



## Spain – Evaluation and monitoring procedure (international RI)

<b>1. Ex-ante Impact Assessment</b>
<b>1.1. Methodology and procedures conducted (if applicable)</b>
By the moment the use of ESIF is very limited, but in this project the ex-ante impact assessment is necessary and aligned with the RIS3 of the Regional Governments.
<b>2. Procedure for selection of the research infrastructures to be included in the roadmap</b>
<b>2.1. Objectives of the evaluation</b>
Aligned with the ESFRI Roadmapping calendar, the procedure is variable, and it is done case by case and at the demand of the interested ICTS, RPO, Universities, or research communities.
<b>2.2. Eligibility conditions</b>
Conditions required to join the RI roadmap are: <ul style="list-style-type: none"><li>• Objectives should be aligned to the objectives of the Spanish Strategy for Science and European RI strategies, such as ESFRI, CERN, ESO, etc.</li><li>• On the basis of excellence and Uniqueness of the RI proposed.</li><li>• Investment: There are proof of availability of funds, or possibility for cofunding from the Promoters of the initiatives, in general RPO, Regional Governments, or Universities.</li><li>• Even presented by individual group of researchers the proposal counts with institutional support.</li><li>• Appropriate management frameworks.</li><li>• Enough and skilled personnel.</li><li>• Strategic plan periodically revised.</li><li>• Production and performance in consonance with investments and size of the RI.</li><li>• Adequate and sustainable schemes of funding.</li><li>• Open to users based on competitive access.</li><li>• Enough and skilled personnel.</li><li>• Strategic plan periodically revised.</li><li>• Production and performance in consonance with investments and size of the RI.</li><li>• Adequate and sustainable schemes of funding.</li></ul>
<b>2.3. Evaluation criteria for the selection of the RI to be included in the RI national roadmap</b>
The evaluation will be done according to high-quality criteria and will be an indispensable requirement to be included in the roadmap. To do so, all RI proposals will be required to provide information for the scientific-technical evaluation, including: <ul style="list-style-type: none"><li>• General information</li><li>• Economic figures</li><li>• Catalogue of facilities/equipment and services</li><li>• Accesses, projects and results</li><li>• Technology transfer</li><li>• National and international collaboration</li><li>• Training and dissemination</li><li>• Foreseen actions and investments</li></ul>
<b>2.4. Evaluation method and procedures conducted (organisation in charge, timing, selection of reviewers, configuration of panels, indicators, etc.) for the selection of the RI to be included in the RI national roadmap</b>
In line with ESFRI, and approach based on review by expert panels together with international peer review is implemented.  Before their inclusion in the roadmap, RI projects are independently evaluated by an expert panel/group formed by reputed scientists, technologists and managers with in-depth knowledge on



RI and involved in R&I practices and processes in a variety of scientific-technical areas.  
 Furthermore, RI strategic plans will be developed in English in order to be evaluated by a set of international experts (peer review).

**2.5. Proposals evaluated and selected (available statistics)**

The last version of the Spanish roadmap (2010) is composed of around 100 RI including the Research OOI, and RI Programmes

**3. Update / Monitoring and ex-post Evaluation of RI Roadmap**  
**3.1. Objective of the monitoring of the RI national roadmap as a whole**

To assure the success of the investment.

**3.2. Periodicity of the RI national roadmap monitoring actions (if applicable)**

Continuous.

**3.3. Methodology and procedures conducted (timing, approach, indicators, etc.) for monitoring the RI national roadmap**

Not applicable or no information presently available.

**3.4. Methodology and procedures conducted (timing, approach, indicators, etc.) for monitoring the individual RI included in the RI national roadmap**

Not applicable or no information presently available.

**3.5. Methodology and procedures conducted in the case that an ex-post evaluation of the RI national roadmap is planned or has been implemented**

Not applicable or no information presently available.





## Spain – Evaluation and monitoring procedure (ICT)

<p><b>1. Ex-ante Impact Assessment</b></p> <p><b>1.1. Methodology and procedures conducted (if applicable)</b></p> <p>Not applicable or no information presently available.</p>
<p><b>2. Procedure for selection of the research infrastructures to be included in the roadmap</b></p> <p><b>2.1. Objectives of the evaluation</b></p> <ul style="list-style-type: none"> <li>• An inventory of existing RI which are unique at national level, to facilitate the access of users from the public and private sector, optimizing their use by means of public competitive and transparent access protocols.</li> <li>• A tool supporting and monitoring the implementation of RI</li> <li>• A tool to avoid redundancies and improve the coordination of different RI working in the same field of application through the idea of distributed RI and/or network of RI.</li> <li>• To foster innovation, technology transfer and participation of the private sector in RI.</li> <li>• To ensure the scientific and technological competitiveness of the Spanish RI in the international context</li> <li>• A guide with strategic RI priorities for setting research policy priorities</li> <li>• An input for funding decisions on RI between institutional, regional and national stakeholders.</li> <li>• A list to achieve agreement on the RI with institutional, regional and national stakeholders</li> <li>• A list of strategic priorities, which are foreseen for funding, mainly to improve the use of ERDF funds dedicated to RI.</li> <li>• A planning instrument to prepare for the negotiations at European (ESFRI) and international levels</li> </ul>
<p><b>2.2. Eligibility conditions</b></p> <p>Conditions required to join the RI roadmap are:</p> <ul style="list-style-type: none"> <li>• Infrastructures with public ownership (100%), meaning that they belong to or are managed by public entities, whether they are under the authority of the Spanish Central Administration and/or the Autonomous Communities.</li> <li>• The RI candidates must be proposed for the inclusion in the ICTS Roadmap by the public administration (AGE or Regional Community) they depend on, through their corresponding representatives at the Executive Commission of the CPCTI, as a result of their own R+D+I priority considerations. The consideration of “priority” by both national and regional governments, which will also support together with RI owners all valuable proposals by ensuring their performance, competitive open access policy and funding for developing their strategic plans, for instance through FEDER [2].</li> <li>• Acceptation to be submitted to a scientific and technological evaluation</li> </ul>
<p><b>2.3. Evaluation criteria for the selection of the RI to be included in the RI national roadmap</b></p> <p>All RI proposals will be evaluated to ensure they meet several criteria before their inclusion in the Spanish roadmap, such as:</p> <ul style="list-style-type: none"> <li>• Distinctive and strategic profile in the sense of being unique at least at national level</li> <li>• Concrete objectives aligned to Spanish R&amp;I policies and other international programmes like H2020, ESFRI, JPI, etc.</li> <li>• High investment derived from their construction, update and improvement (from 10 million € of cumulative investment in technological assets), maintenance and exploitation.</li> <li>• Competitive open access policy for the scientific, technological and industrial communities, as well as for administration.</li> <li>• Existence of a Scientific-technical Advisory Committee.</li> <li>• Appropriate management frameworks, especially in regard to the infrastructure and services competitively offered, as well as the support given to users.</li> <li>• Enough and skilled personnel.</li> <li>• Strategic plan periodically revised.</li> </ul>



- Production and performance in consonance with investments and size of the RI.
- Adequate and sustainable schemes of funding.

To evaluate the requirements described above, all RI proposals will be required to provide information for their evaluation, including:

- General information
- Economic figures
- Catalog of facilities/equipment and services
- Accesses, projects and results
- Technology transfer
- National and international collaboration
- Training and dissemination

Foreseen actions and investments

#### **2.4. Evaluation method and procedures conducted (organisation in charge, timing, selection of reviewers, configuration of panels, indicators, etc.) for the selection of the RI to be included in the RI national roadmap**

An approach based on review by independent expert panels together with peer review is implemented. Before their inclusion in the roadmap, RI candidates are independently evaluated by the *Comité Asesor de Instalaciones Singulares (CAIS)*, an expert panel/group formed by 15 reputed scientists, technologists and managers with in-depth knowledge on RI and involved in R&I practices and processes in a variety of scientific-technical areas.

The CAIS is supported by the independent evaluation of the ANEP committee (through the Spanish State Research Agency) as well as by other Departments at MINECO (such as the Deputy Directorate for the Scientific and Technological Infrastructures)

#### **2.5. Proposals evaluated and selected (available statistics)**

The last version of the Spanish roadmap (2016) is composed of 29 ICTS that bring together a total of 59 facilities. Currently, the ICTS roadmap is being evaluated for the 2017-2020 period. Around 70 RI are candidates under evaluation

### **3. Update / Monitoring and ex-post Evaluation of RI Roadmap**

#### **3.1. Objective of the monitoring of the RI national roadmap as a whole**

Every four years the Spanish ICTS Roadmap is updated. The first Roadmap was approved in 2007, the roadmap in force was approved in 2014, and currently, it is being updated once again. An Internal exercise at MINECO, with the support of CAIS, is done, based on the comparison of the procedure followed previously, in order to improve it as much as possible.

#### **3.2. Periodicity of the RI national roadmap monitoring actions (if applicable)**

Ex-post evaluation is done every four years, although RI contained in the ICTS Spanish Roadmap must update their R&D indicators yearly (through the *ICTSData* application)

#### **3.3. Methodology and procedures conducted (timing, approach, indicators, etc.) for monitoring the RI national roadmap**

Every four years, in order to improve the competitiveness of the ICTS Roadmap, the procedure is monitored taking special effort to the number and type of RI contained, application fields involved, coordination of RI through the idea of distributed RI, or networks of RI, etc.

#### **3.4. Methodology and procedures conducted (timing, approach, indicators, etc.) for monitoring the individual RI included in the RI national roadmap**

RI contained in the ICTS Data will be ex-post monitored every 4 years. They must maintain a register of the following R&D indicators, yearly: projects and number of access/users performed, publications (articles, books, and technical reports), technology transfer actions (patents, etc.),



collaboration with other entities and RI, etc.

### **3.5. Methodology and procedures conducted in the case that an ex-post evaluation of the RI national roadmap is planned or has been implemented**

See previous sections



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