



**MONITORING
OF ESFRI
PROJECTS -
OBJECTIVES AND
PROCEDURES**

Strategy Report on Research Infrastructures
ROADMAP 2021

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ESFRI PROJECTS AND LANDMARKS

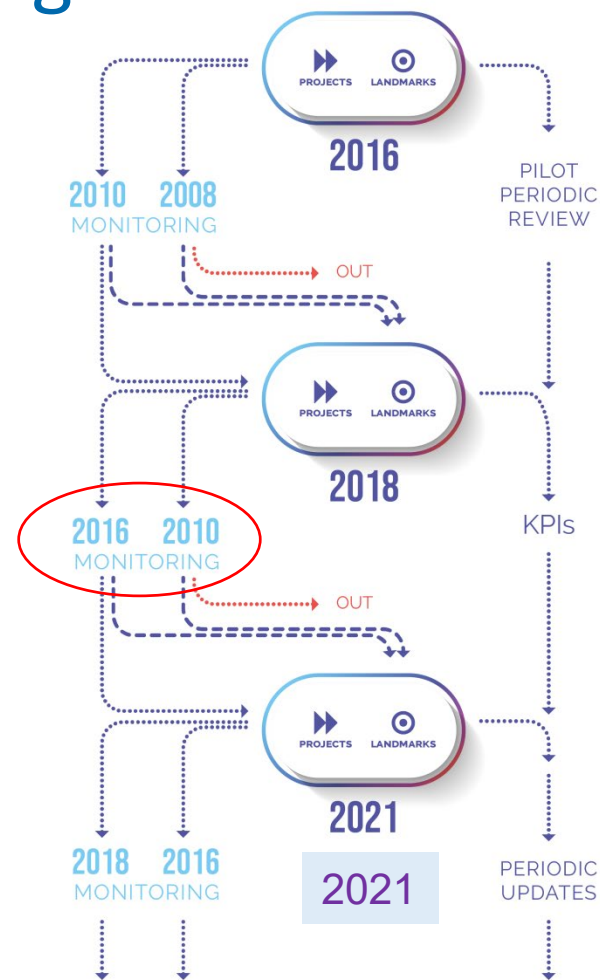
- **Roadmap 2021: Projects submitted 2010 and 2016 will be monitored**
- **2010 Projects will be assessed based on their last ESFRI evaluation with the aim to obtain Landmark status**
- **2016 Projects will be assessed based on their initial 2016 evaluation in order to identify their progress towards implementation**

Projects that do not wish to be monitored have to give ESFRI an official communication at the latest by October 31st. This will imply withdrawal from the Roadmap.



Objectives of Project Monitoring

1. CHECK OF THE OVERALL PROGRESS
Projects have a maximum of 10 years of residency on the roadmap to reach implementation. The progress according to the fulfilment of Minimal Key Requirements (MKR) as defined in the ESFRI Roadmap has therefore to be monitored.
2. CHECK ADDRESSING OF RECOMMENDATIONS
Check whether previous recommendations have been addressed from Monitoring (for 2010) or Evaluation (for 2016).
3. RECOMMENDATIONS TO THE FORUM
The final decision on the status of the project and recommendations are made by the forum.



Basis of the Procedure of Monitoring

- The ten-year term will expire for the *Projects 2010* and they will not appear as Projects in the Roadmap 2021.
- Those *Projects 2010* that have successfully reached the implementation may be evaluated with respect to the requirements of Landmarks.
- Any Project that wants to be re-considered after ten years on the ESFRI Project list, must re-apply, as a new proposal clearly overcoming the bottlenecks that prevented its implementation.
- 2016 projects will be monitored against their initial evaluation when entering the Roadmap.
- ESFRI will not monitor the six *Projects 2018*
- Monitoring is based on Questionnaires sent to the projects
- Questionnaires reflect the Minimal Key Requirements for the Implementation phase, as listed in the Roadmap guide and further questions on the project progress
- Monitoring involves a Scientific Case and an Implementation Case



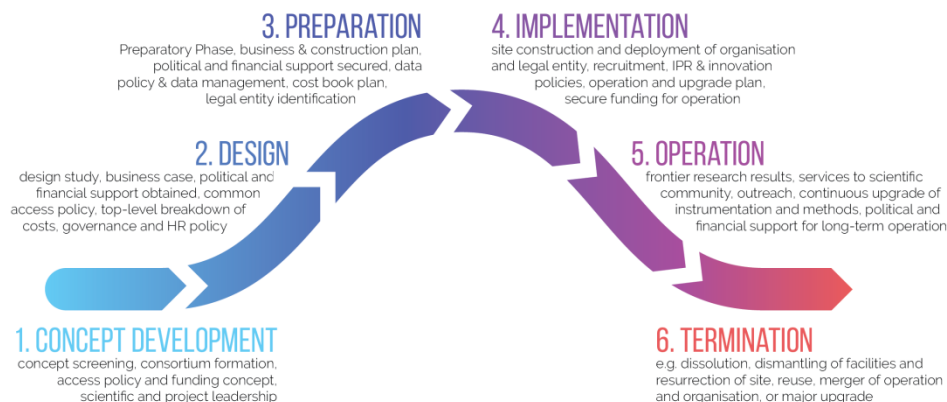
Monitoring of Scientific Case

Dimensions are:

- Scientific Excellence
- Pan – European Relevance
- Socio – Economic Impact
- User Strategy and Access policy
- E-Needs

Measurement of general progress along the lifecycle:

- From outline to definition
- From designs to approvals



Monitoring of Implementation Case

Dimensions are:

- Stakeholder Commitment
- Preparatory Work & Planning
- Governance, Management and Human Resources
- Finances
- Risks

Measurement of general progress:

- From agreements to commitments
- From strategies to decisions

	PHASE	
	PREPARATION*	IMPLEMENTATION
STAKEHOLDER COMMITMENT	<ul style="list-style-type: none"> - political support provided by 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 about how to gather necessary commitments at institutional and governmental level 	<ul style="list-style-type: none"> - RI included in all relevant national RI roadmaps or similar political documents - commitment of a) MS and AC and b) core institutes and partners secured through signed legally binding document (e.g. statutes) - role and funding of Central office (Central Hub) agreed in legally binding document (e.g. statutes)
PREPARATORY WORK & PLANNING	<ul style="list-style-type: none"> - design/feasibility study successfully completed - clear business case developed - clear strategy about how to tackle technological and construction issues - detailed plan for preparation and implementation agreed, including relevant investment decisions - overall plan for operation and decommission defined 	<ul style="list-style-type: none"> - preparatory phase successfully completed - sound and reviewed business plan agreed - all investment decisions for implementation have been effectively taken and those for operation are clearly planned - communication programmes are in place - decision on site taken - building licence obtained - procurement strategy clearly identified and procurement task force in place - tenders and commitments to fund construction approved - decision on hosting of central hub taken - services to users at national level and services from Central Hub to National Nodes delivered - detailed plan for scientific, technical and organisational implementation validated



Procedure of Monitoring 2010 projects

1. Questionnaires are sent to the projects
Questionnaires are customized to the projects, based on the 2018 evaluation of these projects
2. The questionnaires are evaluated by experts determined by
 - one or more Strategic Working Groups (SWG, Scientific Case) and
 - the Implementation Group (IG, Implementation Case)
3. Hearings will be conducted
4. A feedback is sent to the projects
5. The results are presented to the forum for final decision



Timeline

2010 Projects

STEPS	DATE (RANGE)
INFODAY	25 September 2019
CUSTOMIZED QUESTIONNAIRE SENT TO THE PROJECTS	January 2020
SUBMISSION OF QUESTIONNAIRE	June 2020
CRITICAL QUESTIONS & INVITATION TO HEARINGS	January 2021
HEARINGS	February - March 2021
ESFRI FORUM DECISION	June 2021
ESFRI ROADMAP Launch	October-November 2021



Procedure of Monitoring 2016 projects

1. Questionnaires are sent to the projects
Questionnaires are customized to the projects, based on the 2016 initial evaluation of these projects.
2. The questionnaires are evaluated by experts determined by
 - one or more Strategic Working Groups (SWG, Scientific Case) and
 - the Implementation Group (IG, Implementation Case)
3. A feedback is sent to the projects
4. The results are presented to the forum for final decision



Timeline

2016 Projects

STEPS	DATE (RANGE)
INFODAY	25 September 2019
CUSTOMIZED QUESTIONNAIRE SENT TO THE PROJECTS	November 2019
SUBMISSION OF QUESTIONNAIRE	February 2020
ESFRI FORUM DECISION	June 2020
ESFRI ROADMAP Launch	October-November 2021



A look forward: Periodic update of ESFRI Landmarks

ESFRI conducted a pilot review process with volunteering Landmarks. The process gave a number of useful lessons to improve the procedures. These will be taken into account for future Landmark review processes.

ESFRI currently develops a **methodology to monitor the performance of ESFRI Landmarks**. ESFRI Projects and Landmarks contributed in the discussions.

The methodology is based on KPI and narratives.

The the appropriate KPIs and their relevance will be defined in a dialogue process between the individual RIs and ESFRI

It can be adopted on a voluntary basis by RIs and funding authorities for their own purposes.

The KPI system will be presented to the ESFRI Forum in December 2019 for approval.

Afterwards the necessary organisational structures within ESFRI will be decided and implemented.

The rollout will be communicated in time to the ESFRI RIs. It is expected to start in the course of 2020, full operations will start at the earliest in 2021.



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Thank you for the
attention!

It's time for a
coffee break!