

DEFINITIONS, MODELS, METHODS, PROCEDURES & QUESTIONNAIRES

Strategy Report on Research Infrastructures
ROADMAP 2018

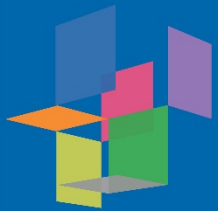
David Bohmert
Member Executive Board
Swiss Delegate

EoE Workshop – 18th January 2017

Málaga
Spain

OVERVIEW

- strategic role & robust methodology
- definitions
- RI Lifecycle
- evaluation scientific case & assessment implementation
- scoring & principles
- Monitoring 2008 & 2010 Projects
- pilot Periodic Review Landmarks
- Monitoring System (ESFRI-MOS)
- questionnaires
- planning



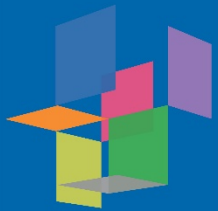
STATE OF THE ART RI ROADMAPPING

STRATEGIC ROLE

- operate at forefront of European & global science policy
- carry out analysis of RI landscapes in five scientific domains
- ensure national commitments to implementation of RI on Roadmap
- provide advice & guidance on overcoming obstacles
- offer support to RI in portfolio & facilitate their implementation
- link regional, national, European & international levels

ROBUST METHODOLOGY

- apply & improve common definitions, models, methods & procedures
- addresses entire life cycle safeguarding Long Term Sustainability (LTS) of RI portfolio
- organise open calls, check eligibility & review against clear & transparent criteria
- apply independent & international peer review
- adhere to strict principles, avoid conflict of interest & safeguard confidentiality
- apply `parallel` evaluation of scientific case & assessment of implementation



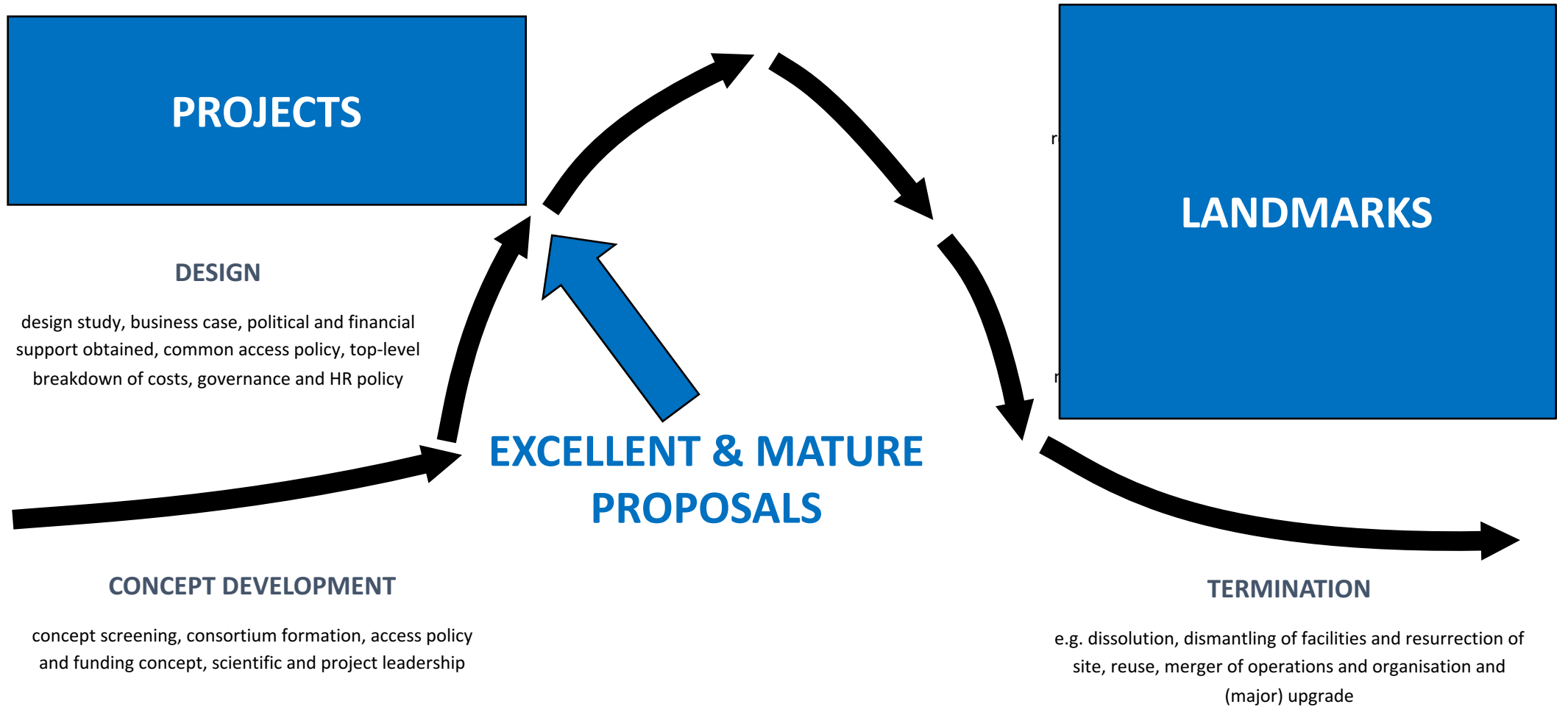
DEFINITIONS

- Research Infrastructure
- Single-Site RI
- Distributed RI
- Global Research Infrastructure (GRI)
- Major upgrade
- Projects
- Landmarks
- Estimated and real costs

CONSULT PUBLIC ROADMAP 2018 GUIDE FOR COMPLETION OF QUESTIONNAIRES



RESEARCH INFRASTRUCTURE LIFECYCLE



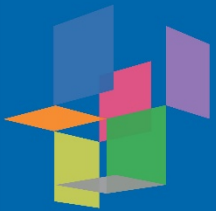
TWO SIDES OF SAME RI

STRATEGY WORKING GROUPS (SWG) IN FIVE SCIENTIFIC DOMAINS EVALUATE SCIENTIFIC CASE

1. SCIENTIFIC EXCELLENCE
2. PAN-EUROPEAN RELEVANCE
3. SOCIO-ECONOMIC IMPACT
4. E-NEEDS

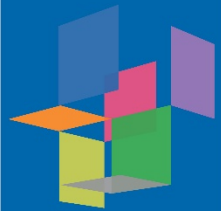
IMPLEMENTATION GROUP (IG) ASSESSES IMPLEMENTATION

1. STAKEHOLDER COMMITMENT
2. USER STRATEGY & ACCESS POLICY
3. PREPARATORY WORK
4. PLANNING
5. GOVERNANCE & MANAGEMENT
6. HUMAN RESOURCES POLICY
7. FINANCES
8. RISKS



EVALUATION & ASSESSMENT

- ESFRI has progress information on Projects & Landmarks (from AEG 2012 & IG 2015) & thus sends specific questionnaire to each Project/Landmark
- Projects & Landmarks are invited to demonstrate how they have followed up on prior conclusions & recommendations
- SWG & IG will take ENTIRE questionnaires into account when evaluating scientific case & assessing implementation
- careful attention will be paid to border between PREPARATION & IMPLEMENTATION
- Projects & Landmarks will receive targeted conclusions & recommendations to follow up
- minimal key requirements serve as basis for scoring in evaluation & assessment
- meeting minimal requirements is mandatory, but not necessarily sufficient to be listed in Roadmap 2018
- 2008 Projects need to fulfil minimal key requirements for at least IMPLEMENTATION

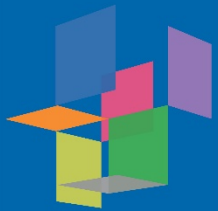


SCORING

- **VERY HIGH** = key requirements are outstandingly met
- **HIGH** = key requirements are comprehensively met
- **MEDIUM** = key requirements are partly met, but proposal/Project/Landmark shows weaknesses with regard to specific requirements
> enhancing RI's future success requires (significant) changes to (specific parts of) proposal/plans
- **LOW** = key requirements are insufficiently met and evidence for future success of RI is not convincing

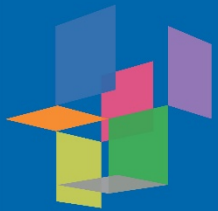
IN ORDER TO BE CONSIDERED AS A LANDMARK, A PROPOSAL MUST MEET AT LEAST KEY REQUIREMENTS FOR `IMPLEMENTATION` & THUS SCORE AT LEAST `HIGH` FOR BOTH SCIENTIFIC CASE AND IMPLEMENTATION

MEETING MINIMAL REQUIREMENTS IS MANDATORY, BUT NOT NECESSARILY SUFFICIENT TO BE LISTED IN ROADMAP



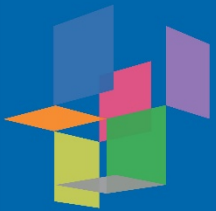
PRINCIPLES

- **INDEPENDENCE** = involved persons carry out evaluations and assessments in personal capacity and they represent neither their employer nor their country
- **IMPARTIALITY** = persons must treat all proposals, Projects and Landmarks equally and evaluate and assess them impartially on their merits, irrespective of their origin or identity of applicants and coordinators
- **OBJECTIVITY** = 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** = involved persons make their judgment solely against formal evaluation and assessment criteria and relevant ESFRI documentation



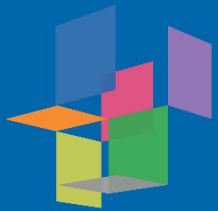
MONITORING 2008 & 2010 PROJECTS

1. check overall progress towards implementation, i.e. to what degree Projects fulfil minimal key requirements & what plans are for reaching full implementation
2. check and report on whether & how Projects have addressed conclusions & followed up on recommendations from 2015 assessment of implementation
3. propose **status, conclusions & recommendations** on Projects to Plenary Forum, including possible **transition from Project to Landmark**
4. update all public information on Projects for Roadmap 2018



RULES & PROCEDURES MONITORING

- ten-year term will expire for 2008 Projects & they will not appear as Projects in Roadmap 2018
- 2008 Projects need to take thorough decision on whether they want to a) undergo monitoring (yes/no Landmark) or b) re-apply for the Roadmap 2018 (yes/no well-justified Project with NO automatism, e.g. H2020 funding or ten years)
- those 2008 Projects that have successfully reached implementation or operation phase may be evaluated with respect to requirements of Landmarks
- any Project that wants to be re-considered after ten years on ESFRI Project list, must re-apply, as a new proposal overcoming bottlenecks that prevented its implementation (in such case, Project will be competing - on equal footing - with all other new proposals applying to Roadmap)
- ESFRI will not monitor six 2016 Projects in this round



PILOT PERIODIC REVIEW LANDMARKS

ESFRI perform periodic review of four Landmarks:

1. address their scientific case and their implementation
2. identify their main long-term sustainability challenges
3. update all public information on ALL Landmarks for Roadmap 2018
4. develop comprehensive and robust methodology for periodic review applicable to all Landmarks for future updates of Roadmap together with clear and well accepted criteria

PILOT EXERCISE ONLY AND WITHOUT CONSEQUENCE FOR THEIR LANDMARK STATUS

IN ORDER TO AVOID DUPLICATION WE INVESTIGATE TO WHAT DEGREE LANDMARKS ARE WILLING TO SHARE (INTERNAL & EXTERNAL) EVALUATION AND ASSESSMENT RESULTS

ESFRI WILL DECIDE UPON FREQUENCY OF PERIODIC REVIEW OF LANDMARKS IN FUTURE
- A DECISION THAT WILL ALSO BE INFORMED BY OUTCOME OF PILOT

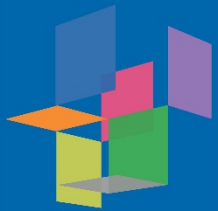
MONITORING SYSTEM (ESFRI-MOS)

RATIONALE

- follow Projects & Landmarks along lifecycle
- easy access to data related to Projects & Landmarks
- pre-defined reports from data to be available for online consultation
- workflow management of monitoring Projects & periodic review Landmarks

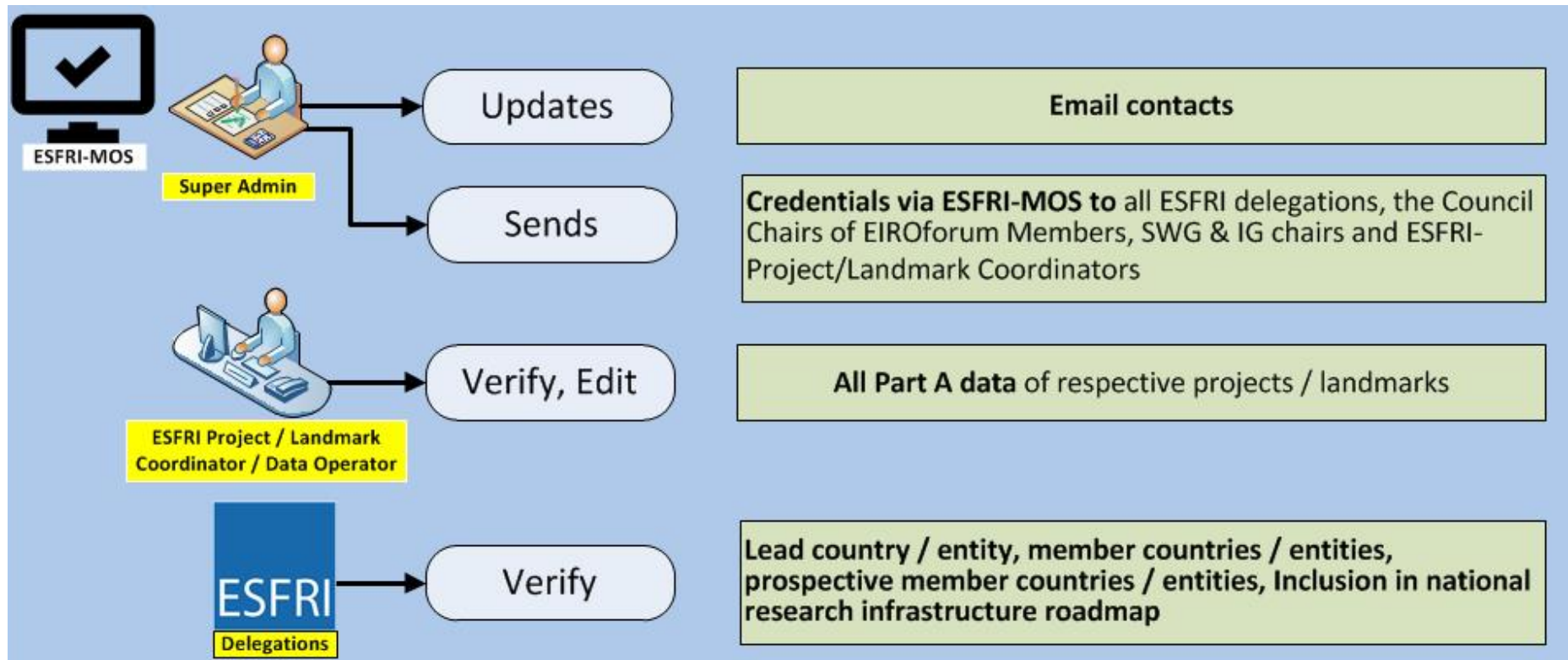
BENEFITS

- interaction between Coordinators, Delegates, SWG, IG & Secretariat for viewing, editing, adding & querying Part A, B, C information on Projects & Landmarks
- efficiency as Projects & Landmarks verify, adjust & enrich pre-filled information
- retrieval single & combined information on Projects & Landmarks
- publication Roadmap 2018 speeded up



MONITORING SYSTEM (ESFRI-MOS)

1. system initialisation
2. data editing & validation political support
3. data dissemination & publication

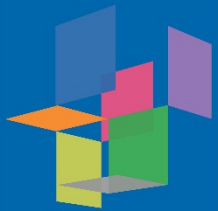


QUESTIONNAIRES

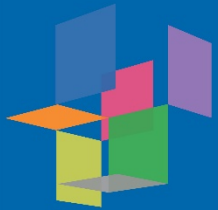
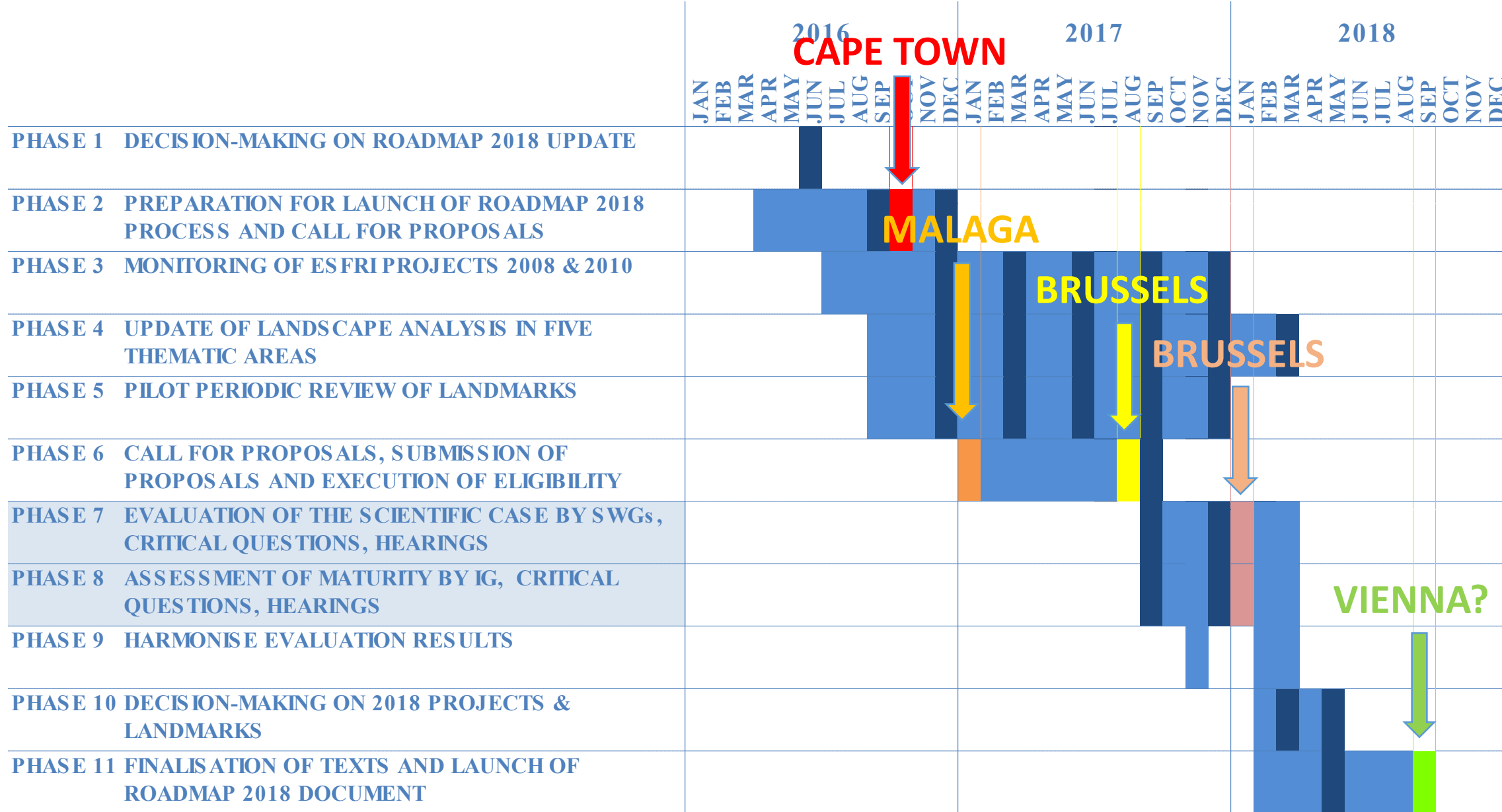
- Secretariat provided/will provide single password to Coordinators protecting data-entry
- ESFRI validates information on stakeholder & financial commitments - incl. inclusion in national RI roadmaps - with ESFRI Delegations & Council Chairs of EIROforum members
- questionnaires consist of three parts to be completed:
 - PART A: GENERAL INFORMATION is used as background information & for public description in Roadmap 2018
 - PART B: SCIENTIFIC CASE & PART C: IMPLEMENTATION are used by SWG to monitor scientific case & by IG to monitor implementation

PART A IS PREFILLED AND NEEDS ADJUSTMENT AND COMPLETION

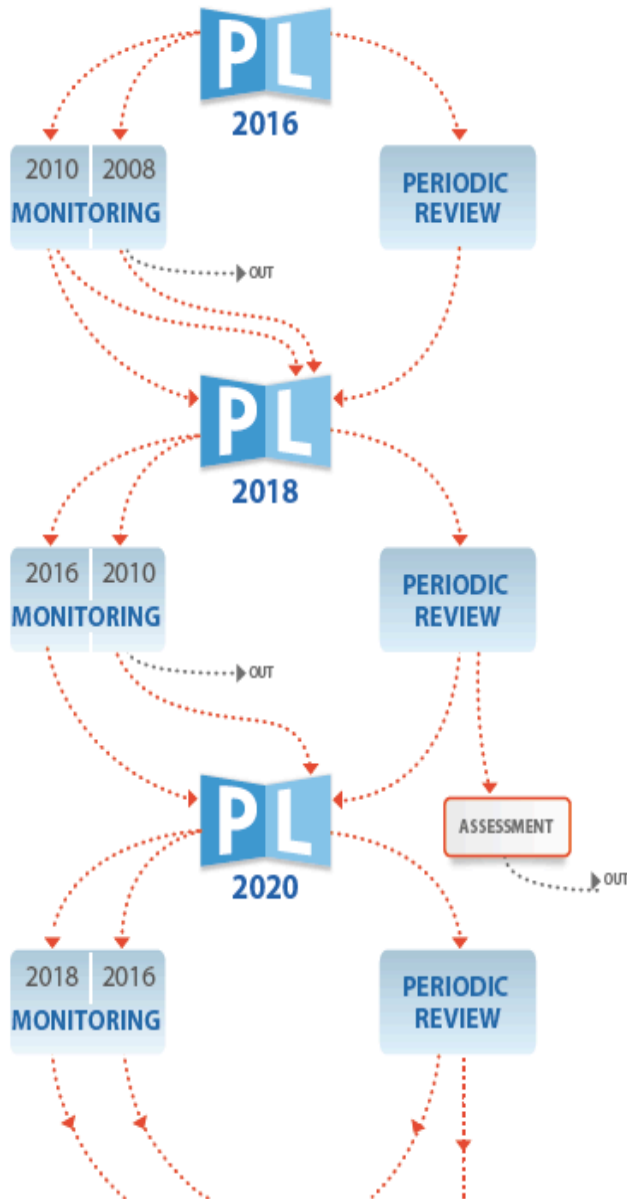
- questionnaires may be completed progressively as saving of work underway is technically possible
- some questions require to tick a bullet, to fill a text section with strictly limited number of characters or to upload documents in PDF at maximum 1 MB each
- if you believe a question does not apply to your Project/Landmark you may enter 'not applicable', but you should explain why the question is not relevant in your case



ROADMAP 2018



ESFRI ROADMAP DYNAMICS



DEADLINES

- 2010 Projects submit questionnaires by **10th February 2017 at 18:00 CET**
- Landmarks submit questionnaires by **10th February 2017 at 18:00 CET**
- 2008 Projects inform ESFRI Chair in writing if they want to undergo monitoring by **10th February 2017 at 18:00 CET**
- Secretariat sends login and password to interested 2008 Projects by **21st February 2017**
- 2008 Projects submit questionnaires by **28th April 2017 at 18:00 CET**





THANK YOU FOR YOUR
ATTENTION!
QUESTIONS?

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