

ADDENDUM
**to the SERVICE AGREEMENT for the
FCT Evaluation and Funding of R&D Units**

This document is an **Addendum** to the SERVICE AGREEMENT signed between the *European Science Foundation (ESF)* and the *Fundação para a Ciência e a Tecnologia (FCT)* respectively on 7 and 10 April 2014.

The purpose of this addendum is to **amend** APPENDIX 1 (Work Plan) with regard to the **Stage 2 evaluation procedure**.

All other elements of the Service Agreement referenced above **remain strictly unchanged**.

This Addendum is drawn up in duplicate, each party receiving an initialled and signed original.

For the Customer:

Fundação para a Ciência e a Tecnologia, I.P.
(FCT, I.P.)

Name: **Miguel Seabra**
Function: President of the FCT

Date: 24/10/2014

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Miguel Seabra
Signature

For the Service Provider:

European Science Foundation (ESF)

Name: **Martin Hynes**
Function: ESF Chief Executive

Date: 24/10/2014

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M.A. Hynes
Signature

UPDATED STAGE 2 WORKPLAN AND BUDGET

This document presents the updated version of ESF's workplan in support to FCT's evaluation of research units. Its contents results from a meeting held at FCT on June 17-18, 2014.

Background

Since the early start of the process, it was clear that FCT would be the driving organisation for the implementation of the second stage of the evaluation. Based on the experience gained through the first stage, the involvement of ESF in the Stage 2 has been re-discussed and refined.

It has been agreed that the following task distribution will apply:

- For site visits:
 - o ESF : (i) compiles site visits documentation and guidelines, (ii) develops and makes available the online platform that will allow accessing documents and production of site visit reports (including helpdesk), and (iii) attends part of the visits (typically one set/Panel) as observer.
 - o FCT : (i) schedules and organises the site visits (incl. participation of panel members), (ii) provides research units with a set of guidelines to prepare for the visits (see below), (iii) provides the secretaries to the site visits, (iv) follows-up on the production of the site visit reports, and (v) provides the overall technical and scientific coordination of the visits.

- For the final panel consensus meeting:
 - o ESF will (i) provide the online platform that will allow to access preparatory documentation and write the final consensus reports and (ii) attend the panel meetings as observers.
 - o FCT will (i) organise the panel meetings (logistics, accommodation, practical arrangements), (ii) provide the pre-meeting documentation and the panel secretaries who will support the panels in their discussion, and (iii) follow-up on the production of the final consensus reports and their final check.

Also, looking back at the Stage 1 evaluation, one could identify tasks performed by ESF that were not included in the original work plan, and a specific workpackage (99) reporting on these tasks is included within this addendum.

WORK PACKAGE 0.2 – PROJECT MANAGEMENT – Stage 2

The overall Stage 2 process will be supervised by a Senior Science Officer and a Principal Officer who will regularly report to the ESF Chief Executive on one side, and to the FCT representatives on the other side. The ESF project management team will be supported by one Senior Administrator and an IT Officer.

WORK PACKAGE 6 – SUPPORT TO STAGE 2 EVALUATION

This Work Package covers how ESF will support and contribute to the second stage of the evaluation process. It is understood that this stage will be coordinated by FCT and that ESF will provide an operational support to it.

Task 6.1 - Preparation of site visits and documentation

July 2014

This task covers the preparation of the site visits documentation. It will be performed in close relation with FCT and will heavily rely i) on the information produced during Stage 1 (proposal, external reviews, rebuttal, consensus statement) and ii) the (optional) feedback submitted by research units after Stage 1 on panel recommendation. All this information will be compiled in one document/Research Unit to be visited and made available online to review panel members.

Based on the comments and outcomes from the first stage, ESF will work closely with FCT to define the main principles of site visits and develop on that basis guidelines for panel members. The ESF will be in charge of compiling and reviewing the above visit documentation.

ESF will not look after logistics, practical meeting organisation issues or circulation of meeting specific information such as agendas (done by FCT).

Deliverables:

D6.1.X (one/research unit visited): Site visit documentation packages

- *Proposal*
- *External assessments*
- *Rebuttal statement*
- *Consensus report*
- *Feedback on consensus decision (if any)*
- *Site visit guidelines for Panel members*

Task 6.2 – Support to site visits

July-November 2014

Site visit 'sessions' will generally last around five days and will involve visiting between six and ten research units. Each session will be attended by a team (subgroup) of review panel members.

Site visits will be supported by FCT staff; ESF panel secretaries will attend one session of site visits per panel as observer, as such, he/she will not intervene in the discussion with member of the Research unit or between panel members. However, he/she will be able to provide inputs and advice on methodology at any stage of the visit and will be able to report on the visit process.

Milestones:

Site visits: dates available on FCT sites

Task 6.3 – IT platform

In order to support the Stage 2 process, the ESF will develop a dedicated IT infrastructure that will be used for the site visits and for the final consensus meeting. This platform will have several components.

Task 6.3.1 - IT Platform for visits documents

This platform will allow panel member to access the site visit documents produced under T6.1. Each panel member attending a visit will have a dedicated space with the relevant information. In addition this platform will also make additional bibliometric information available to panel members.

Deliverable:

D6.3.1: online Site visit documentation packages – 1 September 2014

Task 6.3.2 - IT Platform for site visits reports

This platform will allow visit rapporteurs to draft and submit the site visit reports. The structure of the site visit report forms will be based on the Stage 1 evaluation reports, but will also include a part about criterion E.

The form will be designed to allow the expression of additional information and insight brought by the site visits and will provide, as reference, the comments made during Stage 1. These forms will allow attributing marks to the each criterion and will compile a (transitory) general mark.

The form will also provide the questions addressed by panel members during Stage 1 evaluation in order to remind rapporteur to address them in the content of the report.

Members of the team visiting the units will have the possibility to comment online on the draft produced by the visit rapporteur, the rapporteur will take these comments into account when finalising the report.

Deliverable:

D6.3.2: online Site visit report form – 1 September 2014

Task 6.3.3 - IT Platform for final consensus meeting

This facility will allow the production of the final evaluation reports that will be produced after the final review panel meetings in November.

The final evaluation form will be based on the visit report structure but will not include numerical scores for criteria, nor for the general assessment of the research units, only qualitative grades will be mentioned (e.g. very good, excellent); each criteria will be substantiated by a comment and a general comment will also be required.

FCT will have access to the draft and final version of the final reports and will have the opportunity to check the quality of the reports. Comments on the reports will be submitted online and automatically addressed to the lead rapporteur.

Deliverable:

D6.3.3: online final assessment report form and quality control interface– 1 October 2014

Task 6.3.4 - Helpdesk

Throughout the entire Stage 2, ESF will provide the technical helpdesk for the users of the IT platform (review panel members and FCT staff).

Task 6.4 – Final consensus meeting

24-26 November 2014

Following all visits, review panel will reconvene in order to integrate the outcomes and findings of Stage 2. Based on the visit reports (made available on the ESF platform), a final consensus will be made on the actual final ranking of a research unit (exceptional, excellent, very good, good, fair and poor) and the content of the final consensus report will be agreed upon.

Four ESF staff will attend the final consensus meeting as observers, FCT will provide the panel secretaries.

Milestone:

Final evaluation meeting: 24-26 November 2014

WORK PACKAGE 7 – REPORTING ON THE PROCESS

This work package involves reporting on the whole process (stage 1 and 2). The final report will deal with the implementation of the research units' evaluation and will highlight its strengths and amelioration points.

The report will also compile factual data describing the process (e.g. number of experts involved, distribution of the marks).

The final report will be composed of three parts dealing more specifically:

- Stage 1 evaluation, process, methodology and output
- Site visit process, methodology and output
- Final consensus meeting process methodology and output

A final section will also address the whole process, from its design and approach to the integrated results.

The report will be drafted by ESF, commented and finalised in close cooperation with the panel chairs. It will be eventually endorsed by the panel chairs.

Deliverable:

D7: Final report on the 2013 evaluation process – 15 January 2015

WORK PACKAGE 99 – ADDITIONAL WORK CARRIED OUT BY ESF DURING STAGE 1

This work package deals with the additional work performed by ESF in the course of Stage 1 and that was not originally planned. These tasks involved:

- Setting up and managing the multidisciplinary panel (Panel 7)
- Integrating more complex sets of bibliometric information into web platform for circulation to panels and remote reviewers
- Supporting the administrative process in clarifying honoraria rules/requirements and guidelines for panels & remote reviewers

C – BUDGET

The **total cost for Stage 2 support** (including Work Package 99) represents **109 029 €**.

This cost includes:

- ESF Staff costs: 94 808 €
- ESF overheads (15% on staff costs): 14 221 €

=> **Actual travel and accommodation costs for ESF staff during Stage 2 will be processed directly through FCT** (i.e. through FCT travel agency, in principle, or via travel claim).

Addendum to be initialled on each page, and dated and signed on page 1 by both parties.