



The assessment of maturity
of new proposals

Strategy Report on Research Infrastructures
ROADMAP 2021

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Assessment of maturity

The Implementation Group is the ESFRI instrument to analyse the implementation aspects of existing and new Research Infrastructures to the Roadmap.

The role of the IG is to:

- **assess the implementation case of new proposals for an ESFRI roadmap update;**
- assess the implementation of ESFRI Projects (2010+2016);
- contribute to the periodic review of ESFRI Landmarks;
- propose conclusions, recommendations and decisions on the status for new proposals, ESFRI Projects and ESFRI Landmarks to the Executive Board and the Plenary Forum;
- offer targeted and specific support to ESFRI Projects to move towards implementation and to ESFRI Landmarks;
- contribute to the further development of the methodology for ESFRI roadmap updates;
- Collaborate closely with the SWGs on all aspects.



The IG assesses maturity along five dimensions

1. Stakeholder commitment
2. Preparatory work & planning
3. Governance, management & human resources
4. Finances
5. Risks



Minimal key requirements

- ESFRI applies minimal key requirements on all five dimensions along the RI life cycle.
- These minimal key requirements serve as the basis for the scoring in the assessment.
- Meeting minimal requirements is necessary, but not sufficient to be automatically listed in the Roadmap.
- The minimal key requirements for the implementation case are described in detail in the Public Roadmap 2021 Guide (ANNEX III, column Preparation)



Minimal key requirements

New Projects must demonstrate adequate maturity level, provide proof of:

- political support, i.e. **Expression of political Support (EoS)** by the lead country and a **satisfactory** number of prospective members;
- satisfactory **inter-institutional and multi-lateral agreement**, e.g. a Memorandum of Understanding (MoU) signed by all core partners - being research institutions - formally involved in the consortium.
- clear strategy how to **gather necessary commitment** at institutional and governmental level;



Minimal key requirements

Apart from the first three criteria, new projects must have:

- successfully completed a **design/feasibility study**;
- developed a clear **business case**;
- a clear strategy how to tackle **technological and construction issues**;
- a **detailed plan for preparation and implementation** agreed among the partners, including relevant investment decisions;
- **Overall plan for operations and decommission** defined (life cycle!)



Minimal key requirements

- satisfactory **project organisation and management** for preparation and implementation phase, including skills, staffing etc. approved
- measurable and satisfactory **Key Performance Indicators** identified
- **governance** with clearly defined responsibilities and reporting lines outlined, including supervisory and other Boards
- **human resources policy** for implementation and operation to gather necessary competences (hiring, equal opportunities, training etc)



Minimal key requirements

- **Financial commitment** by lead country or EIROforum member, and possible other entities satisfactory covering the preparation and implementation phases.
- top-level **breakdown of cost elements** with overall order of magnitude estimates (incl for central Hub, National Nodes and main upgrades)
- **estimates and confidence levels** to cost elements
- **funding opportunities** identified for whole lifecycle
- **in-kind contribution policy** outlined
- clear **identification of major risks** involved and appropriate **mitigation strategies** described



Scoring

Scoring values are attributed to each dimension following the minimal key requirements described for new proposals (Annex III: preparation phase in the 2021 Roadmap Guide):

- **Very high**, i.e. the key requirements are **outstandingly met**.
- **High**, i.e. the key requirements are **comprehensively met**.
- **Medium**, i.e. the key requirements are partly met, but the proposal/Project/Landmark shows **weaknesses with regard to specific requirements**. Enhancing the RI's future success requires (significant) changes to (specific parts of) the proposal/plans.
- **Low**, i.e. the key requirements are **insufficiently met** and the evidence for future success of the RI is not convincing.
- In order to be considered as a Project, **a proposal must meet the key requirements for 'preparation phase' and score at least 'high' for both the scientific case and the implementation case.**



Principles, conflict of interest (Col) and confidentiality

All evaluations and assessments must comply with the following four principles:

- **Independence**, i.e. involved persons carry out the evaluations and assessments in a personal capacity and they represent neither their employer nor their country.
- **Impartiality**, i.e. persons must treat all proposals, Projects and Landmarks equally and evaluate and assess them impartially on their merits, irrespective of their origin or the identity of the applicants and coordinators.
- **Objectivity**, i.e. involved persons evaluate and assess each proposal or questionnaire as submitted; meaning on its own merit, not its potential if certain changes were to be made.
- **Accuracy**, i.e. involved persons make their judgment solely against the formal evaluation and assessment criteria and the relevant ESFRI documentation.

ESFRI checks any Col with all SWG and IG Members and with all **external Reviewers**, which must **declare non-conflict of interest and confidentiality** on the proposals, Projects or Landmarks they are evaluating and assessing. Strict rules for confidentiality apply.



Process

- The IG assesses maturity of each proposal, harmonizes the conclusions with the SWG and presents the conclusions and recommendations to the EB.
- The EB presents the result to the ESFRI Plenary Forum.
- The Plenary Forum discusses the status, the conclusions and the recommendations per proposal and will decide upon new Projects to be included in the Roadmap 2021.
- Projects are RI's in their preparation phase, which have been selected for the **excellence of their scientific case** and for their **maturity**, according to a sound expectation that the Project will reach the **implementation** phase **within the ten-year term**.



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Thank you for the attention!