication of the AAPG 2020 and the AAPG 2020 Guide; please refer regularly to the <u>AAPG web page</u> to see the final list.

If they have no foreign partner seeking funding from an **ANR partner agency**, applicants with collaborations based on this type of partnership are requested to choose the PRC or PRCE funding instrument. It is possible for French or foreign companies to participate in a PRCI within the framework of some bilateral agreements but not all of them (see Table 7).

For each country with which ANR has entered into a bilateral agreement, there are specific appendices which describe collaboration themes and any special submission, eligibility and selection procedures. These appendices will be available on the ANR web page dedicated to the generic call for tenders 2020 and must be consulted before any projects are registered or submitted to ANR or any foreign partner.

Proposals submitted under the PRCI instrument must be suitable for the selected scientific theme and research themes defined in the bilateral agreement between the two countries and detailed in specific annexes.

The ANR will send the list of registrations (PRCI) submitted via its website to partner agencies (Europe and worldwide) for their respective projects.

For some international agreements, a "Lead Agency" procedure is set up. Project evaluation is entrusted to one single agency (the "Lead Agency"), which deals with appraising and evaluating projects.

PRCI for which the ANR is the Lead Agency

For 2020, ANR acts as the *Lead Agency* for PRCI projects involving collaboration with **Brazil** (FAPESP), Canada - Quebec (FRQSC) and Luxembourg (FNR). Therefore, these projects must be registered with (stage 1) then submitted to (stage 2) the ANR, by selecting the "PRCI" instrument, according to the conditions described below. The registration and subsequent project proposal submitted by the French coordinator must clearly indicate who the French and foreign partners are and must identify the French and foreign party's scientific coordinator.

Foreign partners may have to provide the foreign agency with some administrative information and some documents (copy of the project proposal for example). **Applicants must refer to the specific annex for the agreement in question**, which is available on the <u>Generic Call for Proposals 2020</u> web page, and on the foreign agency's website.

Any PRCI projects not registered at stage 1 will not be allowed to submit a proposal at stage 2.

PRCI for which a foreign agency is the Lead Agency

For PRCI projects involving collaboration with Germany (DFG), Austria (FWF) and Switzerland (FNS), these agencies act as the respective Lead Agencies in the context of AAG 2020. Therefore, these projects must be submitted to the foreign agency *according to the specific procedure for each agency*. The proposal submitted by the foreign coordinator must clearly indicate who the French partners are and must identify the French party's scientific coordinator.

The French party's scientific coordinator and other partners must provide ANR with administrative information and a copy of the project proposal in accordance with a specific schedule (not the AAPG schedule). Applicants must refer to the specific annex for the agreement in question, when it becomes available on the Generic Call for Proposals 2020 web page, and on the foreign agency's website.

If a copy of the project proposal for a PCRI project is not submitted to the ANR website, the proposal will be rejected by the foreign agency and not evaluated.

It is not necessary to register an intention to submit a proposal with ANR prior to 24 October 2019 if the Lead agency is a foreign agency.

Despite this, all PRCI proposals submitted as such a partnership (Lead agency = foreign agency) are subject to the maximum number of authorised submissions. On this basis, coordinators intending to submit a PRCI with Germany, Austria or Switzerland cannot act as the coordinator for a PRC, PRCE or JCJC type pre-proposal submitted for the AAPG 2020. ANR must be provided with administrative information and a copy of the project proposal the day after the deadlines defined by our partners are submitted at the latest. The applicable procedures have not yet been defined and will be available on the ANR website in the near future.

Non-Lead Agency PRCI

For PRCI projects involving collaboration with Hong Kong (RGC), Russia (RSF), Singapore (NRF) and Taiwan (MOST), proposals must be submitted to both funding agencies in question. The ANR submission is a two-stage process: project registration during stage 1 (selecting the PRCI instrument), then submission of a full proposal during stage 2, according to the conditions described below and in the specific annex for the international collaboration.

Both funding agencies evaluate the proposals in parallel. Both proposals must:

- Describe a common scientific project;
- Have the same acronym, title and duration;
- Clearly indicate who the French and foreign partners are and provide the details of the French and foreign scientific coordinators.

Projects must be submitted to the foreign agency in accordance with this agency's own procedure. **Applicants must refer to the specific annex for the agreement in question**, which will be available on the <u>Generic Call for Proposals 2020</u> web page, and on the foreign agency's website.

The final selection of PRCI projects is conducted jointly by both agencies based on evaluation elements gathered by the Lead funding agency under the "Lead Agency" procedure, or by both funding agencies under the "Non-Lead Agency" procedure. Each agency then funds its own country's teams according to its own funding and monitoring procedures.

Specific bilateral collaborations

In addition to bilateral collaborations under the AAPG 2020 PRCI instrument, there will be specific calls for proposals for other bilateral collaborations with foreign agencies or ministries throughout 2020. These actions, as described in the full-text version of Work Programme 2020, 8, will focus on the following fields: energy (Germany – BMBF); global security, civil security and cybersecurity (Germany – BMBF); social sciences and humanities (Germany – DFG); Energy and materials sciences and Digital sciences (Japan – JST).

For 2020, these specific bilateral calls, <u>with the exception of the Fr-Ger SSH programme</u>, are not subject to the "Limit to participation" eligibility criterion (see §B.4.2 and B.5.2).

Table 2: Bilateral collaboration programmes confirmed under the Generic Call for Proposals 2020: International Collaborative Research Projects (PRCI).

⁸ See Table 2: *Specific bilateral collaborations outside the "International Collaborative Research Projects" (PRCI) Generic Call for Proposals,* in the full-text version of Work Programme 2020

Country (agency)	Collaboration themes	Lead Agency	Evaluation panels involved*
Brazil (FACEPE)	 Information and communication technologies Social sciences and humanities Materials Engineering, chemistry, physics The environment and biological resources 	ANR	01, 02, 03, 04, 06, 07, 08,10, 20, 21, 23, 24, 25, 26, 27, 28,29, 30, 32, 33, 34, 36, 38, 40, 41, 42, 43, 45, 46, 47, 48, 49
Brazil (FAPESP)	 Information and communication technologies Social sciences and humanities Materials Engineering, chemistry, physics The environment and biological resources 	ANR	01, 02, 03, 04, 06, 07, 08,10, 20, 21, 23, 24, 25, 26, 27, 28,29, 30, 32, 33, 34, 36, 38, 40, 41, 42, 43, 45, 46, 47, 48, 49
Canada – Quebec (FRQSC)	Social innovations in view of demographic changes and the future of working in the digital era	ANR	26
Hong Kong (RGC)	All disciplinary fields funded by ANR and RGC	-	All except 39
Russia (RSF)	 Mathematics Earth sciences Oceanography		01, 40, 49
Singapore (NRF)	 Materials, nanotechnologies, nanosystems Information and communications sciences including quantum technologies and artificial intelligence Applications of digital technologies in the fields of health, sustainable mobility and sustainable cities. 	-	08, 09, 10,18, 22, 23, 24, 25, 33, 38, 42, 45, 46, 47, 48
Taiwan (MOST)	All disciplinary fields funded by ANR and MOST	-	All except 39
Germany (DFG)	All disciplinary fields funded by ANR and DFG, except social sciences and humanities**	DFG ⁽¹⁾	All except 26, 27, 28, 36 & 41
Austria (FWF)	All disciplinary fields funded by ANR and FWF	FWF ⁽¹⁾	All
Luxembourg (FNR)	All disciplinary fields funded by ANR and FNR	ANR	All
Switzerland (FNS)	All disciplinary fields funded by ANR and FNS	FNS ⁽¹⁾	All

^{*} Evaluation panels: cf. § E Scientific fields covered by the Generic Call for Proposals 2020, page 13 of the AAPG text. Each scientific theme corresponds to a Scientific Evaluation Committee (CES), se §B.3. ** Social sciences and humanities are subject to a specific ANR-DFG call for proposals ("FRAL"), which will be open between late-2019 and early 2020

⁽¹⁾ In 2020, submissions are reviewed by the partner agency (DFG, FWF or FNS)

A.2.2. Collaborative Research Projects involving Enterprises (PRCE)

The funding instrument "Collaborative Research Projects involving Enterprises" (PRCE) concerns **effective collaboration** between **at least** one knowledge spillover and research **organisation** or facility laboratory eligible for ANR funding <u>and at least</u> one French company conducting research and development in France. This collaboration attempts to yield findings that are advantageous to both parties by enabling public research bodies to address new research issues or address them differently, and by enabling companies that conduct R&D to access high-level public research in order to improve their innovation capacities over different periods.⁹

A project is considered to be carried out through effective collaboration when at least two independent parties, both of which aim to exchange knowledge or technology, or to pursue a common objective based on a division of labour requiring the parties to jointly define the scope of the collaborative project, contribute to its implementation and share all related financial, technological, scientific and other risks and results. The provision of research services is not considered a form of collaboration.

The terms and conditions for PRCE project implementation, in particular as regards contributions to its costs, sharing of risks and results, the dissemination of results, rules on the allocation of intellectual property rights and access to them, must be concluded before the start of the project in a consortium agreement¹⁰.

The provision of research services is not considered a form of effective collaboration. Therefore, companies that are simply providers of technology or services to a project cannot be identified as partners within a PRCE, but can be listed as potential service providers to one of the partners within the framework of a PRC, PRCI, JCJC or PRCE project.

Collaboration with companies not conducting research and development (SATT, etc.) or with partners whose category¹¹ cannot be established without in-depth analysis of their economic activity (for example: associations, foundations, technical centres, etc.) **is possible but not sufficient to take part in the PRCE instrument**. If there are no companies conducting research and development, consortia involving such partners are asked to choose another funding instrument, in particular a PRC.

Any foreign partners¹² involved in a PRCE participate with their own funds.

p. 13

⁹ Pursuant to the rules on State aid for research and development and innovation (see <u>Regulations concerning the conditions of allocation of ANR funding</u>).

¹⁰ See data sheet on the ANR website

¹¹ Research organisation or Company, as defined in the <u>Regulations concerning the conditions of allocation of ANR</u> funding

^{12 &}quot;Foreign Partner" refers to any partner who does not own an establishment or branch in France.

A.2.3. Collaborative Research Projects (PRC)

The "Collaborative Research Project" (PRC) funding instrument is the ANR's main funding instrument. It includes all forms of cooperation other than those concerned by the PRCI and PRCE instruments (see Table 1).

The collaborative nature of a given project is not estimated based on the number of partners involved alone, but their skills and know-how pooled to achieve the project's objectives. On this basis, if projects offer a special set-up in terms of a remarkably original scientific feature, multidisciplinary groups or teams from the same laboratory or organisation may submit single-partner projects that could be considered as collaborative.

Therefore, the collaboration may include any national or international, public or private teams or groups provided that there is at least one French research body (a knowledge spillover and research organisation or facility laboratory eligible for ANR funding).

The simple provision of technologies or services to conduct a project is not considered a form of collaboration. Therefore, such suppliers cannot be identified as partners in a PRC but can be identified as potential service providers for one of the partners.

The participation of companies conducting research and development in a PRC is possible, but limited to forms of collaboration that cannot be described as effective collaboration.¹³ Effective collaborations with companies conducting research and development are asked to choose the PRCE instrument.

Any foreign partners¹⁴ involved in a PRC participate with their own funds.

A.2.4. Young Researchers Projects (JCJC)

The objective of the JCJC funding instrument is to prepare the new generation of young research talent to become future leaders or directors in French scientific research. The instrument empowers young researchers and encourages them to adopt innovative approaches as they tackle scientific and technological challenges.

It therefore allows young researchers to act **independently in scientific research**, **explore their own research theme**, **form or consolidate their own team** inside or outside their laboratory, acquire a project-based research culture and unleash their innovative talents.

The instrument is also a springboard for young French researchers who, thanks to initial support from the ANR, are given a leg up when it comes to submitting a project in response to calls from the European Research Council (ERC), with the greatest chance of success.

¹³ A project is considered to be carried out through effective collaboration when at least two independent parties, both of which aim to exchange knowledge or technology, or to pursue a common objective based on a division of labour requiring the parties to jointly define the scope of the collaborative project, contribute to its implementation and share all related financial, technological, scientific and other risks and results. The provision of research services is not considered a form of collaboration.

^{14 &}quot;Foreign Partner" refers to any partner who does not own an establishment or branch in France.

As the instrument targets individuals, funding granted by the ANR may only cover the expenditures relating to the young researcher's team. On this basis, only one single partner can benefit from the grant. This partner must be a knowledge spillover and research organisation or facility laboratory eligible for ANR funding.

For the JCJC instrument, the notion of "team" allows for collaboration within the same research organisation or facility or the coordinator's laboratory and does not exclude collaboration with scientists from other public research organisations, facilities or laboratories. Identifying collaborators or collaborations that use their own funds in a project shall be justified by their contribution of skills to achieve the scientific objectives of the proposed project and the objectives of the JCJC instrument.

To be classified as "Young Researchers", applicants **must have defended their doctoral thesis** (or obtained any degree or qualification equivalent to an international PhD) **less than 10 years ago** (i.e. after 1 January 2009).¹⁵

Despite this, young researchers eligible for the JCJC instrument (who have defended their theses within the set time frame) are not obliged to submit their proposals under this instrument and may submit them under the PRC, PRCE or PRCI instruments if the composition and size of the projects justify this. On this basis, if the young researcher wishes to include partners using their own funds, they must check that the structure of the project satisfies the objectives and expectations of the JCJC instrument to ensure that the proposal will not be considered as a PRC, PRCE or PRCI.

For 2020, the instrument is open to young researchers with a permanent or fixed-term employment contract, with the same research facility or organisation

Young researchers' salaries are not expenditures that are eligible for ANR funding. However, for JCJC researchers who teach, ANR funding may cover the cost of partially releasing them from teaching duties in accordance with rules on the allocation of release voted by the Board of Directors of the establishment managing the funding.¹⁶

It is not possible to combine JCJC funding with a similar type of funding: ATIP-AVENIR, Momentum CNRS, Emergence, Starting or Consolidator Grants from the European Research Council (ERC), Springboard-ERC, or another ongoing JCJC project.¹⁷

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¹⁵ Exceptions may be granted. The following events occurring after the PhD is awarded can be taken into account: maternity leave, parental leave, long-term sick leave (more than 90 days), national service. The limit is pushed back for a period equal to the duration of the event. Additionally, for women the limit is extended by one year per dependent child. Where appropriate, supporting documents must be provided when the pre-proposal is submitted.

¹⁶ See the Regulations concerning the conditions of allocation of ANR funding (http://www.anr.fr/RF; § 3.1.4).

¹⁷ However, a proposal may be submitted during the final year of the JC, providing that the expiry date for the eligibility of expenses for the current JCJC project is prior to the start date for the eligibility of expenses for the call targeted by the new proposal, i.e. before 15/12/2020 for AAPG 2020

B. The two-stage selection process for the AAPG in 2020

B.1. General process

Projects submitted within the framework of the Generic Call for Proposals 2020 (AAPG 2020) go through a two-stage selection process.

Stage 1 involves identifying PRC/PRCE/JCJC pre-proposals for which it is justified to write full proposals, particularly in terms of project quality and scientific aims (pre-proposal evaluation criteria, see § B.4.3). At the end of stage 1, approximately 2,500 to 3,000 coordinators will be invited to submit full proposals during stage 2.

For PRCI projects, stage 1 involves **simply registering**¹⁸ the intent to submit a PRCI full proposal at stage 2 (see annexes on PRCI).

Stage 2 is aimed at selecting the best proposals by assessing, in accordance with international competitive project selection principles, the scientific excellence and the quality of construction and potential impact of the project described in a full proposal (full proposal evaluation criteria, see \S 0.) At the end of this stage, the ANR publishes the list of projects selected for funding.

B.2. Parties involved in the evaluation and selection process

Project selection at the ANR is based on the principle of peer review. Scientific evaluation panels are convened and external peer reviewers, appointed by the panel members themselves, are called upon for their scientific expertise related to the projects being evaluated:

- ➤ The scientific evaluation panels are composed of highly qualified French or foreign individuals from the research communities concerned by the panel.¹⁹
 - The composition of the panel covers all the disciplinary fields and themes related to the projects submitted to the panel.
 - Each evaluation panel is chaired by a referral manager²⁰ who has undergone ANR selection process and ethics training. He/she runs a panel bureau consisting of at least two vice-chairs who assist in preparing and carrying out the panel's work.
 - Members of the panel are appointed by the ANR for their scientific expertise upon a proposal
 by the panel's bureau. They are in charge of evaluating and selecting pre-proposals with the
 exceptional assistance of external peer reviewers (stage 1), and evaluating and ranking full

¹⁸ With the exception of PRCI instruments in collaboration with Germany (DFG), Austria (FWF) and Switzerland (FNS), for which submissions must be made to these agencies, acting as the Lead Agency. ANR must be provided with administrative information and a copy of the project proposal in accordance with the procedures described in the appendix specific to the agreement in question (available on the ANR website) for these projects. Despite this, the applicable AAPG 2020 rules on the "Limit to participation" and eligibility will apply to these PRCI (§ B.4.2 and §B.5.2)

¹⁹ The composition of the scientific evaluation panels remains confidential throughout the AAPG selection process. The list of panel members is published on the ANR website at the same time as the first AAPG results, i.e. in mid-July 2020. 20 The referral manager is appointed for a 1-year term, renewable no more than twice. A call for applications is published on the ANR website annually to renew the panel chairpersons and referral managers.

proposals with the assistance of external peer reviewers and based on the coordinator's response to feedback from the external peer reviewers, if any (stage 2).

➤ The external peer reviewers involved in stages 1 and 2 at the proposal of the evaluation panel will provide independent written evaluations of one or more pre-proposals or full proposals without participating in panel meetings.

The provisions of the <u>ANR Code of Ethics and Scientific Integrity</u> apply to all persons involved in the project selection process.

B.3. The Scientific Evaluation Panels for the 2020 AAPG

Each theme in the Work Programme corresponds, within the AAPG, to a dedicated scientific evaluation panel covering all topics concerned. The scientific scope and keywords characterising the 49 evaluation panels for the AAPG 2020 are described in the text for the Generic Call for Proposals 2020. (See **Annex 1**)

The project coordinator chooses the panel which will evaluate the proposal during stage 1 (submission of the pre-proposal for PRC, PRCE and JCJC instruments or registration for the PRCI instrument) and this choice cannot be modified during the process. This initial decision is final and cannot be modified either during the selection process or during the implementation of the project if funding is allocated.²¹

B.4. Stage 1: pre-proposal submission and evaluation procedures, registration procedures

B.4.1. Submitting pre-proposals (PRC/PRCE/JCJC instruments) and registering (PRCI instrument)

The pre-proposal includes:

- A form to be filled in and submitted online²²
- A document describing the project (maximum of 4 pages including the bibliography) to be uploaded to the submission site
- CVs of the coordinator and any partners' scientific and technical leaders (to be completed online). We strongly recommend filling out the form.

The full proposal must describe the same project as that described in the pre-proposal selected in stage 1. On this basis, some of the information requested may seem straightforward

²¹ The draft list of panels (see Annex 1) may be revised after the submission stage in stage 1 depending on the number and nature of pre-proposals submitted and registrations.

If this list or to the scope of CES panels is modified, ANR will consult the coordinators effected by the changes in view of adapting their roles if necessary.

²² Proposals cannot be submitted unless the form is fully completed.

during stage 1, but it is important to record it correctly, checking with the partner's appropriate administrative and financial departments. Modifications at stage 2 may be considered by the scientific evaluation panels to be too significant, making the full proposal out of line with the pre-proposal and therefore ineligible (see §B.5.2 "Compliance with pre-proposal" criterion).

Registration includes:

- A form to be filled in and submitted online
- CVs of the French and foreign coordinators and CVs of any partners' scientific leaders (to be completed online). **We strongly recommend filling out the form.**

Online form

The account used to log onto the online submission and registration site must be set up using information on the **scientific coordinator**²³ (surname, first name, e-mail address (preferably institution's e-mail)), even if a third party enters the information online.

The following information must be provided online:

- Funding instrument.
- **Relevant bilateral agreement** (for PRCI registration).
- Scientific evaluation panel.
- **Project identification**: acronym, French and English title, duration,²⁴ provisional amount of aid requested from the ANR.
- **Partnership:** all partner establishments, scientific and technical leaders, and main people involved in the project, including their e-mail address and ORCID ID.²⁵



- RNSR ID (National directory of research structures) required for knowledge spillovers
 and research organisations or facilities, and SIRET number for companies.
 Administrative information on associations, foundations and other partner
 organisations should be provided in a free field.
- The e-mail addresses of the Laboratory Director and the Administrative Director of the establishment managing funding.²⁶

p. 18

²³ French scientific coordinator when registering a PRCI project.

²⁴ If the proposal includes a request for a thesis grant, please ensure that the project duration is long enough for recruitment and completion of the thesis in question, i.e. longer than 36 months. For a PRCI project: (1) the project duration must be the same for the French partners and for the foreign partners involved in the bilateral agreement; and (2) the duration may be limited by the terms of the relevant bilateral agreement (see the specific annex for each collaboration on the dedicated <u>AAPG 2020</u> web page).

²⁵ ORCID is a non-profit organisation supported by a global community of organisational members, including research organisations, publishers, funders, professional associations, and other stakeholders in the research ecosystem. For more information, go to: https://orcid.org/

²⁶ The Administrative Director of the establishment managing funding, not the administrative officer within the laboratory in question. Project coordinators should obtain the relevant person's name from the department responsible for managing ANR projects within their managing establishment.

- Scientific abstracts (non-confidential) in French and in English (no more than 1,000 characters, including spaces)²⁷.
- External peer reviewers requested to abstain from evaluation (field not compulsory but must be completed at this stage if appropriate): coordinators can indicate external peer reviewers (individuals) or laboratories/companies for which there could be conflicts of interest and confidentiality issues if they were involved in evaluating the project.²⁸
- Key words relating to the chosen evaluation panel and discipline-related key words²⁹: at least one ERC code is required.
- Other information: use of a very large research infrastructure TGIR, application for a competitiveness cluster label,³⁰ interest for co-funding³¹ and at least one <u>Sustainable</u> <u>Development Goal</u>.
- For JCJC, year in which the doctoral thesis was defended (or degree or qualification corresponding to the international PhD was obtained) and evidence of the request for an exception if applicable.³²

The following information cannot be modified in stage 2: funding instrument, scientific evaluation panel, coordinator, project acronym and title. Applicants are also advised to read the stage 2 eligibility criteria carefully and bear them in mind at the pre-proposal stage (see § B.5.2 Eligibility of full proposals), in particular the "Compliance with pre-proposal" criterion).

Coordinator commitments

- The coordinator formally declares (by ticking a box in the online form after reading the content) that all project participants whether requesting funding or not have sought and obtained their superiors' permission to take part in the project. The ANR may send the list of relevant pre-proposals (PRC/PRCE/JCJC) and registrations (PRCI) submitted via its website to supervising authority or laboratory directors and administrative directors of establishments managing funding for projects related to them.
- The coordinator formally declares (by ticking a box online) that all project participants –
 whether requesting funding or not abide by the <u>French National Charter for Research
 Integrity</u> and the <u>ANR's Code of Ethics and Scientific Integrity</u>.

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²⁷ Given that résumés are public knowledge, the applicant must check that no information is provided that could prevent the future filing of a patent. Contact the patent services of the research facilities for more details in case of doubt. 28 This list should be limited to a reasonable length (no more than 5). The ANR reserves the right to check potential conflicts if the list provided is too extensive and makes evaluation impossible.

²⁹ A full list of ERC codes can be found at AAPG 2020 text.

³⁰ Projects wishing to be labelled by one or more competitiveness clusters must declare this in stage 1 of the selection process. Such requests will not be accepted in stage 2. PRCI proposals are not eligible for labelling.

³¹ Provisional list of available co-funding arrangements in the full-text version of Work Programme 2020

³² Conditions apply for exceptions if the thesis was defended prior to 1 January 2009. The following events occurring after the PhD is awarded can be taken into account: maternity leave, parental leave, long-term sick leave (more than 90 days), national service. The limit is pushed back for a period equal to the duration of the event. Additionally, for women the limit is extended by one year per dependent child. Where appropriate, supporting documents must be provided when the pre-proposal is submitted.

- If the proposed project uses genetic resources, the coordinator formally declares (by ticking a box online) that all project participants—whether requesting funding or not abide by the obligations arising from the Nagoya protocol.³³
- In accordance with the obligations arising from the French law for a Digital Republic and with reference to the national open archives plan, the coordinator undertakes (by ticking a box online), if it receives funding, to: (1) post the full texts of all scientific publications resulting from the research project in an open archive (either directly in HAL or via a local institutional archive); and (2) to provide a data management plan (DMP), which must be updated throughout the project, as per the arrangements communicated when the agreement is signed.
- The coordinator undertakes to (by ticking a box online) consider gender-related aspects in the research, regardless of the field to ensure that quality knowledge is generated. This commitment is part of ANR policy aiming to contribute to: gender equality and reduced gender bias in the knowledge generation process.

Project description

The pre-proposal must describe the project and provide the information needed for the purposes of evaluation based on the two pre-defined criteria. Therefore, the following plan must be followed:

• <u>Context, positioning and objective(s) of the pre-proposal</u> (as per the "Quality and scientific aims" evaluation criterion)

Describe objectives and research hypotheses, and the position in relation to current knowledge. Present the methodology used to achieve the aims. Demonstrate the innovative and original aspects of the project in terms of its objectives and methodology. Describe the project's position in relation to the research issues covered by the chosen theme.

• <u>Partnership</u> (as per the "Organisation and implementation of the project" evaluation criterion)

For a collaborative project (PRC or PRCE): describe the coordinator, and his/her experience of coordinating projects and in the disciplinary area covered by the pre-proposal. Describe the consortium, each partner's role in achieving the objectives, and how the partners complement one another to that end.

For a JCJC project: Describe the scientific coordinator, his/her position with the host organisation or laboratory, and his/her experience of coordinating projects and in the field covered by the preproposal. Describe the team that will be involved in the project outlined in the pre-proposal. Demonstrate how the project contributes to empowering the young researcher and to team development.

• <u>Bibliography</u> (for the project)

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³³ The ANR must obtain documentary evidence of Due Diligence Declarations (DDDs) for all research projects that it funds in 2020. This rule applies retroactively to projects funded in 2018.

List the bibliographical references used for the pre-proposal.³⁴ Coordinators must not mention impact factors for the journals mentioned, in accordance with the San Francisco Declaration signed by ANR, however the DOI may be indicated.

Coordinators will be provided with a template, which can be downloaded from the <u>Generic Call for Proposals 2020</u> web page.

The project description must:

- Contain a maximum of 4 pages.
- **Be submitted in an unprotected PDF format** (generated using word-processing software, not scanned).
- Be drafted preferably in English. The evaluation panel may include non-French-speaking scientific peers. ANR strongly advises coordinators to draft proposals in English or, if the proposal is initially written in French, to provide an English translation. If coordinators are unable to provide an English translation, they can contact the ANR to find an appropriate solution.

The submission site will not accept any documents exceeding 4 pages or submitted in a format other than PDF.

B.4.2. Eligibility of pre-proposals and registrations

The ANR will only verify eligibility on the basis of information and documents provided on the preproposal submission and PRCI registration site by the closure date and time.

When analysing eligibility, the information entered online shall take precedence over that indicated in the project description if these two sources of information conflict with each other, and if the information is incorrectly indicated or missing³⁵.

Pre-proposals deemed ineligible will not be evaluated³⁶ and cannot be the subject of full proposals. Registrations deemed ineligible cannot be the subject of full proposals.

The seven eligibility criteria are listed in Table 3 based on the relevant funding instrument.

Pre-proposals or registrations may be declared ineligible at any stage of the process.

³⁴ The bibliography may include preprints that are yet to be published in a peer-reviewed journal, especially those referencing preliminary data.

³⁵ No data may be edited after the closure date and time for the call for proposals. Data is entered subject to the direct liability of the coordinators, who must plan ahead for submission and allocate the necessary time.

³⁶ Ineligible pre-proposals are rejected without any evaluation of their merit by scientific evaluation panel members.

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	PRCI	PRCE	PRC	JCJC
Completeness of pre-proposal		X	Χ	Х
Limit to participation	Х	X	Χ	Х
Limit to coordination	Х	Χ	Χ	Х
Uniqueness of proposal		Χ	Χ	Χ
Partner receiving funding		Χ	X	X
Themes funded by other funding bodies			X	

Table 3: Eligibility criteria according to the funding instrument

"Young Researcher" status

<u>Completeness of pre-proposal</u>: Pre-proposals should be finalised on the submission site on the specified date and time of closure: **24 October 2019 at 5:00 pm (Paris time)** No document will be accepted after this date and time. No data may be edited after this date and time. Complete pre-proposals must include:

- The fully completed online form, including coordinators' commitments;
- The project description document (PDF), not exceeding 4 pages, uploaded to the submission site.

<u>Limit to participation:</u> A coordinator may only submit one project as coordinator https://anr.fr/fr/rf/³⁷ and cannot be involved (as coordinator or scientific leader for a project partner) in more than three proposals submitted to ANR under the Generic Call for Proposals, including PRCI³⁸- and under the French-German programme in Social Sciences and Humanities outlined in Work Programme 2020³⁹. All pre-proposals and registrations involving individuals who do not satisfy this requirement are ineligible.

For 2020, this exclusion rule does not apply to any other calls for proposals (specific international bilateral calls excluding the French-German SSH call (FRAL), international multilateral calls (Era-Net, EJP, Article 185, etc.), or to MRSEI, Astrid and Astrid Maturation, LabCom, Challenges, Chaires

37 The coordinator is the natural person in charge of scientific aspects of the implementation of the project, in the name

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of the coordination partner, as defined in the Regulations concerning the conditions of allocation of ANR funding. Under a PRCI proposal, the French coordination partner's scientific leader is automatically considered to be the coordinator. 38 Under a PRCI proposal, the French coordination partner's scientific leader is automatically considered to be the coordinator. The limit to participation in no more than three projects as coordinator or scientific leader therefore applies equally to stage 1 PRCI registrations and to PRCI where the Lead agency is a foreign agency (DFG, FNS and FWF). Consequently, the coordinator of a stage 1-registered PRCI project, or a proposal submitted to one of the three aforementioned foreign agencies, cannot be the coordinator of a separate PRC, PRCE or JCJC proposal submitted under AAPG 2020, regardless of the outcome of the stage 1 evaluation for that PRC, PRCE or JCJC proposal.

39 The coordinator of a JCJC, PRC, PRCE or PRCI project (including PRCI, for which the foreign agency is the Lead

³⁹ The coordinator of a JCJC, PRC, PRCE or PRCI project (including PRCI, for which the foreign agency is the Lead Agency (DFG, FNS and FWF)) submitted under AAPG 2020, cannot be the coordinator for a proposal submitted under the FR-Ger SSH 2020 (AAP open between mid-December 2019 and mid-March 2020), and regardless of the outcome of the said JCJC, PRC, PRCE or PRCI projects in stages 1 and 2 of the AAPG.

and Flashs, etc.).40

<u>Limit to coordination</u>: A coordinator of a PRC, PRCE or JCJC proposal funded under the Generic Call for Proposals 2019 cannot submit a PRC, PRCE or JCJC proposal as coordinator for the Generic Call for Proposals 2020. However, the researcher may act as a partner's scientific and technical leader or be otherwise involved in a proposal submitted for the 2020 edition.

A <u>JCJC project coordinator</u> cannot act as the coordinator for another JCJC, PRC, PRCE or PRCI project for the Generic Call for Proposals 2020 while funding for the initial JCJC project is ongoing.⁴¹ However, the coordinator may act as a partner's scientific leader or be otherwise involved in a proposal submitted for the 2020 edition.

<u>Uniqueness of the proposal</u>: a proposal cannot be similar in whole or in part to another proposal submitted to a call under evaluation by the ANR (all calls for proposals, all evaluation stages taken together) or that resulted in funding from the ANR. All similar proposals are ineligible.

Similarity between two projects is established if the proposals in question (in their entirety or partially) describe the same main objectives, or are simple adaptations⁴²

<u>Grant beneficiary partners</u>: the consortium must include at least one public body involved in French research (a knowledge spillover and research organisation or facility laboratory eligible for ANR funding).⁴³

<u>Themes funded by other funding bodies:</u> Project themes, <u>submitted as part of the PRC instrument</u>, must correspond to a topic within ANR's scope of action, which does not overlap those of other funding agencies (particularly INCa, ANRS). Eligibility of projects on themes funded by these bodies (in particular cancer, AIDS and viral hepatitis) is jointly determined and applied by ANR and the said bodies.



"Young Researcher" status: The pre-proposal will be considered ineligible if scientific coordinators declare they have defended their doctoral thesis (or obtained any degree, diploma or qualification corresponding to the international standard of PhD) before 01 January 2009, without having provided supporting documents for exemption⁴⁴ online at the time and date of closure for the

p. 23

⁴⁰ A coordinator can submit a proposal for the Generic Call for Proposals 2020 and submit a separate proposal for an ERA-NET, MRSEI, Astrid, flash, challenge, etc. call for proposals. However, the scientific objectives of the separate proposals must be materially different (see the "uniqueness" eligibility criterion for project proposals).

⁴¹ However, the coordinator may submit a proposal during the final year of the JCJC, providing that the expiry date for the eligibility of expenses for the current JCJC project is prior to the start date for the eligibility of expenses for the call targeted by the new proposal, i.e. before 15/12/2020 for AAPG 2020

⁴² Article 7.1 of the Funding rules may apply if one or several intellectual property rights are breached or if ANR ethical or integrity rules are breached, as applicable.

⁴³ See the Regulations concerning the conditions of allocation of ANR funding

⁴⁴ Exceptions may be granted. The following events occurring after the PhD is awarded can be taken into account: maternity leave, parental leave, long-term sick leave (more than 90 days), national service. The limit is pushed back for a period equal to the duration of the event. Additionally, for women the limit is extended by one year per dependent child. Where appropriate, supporting documents must be uploaded to the web site when the pre-proposal is submitted.

submission of full proposals.

All pre-proposals and registrations that fail to comply with these rules are ineligible.

B.4.3. Evaluation of pre-proposals

All pre-proposals are individually evaluated by two members of the Scientific Evaluation Panel (CES). These two members are appointed by the panel bureau after ANR has checked that no conflict of interest arises with the allocated pre-proposals.

For projects of a highly cross-disciplinary or interdisciplinary nature, a third panel member may be called upon (from within the scientific evaluation panel itself or from another panel), where the panel members appointed to evaluate the project make an exceptional request to this end.⁴⁵

Pre-proposal evaluation criteria

Pre-proposals are evaluated against **two criteria**, **with different sub-criteria for each funding instrument** (see Table 4 below).

During the evaluation, the "Quality and scientific aims" criterion is determining: the evaluation panel must award an "A" rating on this criterion for the proposal to be invited to proceed to stage 2.

The sub-criteria of the two main criteria serve as a guide for coordinators compiling their files and drafting their scientific document, and for assessors producing their evaluation report.

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⁴⁵ In exceptional cases where the panel members appointed to evaluate a highly cross-disciplinary or interdisciplinary project request the input of a third member, but where no member of any panel without conflicts of interest has the requisite expertise, an external peer reviewer may be called upon to evaluate the project.

Table 4: Pre-proposal evaluation criteria

PRCE	PRC	JCJC			
Criterion 1: Quality and scientific aims					
(deter	mining criterion: an "A" rating	is required)			
• Clear research objectives and hypot	heses				
• Innovative or original position in re	elation to current practices				
Appropriate methodology					
Ability of the project to address the	research issues covered by the	chosen theme			
Criterion 2: Organisation and implementation of the project					
• Skills, expertise and involvement of the scientific coordinator and the partners					
 Quality and complementarity of the consortium, quality of the collaboration. Contribution to the coordinator's empowerment and team development. 					

Ranking

Scientific evaluation panels meet up following the drafting of individual evaluations. The panel will discuss each proposal individually and determine the ranking of pre-proposals, broken down into three categories: A (Project is eligible for stage 2) / B (Project not selected. Project is satisfactory but has weak points and cannot be selected for stage 2) / C (Project not selected. Project has weak points and requires significant changes).

Results

At the outcome of this first stage, the scientific coordinators of 2,500 to 3,000pre-proposals are invited to submit full proposals in stage 2.

The ANR sends e-mails to all scientific coordinators of pre-proposals informing them of the results of this first stage. A panel evaluation report is always given, outlining the evaluation panel's final decision on the proposal, unless the evaluation could not be completed because the pre-proposal was deemed ineligible.

B.5. Stage 2: full proposal submission and evaluation procedures

B.5.1. Submitting full proposals

Full proposals include:

- A form to be filled in and submitted online.
- A scientific document (20 pages maximum including the bibliography) to be uploaded to the submission site.
- CVs of the coordinator and any partners' scientific leaders.

Online form

Some fields are pre-filled with the information provided at the pre-proposal stage (PRC/PRCE/JCJC) or upon registration (PRCI) and cannot be changed (scientific evaluation panel, funding instrument, scientific coordinator's first name, last name and e-mail address, project acronym and title).

The following information must be checked and corrected/completed if necessary:

- Each partner's identification (including RNSR ID, full name, abbreviated title, category of partner and system for calculating grant amounts; type and unit number, managing and hosting authorities for a research body's laboratory; SIRET number and workforce numbers for companies).
- Identification of scientific and technical leaders (including the coordinator) and e-mail addresses
- Financial data (broken down by expenditure heading and partner)⁴⁶
- Scientific abstracts (non-confidential⁴⁷), between 1,000 and 4,000 characters, in French and English
- Coordinators must fill in the text box to demonstrate to ANR how they consider (or exclude) gender when implementing their research project. The content provided will not be evaluated by the selected scientific evaluation panel.
- Criteria specific to PRCI projects, identification of the foreign partner involved in the bilateral agreement and its scientific leader coordinating the project abroad (national referral manager), places where research is to be performed and amount requested from the foreign agency

The only information that has to be entered online concerning foreign partners participating with their own funds is the identity of the scientific and technical leader and the place where the research is to be performed.

Applicants' commitment

All scientific leaders for every French partner seeking funding (not including foreign partners) will formally declare (by ticking a box in the online form) that **their superiors**, particularly the appropriate administrative and financial departments and the persons authorised to legally commit the institution managing funding, or their representatives, **have consented to their current submission procedure and all information relating to the proposal has been communicated to them.**

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⁴⁶ In order to complete the financial data, each scientific and technical leader for each partner involved in a project applying for ANR funding must obtain the necessary information from its managing authority.

⁴⁷ The abstracts will be published on the ANR website if the proposal is selected for funding. Do not include any information that could compromise a future patent application. Résumés cannot be replaced, all documents submitted are final.

Project description

The scientific document comprising the full proposal must provide the information needed for evaluation based on the three pre-defined criteria (see Table 7). Therefore, the scientific document must follow the following plan:

• Context, positioning and objective(s) of the proposal (as per the "Quality and scientific aims" evaluation criterion)

Describe the objectives and research hypotheses, and the position in relation to current practices. Present the methodology used to achieve the aims. Describe how scientific risks are managed. Demonstrate innovative and original aspects of the project in terms of its objectives and methodology. Give a detailed description of the research programme and the allocation of work tasks between the different partners, and illustrate with a Gantt chart.

• <u>Project implementation and organisation</u> (as per the "Organisation and implementation of the project" evaluation criterion)

For a collaborative project: describe the coordinator, and his/her experience of coordinating projects and in the scientific field covered by the proposal. Describe the consortium, each partner's role and how the partners complement one another in achieving project objectives. List ongoing projects in which each partner's coordinator and scientific and technical leader are involved.

For a JCJC project: Describe the scientific coordinator, his/her position with the host organisation or laboratory, and his/her experience of coordinating projects and in the field covered by the proposal. List ongoing projects in which the scientific coordinator is involved. Describe the team that will be involved in the project outlined in the proposal. Demonstrate how the project contributes to empowering the young researcher and to team development.

All instruments: Describe the resources implemented and requested to achieve the objectives (including the following: a table summarising the resources requested per major item of expenditure and per partner; **scientific justifications for these resources** per item of expenditure and per partner and in relation to the objectives; the context in terms of human and financial resources for the project, comparing it to other ongoing projects).

For a PRCI project, the description must include **details of the foreign scientific coordinator** (referral manager), the scientific contribution of the foreign teams and detailed financial data for the foreign partners (the same information as required for the French partners).

• <u>Project spillover and impact</u> (as per the "Impact and consequences of the project" evaluation criterion) Describe in what field(s) (scientific, economic, social or cultural) project results may have an impact, in the short, medium or long term.

For a PRC or JCJC project: describe how results will be disseminated and exploited, including potential initiatives to promote scientific culture.

For a PRCE project: describe actions to transfer technology and innovation to the world of business.

For a PRCI project: demonstrate how the scientific contributions of partners from each country are balanced and complementary, and how cooperation between these French and foreign teams will add value or deliver benefits for France.



The project leader is asked to detail the project initiatives covering relations between science and society (e.g. media initiatives, participation at science festivals, etc.) in this section, in line with the French strategy for scientific, technical and industrial culture (SNCSTI), These initiatives are jointly organised with professionals working in the fields of scientific, technical and industrial culture (i.e. mediators, journalists, etc.) and will be held throughout the duration of the project and after completion.

• <u>Bibliography</u> (as per the "Quality and scientific aims" evaluation criterion)

List of bibliographical references used for the proposal⁴⁸.

Coordinators must not mention impact factors for the journals mentioned, in accordance with the San Francisco Declaration signed by ANR, however the DOI may be indicated.

Coordinators will be provided with a template, which can be downloaded from the <u>Generic Call for Proposals 2020</u> web page on the ANR website.

The scientific document must:

- Contain a maximum of 20 pages, including the bibliography, Gantt chart, budget summary table, and scientific justification;
- Be submitted in an unprotected PDF format (generated using word-processing software, not scanned);
- Be drafted preferably in English. The evaluation panel may include non-French-speaking scientific peers. ANR strongly advises coordinators to draft proposals in English or, if the proposal is initially written in French, to provide an English translation. If coordinators are unable to provide an English translation, they can contact the ANR to find an appropriate solution.

The submission site will not accept any documents exceeding 20 pages or submitted in a format other than PDF.

B.5.2. Eligibility of full proposals

ANR will only verify eligibility (see **Table 5**: *Full proposal eligibility criteria according to funding instrument*) on the basis of information and documents provided on the full proposal submission site on the closure date and time. **Proposals deemed ineligible are not evaluated**⁴⁹.

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⁴⁸ The bibliography may include preprints that are yet to be published in a peer-reviewed journal, especially those referencing preliminary data.

⁴⁹ Ineligible full proposals are rejected without any evaluation of their merit by panel members.

Table 5: Full proposal eligibility criteria according to funding instrument

	PRCI	PRCE	PRC	JCJC
Completeness of proposal	Χ	Χ	Χ	Χ
Limit to participation	Χ	Χ	Χ	Χ
Uniqueness of proposal	Х	Х	Х	Х
Partner receiving funding	Х	Х	Х	Х
Compliance with pre-proposal		Х	Х	Х
"Young Researcher" status				Х
Foreign partner concerned by bilateral agreement	Х			
Criteria specific to PRCI	Х			

The eligibility (particularly the limit to participation applicable to coordinators) of full proposals submitted as part of PRCI Lead projects with Germany, Austria and Switzerland will be examined at this stage, on the basis of the documents submitted to foreign agencies and ANR simultaneously. Should the rule on the limit to participation applicable to coordinators not be satisfied, all of the projects in question will be declared ineligible and will not be evaluated⁵⁰.

Full proposals may be declared ineligible at any stage of the process.

When analysing eligibility, the information entered online shall take precedence over that indicated in the scientific document, if these two sources of information conflict with each other, and if the information is incorrectly indicated or missing.⁵¹

<u>Completeness of proposal:</u> Proposals should be finalised on the submission site on the specified date and time of closure. No document will be accepted after this date and time. No data may be edited after this date and time. To be considered complete, a full proposal must include:

- The fully completed online form;
- A commitment from each scientific and technical leader of every partner seeking funding from the ANR;
- The scientific document uploaded to the submission website not exceeding 20 pages.

<u>Limit to participation:</u> A coordinator may only submit one project as coordinator⁵² and cannot be involved (as coordinator or scientific leader for a project partner) in more than three proposals

⁵⁰ Ineligible full proposals are rejected without any evaluation of their merit by panel members.

⁵¹ No data may be edited after the closure date and time for the call for proposals. Data is entered subject to the direct liability of the coordinators, who must plan ahead for submission and allocate the necessary time.

⁵² The coordinator is the natural person in charge of scientific aspects of the implementation of the project, in the name of the coordination partner, as defined in the <u>Regulations concerning the conditions of allocation of ANR funding</u>. Under a PRCI proposal, the French coordination partner's scientific leader is automatically considered to be the coordinator.

submitted to ANR under the Generic Call for Proposals, including PRCI⁵³- and under the French-German programme in Social Sciences and Humanities (FRAL) outlined in Work Programme 2020.⁵⁴

For 2020, this exclusion rule does not apply to any other calls for proposals (specific international bilateral calls excluding FRAL, international multilateral calls (Era-Net, EJP, Article 185, etc.), or to MRSEI, Astrid and Astrid Maturation, LabCom, Challenges, Chaires and Flashs, etc.)⁵⁵. (see §B.4.2).

<u>Uniqueness of the proposal:</u> a proposal cannot be similar in whole or in part to another proposal submitted to a call under evaluation by the ANR (all calls for proposals, all evaluation stages taken together) or that resulted in funding from the ANR.

Similarity between two projects is established if the proposals in question (in their entirety or partially) describe the same main objectives, or are simple adaptations.⁵⁶

All similar proposals are ineligible. ANR will not evaluate proposals declared ineligible.

Grant beneficiary partners: the consortium must include at least one public body involved in French research (a knowledge spillover and research organisation or facility laboratory eligible for ANR funding).⁵⁷

<u>Compliance with pre-proposal:</u> The full proposal must describe the same project as that described in the pre-proposal. The funding instrument, the evaluation panel and the scientific coordinator must be the same as for the pre-proposal. The relevance of other discrepancies will be assessed by panel members based on the explanation given by the coordinators when submitting the full proposal (including discrepancies with the amount of funding requested at stage 1). If there is a significant deviation, the proposal is declared ineligible and cannot receive ANR funding.

<u>Foreign partner concerned by bilateral agreement:</u> The consortium must include at least one French public research body (a knowledge spillover and research organisation or facility laboratory eligible for ANR funding)⁵⁸ and at least one foreign partner subject to the bilateral agreement. Two scientific

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⁵³ Under a PRCI proposal, the French coordination partner's scientific leader is automatically considered to be the coordinator. The limit to participation in no more than three projects as coordinator or scientific leader therefore applies equally to stage 1 PRCI registrations and to PRCI where the Lead agency is a foreign agency (DFG, FNS and FWF). Consequently, the coordinator of a stage 1-registered PRCI project, or a proposal submitted to one of the three aforementioned foreign agencies, cannot be the coordinator of a separate PRC, PRCE or JCJC proposal submitted under AAPG 2020, regardless of the outcome of the stage 1 evaluation for that PRC, PRCE or JCJC proposal.

54 The coordinator of a JCJC, PRC, PRCE or PRCI project proposal (including PRCI, for which the foreign agency is the Lead Agency (DFG, FNS and FWF)) submitted under AAPG 2020, cannot be the coordinator for a proposal submitted

Lead Agency (DFG, FNS and FWF)) submitted under AAPG 2020, cannot be the coordinator for a proposal submitted under the FR-Ger SSH 2020 (AAP open between mid-December 2019 and mid-March 2020), and regardless of the outcome of the said JCJC, PRC, PRCE or PRCI projects in stages 1 and 2 of the AAPG.

⁵⁵ A coordinator can submit a proposal for the Generic Call for Proposals 2020 and submit a separate proposal for an ERA-NET, MRSEI, Astrid, flash, challenge, etc. call for proposals. However, the scientific objectives of the separate proposals must be materially different (see the "uniqueness" eligibility criterion for project proposals).

⁵⁶ Article 7.1 of the Funding rules may apply if one or several intellectual property rights are breached or if ANR ethical or integrity rules are breached, as applicable.

⁵⁷ See the Regulations concerning the conditions of allocation of ANR funding

⁵⁸ See the Regulations concerning the conditions of allocation of ANR funding

coordinators should be clearly indicated, one who is French and the other who is from the other country (referral manager) concerned by the bilateral agreement.

<u>Criteria specific to PRCI projects:</u> The eligibility criteria of the foreign agency concluding a collaboration agreement with ANR may apply on top of those mentioned above, see Table 6 below. Applicants must therefore carefully read the call upon its publication by the foreign agency to check for possible additional criteria.

All full proposals that fail to comply with these rules are ineligible.

Table 6: Eligibility criteria specific to bilateral agreements*

* in 2020, the main project submission and evaluation process will be managed between DFG, FNS or FWF according to the specific schedule of each of these three funding agencies. See the specific annex from publication on the ANR site

Country (agency)	Submission to ANR	Submission to foreign agency	Duration	Participation of company	Other
Brazil (FAPESP)	Yes	Administrative registration		•	
Brazil (FACEPE))	Yes	Yes			
Canada – Quebec (FRQSC)	Yes		Project duration 36 months (max.)	Ineligible	
Hong Kong (RGC)	Yes	Yes	Project duration 36 to 48 months	If a Hong-Kong- based company is involved, a French company must also be involved	Maximum of 5 projects per Hong Kong-based organisation (preselected by the foreign coordinator's organisation) ANR will refer to the list of eligible projects forwarded by the Hong-Kong-based agency.
Russia (RSF)	Yes	Yes	Project duration 36 to 48 months		
Singapore (NRF))	Yes	Yes	Period of 42 months ineligible		
Germany (DFG)*	Administrative registration and copy of the proposal	Yes	Project duration 36 months (max.)	Ineligible	
Austria (FWF)*	Administrative registration and copy of the proposal	Yes		Yes	
Luxembourg (FNR)	Yes	Administrative registration and copy of the proposal		Ineligible	
Switzerland (FNS)*	Administrative registration and copy of the proposal	Yes		Ineligible	

B.5.3. Evaluation of full proposals

Evaluation in the second stage of the selection process may involve external peer reviewers and panel members who either took part or did not take part in the first stage of the selection process.

One additional criterion is used in stage 2 (see Table 7 below), and the sub-criteria differ for each funding instrument to ensure that the full proposals can be properly assessed against the requirements of the funding instrument in question.



For 2020, an additional sub-criterion is used in stage 2 for the PRCI instrument, cf. Table 7.

The following evaluation chart is used by both external peer reviewers and panel members. Once again, the sub-criteria are a guide for coordinators compiling their files and drafting their scientific document, and for assessors (member or external peer) producing their evaluation report.

External peer reviewers' assessment

The aim is for each full proposal to be evaluated by at least two external peer reviewers (individuals not involved in scientific evaluation panel meetings) proposed by panel members appointed to evaluate the proposal and approached by the ANR following conflict-of-interest checks.

The external peer reviewers operate individually and in total confidentiality, without any exchanges with third parties. The only elements at their disposal are the materials in the full proposal as submitted online by the scientific coordinator by the closing time and date of the second submission stage.

The external peer reviewers complete an individual appraisal report in which a comment is given for each evaluation criteria.

Rebuttal stage

Report(s) by external peer reviewers⁵⁹ will systematically be sent to the scientific coordinator for each proposal in May (the precise date will be published later on the ANR website).

The scientific coordinator will then have 7 days to respond to these reports, **if he/she wishes**, via an online interface.

p. 33

⁵⁹ It may not be possible to have all proposals evaluated by "at least two external peer reviewers" before the rebuttal stage begins (for instance, if the proposal relates to a highly specialised theme).

Table 7: Full proposal evaluation criteria according to funding instrument

PRCI	PRCE	PRC	JCJC			
Criterion 1: Quality and scientific aims						
 Clear research objectives and hypotheses Innovative or original position in relation to current practices Appropriate methodology, scientific risk management 						
• Ability of the project to address the research issues covered by the chosen scientific theme.	address the research issues covered by the					
Cı	riterion 2: Organisation and	implementation of the proj	ect			
Skills, expertise and involu-	vement of the scientific coor	dinator and the partners				
• Quality and complement	 Quality and complementarity of the consortium, quality of the collaboration Contribution to the coordinator's empowerment and tead development 					
Appropriate deployed an	d requested resources for the	e project's objectives				
	Criterion 3: Impact and co	onsequences of the project				
Potential impact in scient	ific, economic, social or cultu	ıral fields				
• Balance and complementariness between the scientific contributions of the respective partners in each country and the added value/benefit for France of European or international cooperation	• Technology and innovation transfers within social and economic sectors	Strategy for disseminatin including promoting scient industrial knowledge				

The aim of the rebuttal stage is **solely to report any inaccuracies in the external peer reviewer's report to the scientific evaluation panel**. The coordinator may not, in his/her response, modify the project as described in the submitted full proposal (scope, consortium, budget, etc.), or add new information (new data, published article, etc.).

The coordinator's response is shared only with members of the scientific panel.

The panel will disregard any responses to external peer reviewer report(s) that serve a purpose other than to report inaccuracies to the scientific evaluation panel.

Evaluation by the scientific evaluation panel members

Full proposals are also evaluated by two scientific evaluation panel members. Panel members evaluate individual proposals based on the elements submitted by the coordinator by the call closing time and date. They take account of external peer reviewers' reports and any response made by the scientific coordinator to the external peer reviewers as well. External peer reviewers' reports can thus be seen in conjunction with this response, together with the comprehensive view that panel members have over the proposals assessed within their panel (a view that external peer reviewers do not have).

Ranking

Scientific evaluation panels meet up following the drafting of individual evaluations, in full session. A proposal-by-proposal collegial discussion shall take place and proposals will be ranked per funding instrument.

One of the two panel members appointed to evaluate the proposal (the rapporteur) shall prepare a final evaluation report, taking into account his/her own opinion, the evaluation of the other appointed member, external peer reviewers' reports, possible feedback to external peer reviewers submitted by the scientific coordinator, as well as discussions held in panel meetings **reflecting the consensus reached in the scientific evaluation panel**.

Results

For JCJC, PRC and PRCE, the decision whether or not to select a project is made by the ANR based on rankings established by the scientific evaluation panel and budgetary capacity dedicated to the Generic Call for Proposals.

For PRCI, the final selection process is conducted jointly by ANR and the foreign agency involved based on evaluation elements gathered by the Lead funding agency under the "Lead Agency" 60

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⁶⁰ If ANR evaluates the proposal, the ranking proposed by the scientific evaluation panel will form the basis for discussions.

procedure, or by both funding agencies under the "Non-Lead Agency" procedure. Each agency then funds its own country's teams according to its own funding and monitoring procedures.

The ANR posts the list of projects awarded funding on the AAPG 2020 page of its website.

ANR informs all scientific coordinators of their proposal's selection or rejection by e-mail and transmits the final evaluation report justifying the evaluation panel's decision.

Funding of selected proposals

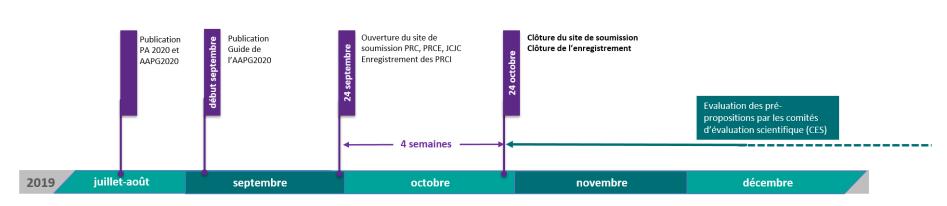
Those proposals selected will be funded by ANR, following administrative and financial checks (mainly to do with accounting/regularity of grants in accordance with European law), and on condition that a grant agreement is signed by each of the private partners benefiting from a grant. Public partners will receive a signed unilateral funding decision following administrative and financial checks by both ANR services and the administrative and financial services of the facilities.

The procedures for the attribution of ANR grants are set out in the <u>Regulations concerning the conditions of allocation of ANR funding</u>. Partners are invited to read this document carefully in order to build their projects in compliance with the provisions therein in particular with respect to budget aspects.

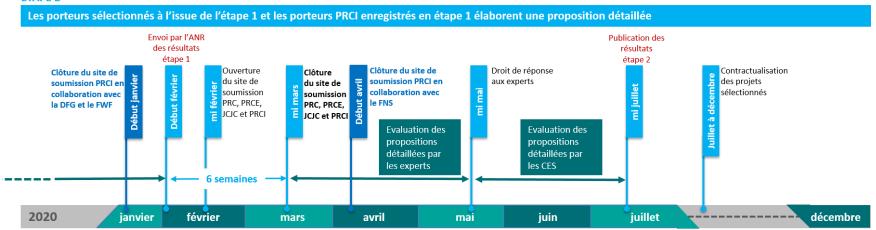
C. Annex 1: Provisional table for the generic call for proposals 2020

ÉTAPE 1

Les porteurs de projets soumettent à évaluation une pré-proposition (PRC/PRCE/JCJC) ou enregistrent leur intention de déposer un projet (PRCI)



ÉTAPE 2



D. Annex 2: List of scientific evaluation panels for the research themes covered by the Work Programme 2020 and AAPG 2020

AAPG 2020		Panel
reference	Panel name	number
§ E.1, Theme 1.1	Fluid and solid earth	CE01
§ E.1, Theme 1.2	Living earth	CE02
§ E.1, Theme 1.3	Scientific and technological innovations to support the ecological transition	CE04
§ E.1, Theme 1.4	Biology of animals, photosynthetic organisms and micro-organisms	CE20
§ E.1, Theme 1.5	Food and food systems	CE21
§ E.1, Theme 1.6	Dynamics of ecosystems and their components for their sustainable management	CE32
§ E.2, Theme 2.1	Sustainable, clean, safe and efficient energy	CE05
§ E.2, Theme 2.2	Polymers, composites, physics and chemistry of soft matter	CE06
§ E.2, Theme 2.3	Molecular chemistry	CE07
§ E.2, Theme 2.4	Metallic and inorganic materials and associated processes	CE08
§ E.2, Theme 2.5	Chemistry: analysis, theory and modelling	CE29
§ E.3, Theme 3.1	Biochemistry of living organisms	CE44
§ E.3, Theme 3.2	Characterisation of structures and structure-function relations of biological macromolecules	CE11
§ E.3, Theme 3.3	Genetics, genomics and RNA	CE12
§ E.3, Theme 3.4	Cellular biology, developmental biology and evolution	CE13
§ E.3, Theme 3.5	Physiology and physiopathology	CE14
§ E.3, Theme 3.6	Immunology, infectiology and inflammation	CE15
§ E.3, Theme 3.7	Molecular and cellular neuroscience – Developmental neurobiology	CE16
§ E.3, Theme 3.8	Integrative and cognitive neuroscience	CE37
§ E.3, Theme 3.9	Translational health research	CE17
§ E.3, Theme 3.10	Biomedical innovation	CE18
§ E.4, Theme 4.1	Innovation, work	CE26
§ E.4, Theme 4.2	Culture, creations, heritage	CE27

§ E.4, Theme 4.3	Cognition, education and training	CE28
§ E.4, Theme 4.4	Inequalities, discriminations, migrations	CE41
§ E.5, Theme 5.1	Digital foundations: information technology, automation, signal processing	CE48
§ E.5, Theme 5.2	Artificial intelligence	CE23
§ E.5, Theme 5.3	Micro- and nanotechnologies for information and communication processing	CE24
§ E.5, Theme 5.4	Multi-purpose communication networks, high-performance infrastructure, software sciences and technologies	CE25
§ E.5, Theme 5.5	Interaction, robotics	CE33
§ E.5, Theme 5.6	Digital models, simulations, applications	CE46
§ E.5, Theme 5.7	Quantum technologies	CE47
§ E.6, Theme 6.1	Mathematics	CE40
§ E.7, Theme 7.1	Physics of condensed matter and diluted matter	CE30
§ E.7, Theme 7.2	Subatomic physics and astrophysics	CE31
§ E.7, Theme 7.3	Planetary science & structure and history of the Earth.	CE49
§ E.8, Theme 8.1	Human-environment interactions	CE03
§ E.8, Theme 8.2	Contaminants, ecosystems and health	CE34
§ E.8, Theme 8.3	Infectious diseases and the environment	CE35
§ E.8, Theme 8.4	Public health, health and society	CE36
§ E.8, Theme 8.5	Mathematics and digital sciences for biology and health	CE45
§ E.8, Theme 8.6	The Digital Revolution: relationship to knowledge and culture	CE38
§ E.8, Theme 8.7	Healthcare technologies	CE19
§ E.8, Theme 8.8	Global security and cybersecurity	CE39
§ E.8, Theme 8.9	Bioeconomy: chemistry, biotechnology, system processes and approaches, from biomass to uses	CE43
§ E.8, Theme 8.10	Urban societies, territories, constructions and mobility	CE22
§ E.8, Theme 8.11	Nanomaterials and nanotechnologies for the products of the future	CE09
§ E.8, Theme 8.12	Sensors, instrumentation	CE42
§ E.8, Theme 8.13	Industry and the factory of the future: People, organisations, technologies	CE10

E. Annex 3: Special mechanisms

E.1. Very large research infrastructures (TGIR)

Projects relying on resources from very large research infrastructures (TGIR) are invited to make that clear at the time they submit their pre-proposal. An approach independent of the submission of the proposal to the ANR must be undertaken to ensure such resources are obtained if the smooth running of the project depends on them. Evidence of this can be provided in the full proposal.

Requests for resources can, for example, be submitted to GENCI (*French programme for "Big national equipment for intensive computing"- www.genci.fr/en*) in order to obtain computing and storage resources for the purposes of digital simulation, big data processing or artificial intelligence.

GENCI can provide computing and storage hardware free of charge, for use in digital simulation and high-performance computing (HPC), at three centres in France (CINES, IDRIS and TGCC) for academic and industrial researchers contributing to open research. Two calls for proposals (January and July) provide openings for applying to obtain resources allocated for a twelve-month period. Applications are then reviewed by Specialist Panels to determine their level of scientific and technical excellence. More information on national computing centres, access terms and conditions and an information handbook for users can be obtained from: http://www.edari.fr and http://www.genci.fr.

E.2. Competitiveness clusters

Projects wishing to be labelled by one or more competitiveness clusters must declare this intention in stage 1 of the selection process (between 24 September and 24 October 2019)

Such requests will not be accepted in stage 2. PRCI proposals are not eligible for labelling.

The scientific coordinator must have the pre-proposal approved by the other partners (including international partners, where applicable) before submitting a labelling request.

The scientific coordinator must have the pre-proposal approved by the other partners (including international partners, where applicable) before submitting a labelling request. All project partners are invited to make contact with the competitiveness clusters concerned <u>as early as possible</u> and to be informed as to the commitments they make in case they obtain support from these clusters (including possible membership of the cluster, transmission of mid-term and final project reports). If a proposal successfully obtains a label from a

competitiveness cluster, information on the monitoring of the project will also be provided to the competitiveness clusters.