



HORIZON 2020

Research and Innovation action

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ARICE: Arctic Research Icebreaker Consortium:

**A strategy for meeting the needs for marine-based research
in the Arctic**

Deliverable 4.1. Definition of the international shared
evaluation system

Submission of Deliverable

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Deliverable No. 4.3.

Definition of the international shared evaluation system

Abstract

The ARICE Evaluation System is based on the EUROFLEETS Evaluation System, which followed the best experiences and practices from different European ship-time application and evaluation procedures.

The EUROFLEETS Evaluation System was accepted by the RV operators of 22 European RVs, as members of the EUROFLEETS (1&2) projects, and tested in 8 calls for proposals (over 100 proposals evaluated) with 41 cruises successfully scheduled on board European RVs.

This evaluation system has been accepted by the ARICE RV operators to grant ship time on board the offered research icebreakers.

Evaluation procedure

The ARICE Scientific Liaison Panel (SLP) established by the ARICE Consortium consists of international experts covering all fields of arctic science. The SLP will judge the scientific excellence of eligible proposals from at least three independent external evaluations per proposal. All reasonable measures will be taken to ensure **Objectivity, Transparency, Equality of Treatment, Impartiality, Quality and Confidentiality**.

The membership of the ARICE Scientific Liaison Panel is personal and public. For more details concerning the Panel's mandate and members please consult www.arice.eu

Scientifically excellent proposals will be then evaluated logistically by the operators of the ARICE research icebreakers, who will conclude if the proposals are also logistically feasible.

Steps involved in the evaluation of proposals

1. ELIGIBILITY

Proposals received by the notified submission date are checked for compliance with the general **Eligibility Criteria**. These criteria include:

- Was a complete application (including the Endorsement Letter from MOSAiC, in case of applying to PRV Polarstern) received on time?
- Is the proposal from an eligible institution?
- Are the majority of the proponents and the majority of the user group from a member state or an associated state to H2020?. Are the PI, and the majority of the proponents and user group from another country than the research vessel he/she is applying for ship-time?
- Are at least three partners from different countries involved?

- Are all sections of the application form completed correctly and the requested proposal structure in Part B (scientific project description) followed?

Full eligibility criteria are available at **ARICE 2028- General Information for Applicants**.

Proposals considered to be ineligible will be returned to the applicant with a note explaining why they were considered to be not eligible. At the end of the online proposal submission process a unique project identifier will be assigned to each proposal. The unique project identifier should be used in any subsequent correspondence or enquiry with the ARICE Evaluation Office. A **Proposal Summary Sheet** will be issued to the PI during the finalisation of the submission process.

2. SCIENTIFIC EVALUATION

A member of the **Scientific Liaison Panel (SLP)**, expert on the respective proposal topic, is allocated to each proposal. This SLP member accompanies the proposals and he/she is responsible throughout the different steps of the evaluation process and – if the proposal is successful – even afterwards for the cruise reporting. One member of the **Advisory Board (AB)** participates at the SLP meetings ensuring the transparency of the evaluation process.

The ARICE Evaluation Office maintains a list of expert evaluators to assist in the evaluation of all proposals for funding. The names of the experts assigned to individual proposals are not made public. Evaluators are required to read and sign a Declaration of Confidentiality and Conflict of Interest Form.

Proposals meeting the eligibility criteria are evaluated based on their individual merit by as a general rule three individual evaluators. Evaluators are chosen in mutual agreement by the Scientific Liaison Panel and the Evaluation Office. The experts examine the proposal(s) assigned to them and score and comment on each proposal under each of the **Evaluation Criteria** (see below) using an individual **Proposal Assessment Form**.

- a) **Selection of reviewers:** The SLP suggests external experts to evaluate each of the proposals.
- b) **Individual assessment:** The review is carried out by three external experts per proposal.
- c) **Consensus evaluation:** Once the individual experts to whom proposals have been assigned have completed their individual evaluations, a **Consensus Meeting** is convened to enable joint consideration of proposals by the ARICE Scientific Liaison Panel. In preparation of the Consensus Meeting one member of the ARICE Scientific Liaison Panel will be assigned to each proposal to act as a presenter and commentator of that proposal during the Consensus Meeting.

During the Consensus Meeting the panel members will consider each proposal and agree on a final mark for each of the evaluation criteria and an overall mark (score) for the proposal. In case of conflict of interest of any of the SLP members, either being a Principal Investigator (PI) or partner on a proposal, or belonging to an institution involved in the proposal under discussion, the SLP member is requested to leave the room during the discussion of the proposal.

Thresholds will then be set for the following categories:

- A - Recommended for scheduling
- B - Additional proposals
- C - Not recommended

Proposals recommended for scheduling will then be ranked by ship according to their overall score.

Evaluators justify their marks with constructive and informative comments. The ARICE Scientific Liaison Panel will agree on an overall **Consensus Evaluation Report**. All applicants, whether successful or unsuccessful, will receive feedback on the outcome of the evaluation.

- d) **Interranking:** In a second round, the proposals are ranked and recommended for scheduling or rejected.

3. LOGISTIC EVALUATION OF PROPOSALS

Only the proposals ranked as excellent are forwarded to the Operational Liaison Panel (OLP). The OLP is comprised of operators of European PRVs and research icebreakers. The operators of the six ARICE research icebreakers within the OLP will perform the logistic evaluation of the proposals. The ARICE research icebreaker operators have the last word in deciding if a proposal is feasible on their research icebreaker (also suiting the research icebreaker's schedule). The ARICE OLP will determine the logistical feasibility in terms of vessel, equipment, area of operation and timing of cruises. The ARICE OLP will aim at optimising the use of ship time and cruise associated costs.

4. FEEDBACK AND NEGOTIATION OF SUCCESSFUL PROPOSALS

All applicants receive a funding decision accompanied by a Consensus Evaluation Report (CER), which is prepared by the allocated SLP member. The CER is based upon the individual reviews and takes comments and judgements made during the SLP discussion into account. Successful applicants may be asked to make changes to their proposals during the funding negotiation phase to accommodate the comments of the evaluators and/or the comments of the ARICE Scientific and Operational Liaison Panels on cruise planning and possible integration with other projects/cruises. Proposals selected for funding start the negotiation phase to include the cruise in the respective RV schedule.

Results of the evaluation process are expected to be published in October 2018. Information will be available on the [Project Website](#) and all applicants whether successful or not will be directly contacted. No information on the evaluation process/outcome will be made available prior to this date. Successful applicants will be invited to enter into negotiation to conclude a contract as indicated in the chapter "Terms and Conditions".

Excellent science: The evaluation system of ARICE, in which only scientifically excellent-ranked proposals are considered for the logistical evaluation, ensures that only excellent proposals are considered for funding.

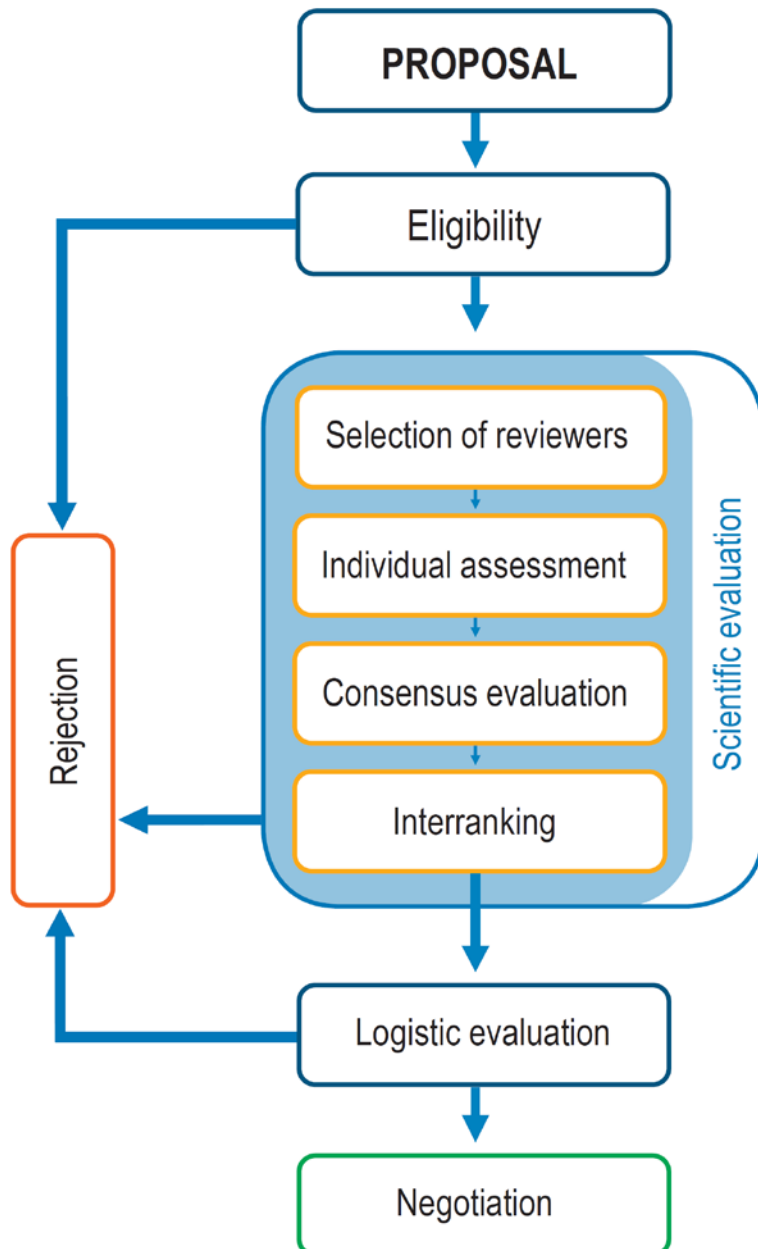


Figure 1: Work flow and different steps involved in the ARICE evaluation procedure.

Evaluation criteria

Access to any Research Icebreaker in ARICE will be regulated according to the Excellence-driven Access mode. This mode of access is dependent on the scientific excellence, originality, quality and technical and ethical feasibility of an application evaluated through peer review conducted by external experts.

The Scientific Liaison Panel (SLP) will base their selection of scientifically excellent proposals on the external evaluations provided by international experts. Only scientifically excellent-ranked proposals will be considered for the logistical evaluation, ensuring that only excellent proposals are considered for funding.

In case of equally ranked proposals, **priority should be given to user groups composed of users who:**

- have **not previously used the installation**, and
- are **working in countries where no equivalent research infrastructure exist**.

The SPL will apply the principles of transparency, fairness and impartiality.

Collaborative applications from teams and institutions where no equivalent research infrastructure exist, female and young scientists are strongly encouraged. International and/or industrial partners are welcome.

Specific evaluation criteria related to the scientific description of the proposal will be included in D4.3.