



FP7-JPROG-2011-RTD Project no. 277606-JHEP

JHEP

Coordination action in support of the implementation of a Joint Programming Initiative (JPI) on Cultural Heritage and Global Change: a new challenge for Europe

Instrument: Coordination and support actions (Coordinating type)

Deliverable 3.5

Report on procedure for project evaluation

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Ministry of Cultural Heritage and Activities (Italy)

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PU	Public	✓
PP	Restricted to other programme participants (including the Commission Services)	
RE	Restricted to a group specified by the consortium (including the Commission Services)	
CO	Confidential, only for members of the consortium (including the Commission Services)	

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1. Introduction

This deliverable 3.5 is the third of four documents produced within the Work Package 3 (WP3, Task 3.3) with the aim of summarize the whole process of evaluation implemented for the joint transitional calls in the frame of JHEP, the first Coordination and Support Action (CSA) for the Joint Programming Initiative “Cultural Heritage and global change: a new challenge for Europe” (JPICH).

The other deliverables foreseen are:

- Deliverable 3.3 - Report on analysis procedure for the pilot call launch (already submitted on December 2013).
- Deliverable 3.4 - Report on activities procedure for funding the joint transnational calls.
- Deliverable 3.6 - Report on testing launched calls, an overall analysis on the experience of both call launched during the JHEP project.

According to the JHEP Description of Work (DoW): *This Work Package is dedicated to implementing the Joint Programming Initiative “Cultural Heritage”.*

Work Package 3 is divided into the three following tasks:

- **Task 3.1:** Develop the Action Programme
- **Task 3.2:** Maximizing benefit from existing European initiatives for harmonization of activities within JPICH
- **Task 3.3:** Implementation of the Action Programme
New transnational initiatives, e.g. joint calls for proposals will be developed upon recommendation of members of the GB and based on the principle of variable geometry following the research areas identified in Task 3.1. For the dedicated participants, joint calls for proposals will be prepared and the framework for collaboration established. The Task Leader will ensure comprehensive information of the GB/EB and will collaborate with WP5 (Monitoring and Evaluation) Framework for Monitoring and Evaluation in feedback analysis of the initial joint call as well as in order to draw the lessons learned and amend the next joint calls.

The Deliverable 3.5 addresses one of the most challenging aspects of transitional calls that is the common evaluation procedure planned and implemented by the call Participants.

The JPICH launched two calls within the frame of the CSA JHEP “Coordination action in support of the implementation of a Joint Programming Initiative (JPI) on Cultural Heritage and Global Change : a new challenge for Europe Heritage European Programme” and the HERITAGE PLUS Project: i) the JPI-JHEP pilot call in 2013; ii) the JPI-HERITAGE PLUS call in 2014.

The main information regarding number of Participating Countries, Eligible Partners, Call process, Time schedule, Call budget and Funding schema is summarized in Table 1.

Table 1. Data on JPI JHEP Pilot Call 2013 and JPI-HERITAGE PLUS Call 2014

Call	JPI JHEP Pilot Call	JPI HERITAGE PLUS Call
Topics	<p>Research topics:</p> <ul style="list-style-type: none"> - Methods, tools and modelling for understanding damage and decay mechanisms on tangible heritage (including buildings, sites and landscapes). - Materials, technologies and procedures for the conservation of tangible cultural heritage. - Use and re-use of buildings and landscapes, including the relationship between changes in use and public policy, including costs and added value. - Increasing understanding of cultural values, valuation, interpretation, ethics and identity. 	<p>Research topics:</p> <ul style="list-style-type: none"> - Safeguarding tangible cultural heritage and its associated intangible expressions - Sustainable strategies for protecting and managing cultural heritage - Use and re-use of all kinds of cultural heritage
Eligible applicants	Universities, Research organizations, Enterprises Minimum of 3 Partners from 3 Countries	Universities, Research organizations, Enterprises Minimum of 3 Partners from 3 Countries
Countries involved	12 Countries:15 funding programme owners	15 Countries:18 funding programme owners
Call Budget	3.3 M€	6.6 M€ National Funding 3.1 M€ Maximum EC contribution (HERITAGE PLUS Project) Total call budget : 9.7 M€
Funding schema	Virtual common pot National funding decisions according to selection list	Virtual common pot National funding decisions according to selection list
Proposals received	89	Pre-proposal submitted Step 1: 352 Pre-proposal passed in Step 2 : 61 Final proposal submitted in Step 2: 54
Number of funded projects	10	Not yet available

The Deliverable 3.5 reports the evaluation procedure implemented for the two JPI Cultural Heritage Calls: the JPI JHEP Pilot Call and the JPI Heritage Plus Call.

2. Evaluation criteria adopted for the JPI Cultural Heritage Calls

2.1. JPI/JHEP First pilot call: Evaluation criteria

The evaluation criteria adopted by the Organizations funding the JPI/JHEP First Pilot call were published in the Guideline for Applicants (GfA)– Annex 4 as follows:

JPI/JHEP First Pilot call - Guideline for Applicants - ANNEX 4 : Evaluation criteria

Eligible proposals will be evaluated against the following pre-determined evaluation criteria

	Criterion	Explanation	Weight (threshold/maximum)
1	Scientific and technical content	<ul style="list-style-type: none"> • Relevance to the objectives of the call • Innovative character in relation to the state-of-art • Contribution to advancement of knowledge or technology 	<ul style="list-style-type: none"> • 5/10
2	Trans-national added value	<ul style="list-style-type: none"> • Added value generated by the international cooperation 	<ul style="list-style-type: none"> • 3/6
3	Consortium	<ul style="list-style-type: none"> • Excellence of the involved partners • Quality of the consortium as a whole (complementarity and balance) 	<ul style="list-style-type: none"> • 3/6
4	Work plan	<ul style="list-style-type: none"> • Effectiveness of the methodology • Adequacy and feasibility of the work plan 	<ul style="list-style-type: none"> • 3/6
5	Resources	<ul style="list-style-type: none"> • Adequacy of the budget and other resources • Appropriate distribution of the resources 	<ul style="list-style-type: none"> • 3/6
6	Impact	<ul style="list-style-type: none"> • Potential impact on the partners • Potential impact on the relevant industry • Potential impact on environment, safety and economic 	<ul style="list-style-type: none"> • 5/10
7	Exploitation of results	<ul style="list-style-type: none"> • Potential diffusion for the project results • Appropriateness of exploitation plan • Dissemination plan of project results 	<ul style="list-style-type: none"> • 3/6

2.2. JPI HERITAGE PLUS call: Evaluation criteria

The evaluation criteria adopted by the Management Group of the JPI/HERITAGE PLUS call were published in the Guideline for Applicants (GfA) as reported in Section 6 for both Pre-proposal and Full Proposal submission as follows:

“6.Assessment procedures and criteria

The assessment of pre-proposals

The assessment of eligible **pre-proposals** will be undertaken by the Scientific Committee of the JPI Cultural Heritage and Global Change supplemented, if necessary, by additional independent and international experts.

Pre-proposals will be assessed against the following evaluation criteria:

- Quality of the proposed research
- Compatibility with the scope of the Heritage Plus call
- Clarity of project aims, work programme, outcomes
- Added value through transnational cooperation

The assessment of Full Proposals

The assessment of **Full Proposals** will be undertaken by independent international peer reviewers covering all fields of research and technology relevant to the call topics. After the independent experts have carried out a remote evaluation of the full proposal, an international peer review panel will meet to discuss and agree upon a final score for each proposal, which will determine a ranking list. The Heritage Plus Management Group will ensure and verify the fair and equitable nature of the evaluation process and its compliance with the Heritage Plus guidelines. The European Commission and an independent observer assigned by them will verify the fairness of the selection process and its compliance with ERANET Plus rules and principles.

Eligible **Full Proposals** will be assessed against the following evaluation criteria:

Criterion	Threshold/ Score
<p>Research and/or technological excellence – the quality of the trans-national project</p> <ul style="list-style-type: none"> • Sound concept, and quality of research questions and objectives • Progress beyond the state-of-the-art • Quality and effectiveness of the research, technological methodology and interdisciplinary approach, and associated work plan 	3/5
<p>Quality and efficiency of the implementation and the management</p> <ul style="list-style-type: none"> • Appropriateness of the management structure and procedures • Quality, and relevant expertise and experience of the individual participants (including experience of coordinating research across national boundaries) • Quality of the consortium as a whole (including complementarity, balance between disciplines, level of staffing, plans for effective collaboration), including other 	3/5

	<p>stakeholders</p> <ul style="list-style-type: none"> • Appropriate allocation and justification of the resources to be committed (budget, staff, equipment) 	
Potential impact	<ul style="list-style-type: none"> • Fit to the a) aims and b) topics of Heritage Plus • Contribution of ideas and knowledge that can be transferred to public and private stakeholders, and exploited in high-value tools applied over the short to mid-term • Likelihood that the outputs and outcomes will be highly valued and used by researchers, non-academic stakeholders and society, including SMEs, heritage owners, public administrations, research partners and local communities. • Appropriateness of measures for the dissemination and/or exploitation of Heritage-plus project results, and management of intellectual property. 	3/5

The evaluation criteria adopted for the JPI/HERITAGE PLUS call took into account the lesson learnt in the JPI/JHEP Pilot Call.

In addition to support applicants in both Step 1 and Step 2 Heritage Plus Call, Frequently Asked Questions (FAQ) and Glossary were also published and updated during the call period available in the call web site (<http://www.jpi-culturalheritage.eu/joint-call/>).

3. Evaluation process

This chapter summarises the evaluation process of the JPI/JHEP Pilot Call and JPI/HERITAGE PLUS call. Table 3 reports the call process and time schedule of both calls launched within the JPI Cultural Heritage.

Table 3. Call process and time schedule of the JPI JHEP Pilot Call 2013 and JPI-HERITAGE PLUS Call 2014

Call	JPI JHEP Pilot Call	JPI HERITAGE PLUS Call
Call Process	One step process National eligibility evaluation + common scientific evaluation	Two step process Step 1: National eligibility evaluation + common scientific evaluation Step 2: remote scientific evaluation + Independent international panel evaluation
Time Schedule	Call Launch: 10 January, 2013 Proposal deadline: 5 April, 2013 Eligibility check: 10 May, 2013 Selection list July, 2013 Start projects: November, 2013	Call Launch: 4 March, 2014 Pre-Proposal deadline: 28 April, 2014 Eligibility check: 10 May, 2014 Step 1 - evaluation: July, 2014 Final Proposal deadline: 22 October, 2014 Step 2 - remote evaluation: January, 2015 Step 2 - Independent international panel evaluation: February, 2015 Start projects: March-April, 2015

3.1 JPI/JHEP Pilot call: evaluation process

The evaluation process of the JPI/JHEP Pilot call is One Step process, following the Guideline for Applicants (GfA) approved by the Signatories of the Memorandum of Understanding – MoU (Deliverable 3.4 – Annex I), which was implemented into three phases.

Eligibility check - Phase 1

The national eligibility check by each country was concluded by the 15 of May 2013. On the 16 of May the WP3 Task Leaders (MIBAC, RCE and RPF) met in Brussels and agreed on the following criteria:

- Proposals with all eligible Partners go to the independent peer evaluation.
- Proposals for which the Coordinator is not eligible do not go.
- Proposals for which the eligible Partners are from less than three Countries do not go.

- d. Proposals with Partner/s not eligible, but not following criteria b or c were included in a pending list and go to the independent peer evaluation.

Following these criteria, on the 89 Proposals submitted the results of the eligibility check were:

62	Proposals go
21	Proposals no go
6	Pending Proposals

MoU Signatories were informed on the 20th of May 2013 and received the file including the 3 lists (go/pending/no go proposals).

The WP 3 Task Leaders proceeded with the evaluation.

The call secretariat informed the Leaders of the no go proposals about the non eligibility of Partner/s and addressed the Proposal Leaders to the National Contact Point/s of the non eligible Partner/s to be informed about the national eligibility check evaluation.

Peer review evaluation process - Phase 2

Following the Guideline for Applicants:

“All eligible proposals will be peer reviewed by experts prior to the final assessment and ranking by the Scientific Committee.

The assessment of proposals will be undertaken by the Scientific Committee who will be supplemented, if necessary, by other experts chosen from a new list of independent international experts proposed by JPI-JHEP Participants. The expertise of the committee will, therefore, cover all fields of research addressed in the call. “

In addition to the Scientific Committee, each JPICH Country proposed peer expert reviewers as follows: a minimum of 6 experts, of which at least 1 expert per topic, including the expert's information, such as topic, key words, Institution, e-mail, verified agreement.

The JPICH List of Peer Expert Reviewers was set up:

Total number of Experts: 113

Number of Experts for each Topic:	Topic 1 : 29	Topic 2: 27
	Topic 3 : 29	Topic 4: 48

The total number of peer experts involved in the evaluation process was 107 (85 effective).

The WP3 Task Leaders as a function of topics performed the allocation of proposals to experts.

Each proposal was sent to three experts (two experts only for 2 proposals with < 150KE budget) for remote evaluation.

Each expert received maximum 3 proposals for evaluation.

The following documents were sent to all experts:

- *Confidentiality declaration*
- *Guideline for evaluation (Annex I)*
- *Proposal/s (max.3)*
- *Template Evaluation Sheet (including declaration conflict of interest) (Annex II)*

The average period for evaluation of experts was 2-3 weeks.

The JPI/JHEP Pilot Call Secretariat managed 202 evaluations.

Scientific Committee evaluation process - Phase 3

As specified in the GfA:

“The JPI/JHEP Scientific Committee will review the ranking list based on the evaluations and recommend to the Signatories of a Memorandum of Understanding (MoU), a list of proposals to be funded.”

The WP3 Task Leaders identified within the SC one Rapporteur for each proposal (maximum 10 proposals).

10 days before the SC Meeting the following documents were sent to the participating SC Members:

- *Guideline for evaluation*
- *Guideline for SC members (Annex III)*
- *Template proposal evaluation summary*
- *Proposals (10 proposals for each SC Members as Rapporteur)*
- *3/2 Expert Evaluation sheets for each proposal*

The 2-days SC meeting held in Rome on the 4-5 July 2013 with the aim of defining the ranking list and recommendations for the MoU Signatories.

The SC Members participating were: L. Bratasz, R. Caffo, F. Criado, I. Pallot Fraussard, K. Van Balen (Chair day 2), R. Van Hess, W. Willems (Chair day 1).

During the first day meeting all proposals were discussed: each proposal was presented by the SC Rapporteur including comments on the evaluations received, followed by a common discussion.

The SC Members made sure for each proposal to benefit from a fair evaluation and that the final score was consistent with the comments and scores received in the remote expert evaluations.

Following the common discussion the final proposal scores were based on the scores from the independent experts as follows:

- in some cases the average was used;
- in cases of gaps in the experts scores or inconsistency between the assigned scores and comments, the SC Members discussed and decided on the final scores.

The ranking list was based on the final scores for the 62 eligible proposals and 6 pending ones.

Following the Guideline for evaluation the proposals were divided into categories.

Category A: Proposals are recommended for funding and are divided into three sub-categories:

A+ (Excellent)

A (Very good)

A- (Good)

Category B (Fair): Proposals may be funded in case resources are still available.

However, small changes to the projects' work plan, budget, etc. may be necessary.

Category C (Poor): Proposals are not recommended for funding.

The SC assigned A+, A, A-, B and C categories as follows:

- A+ : scores 50 - 41
- A : scores 40-38
- A- : scores 37-36
- B : scores 35-34 + pending proposals
- C : scores below 34

The SC Members have recommended for funding the A+, A and A- proposals.

The final rank of the recommended proposals is based on the scores and the categories. For the proposals with equal scores and categories the following criteria were used:

- In the attempt to keep a balance among topics, in case of equal scores covered by the proposals, had been given priorities to the topic with the lower additional topic score (given 1 for a single topic, ½ for each multiple topic) .
- In case of choice between proposals with the same topic priority, the priority was given to the proposal with lowest budget.
- In addition the SC Members considered the pending proposals not to be recommended for funding assigning B category. In case the pending proposal should be ordered SEEDH should come before RIP as the lowest budget.

The out put of the two-days Scientific Committee Meeting were:

- i) the final ranking list,
- ii) the final score for each proposal; with short comments.

The process of evaluation is completed in Phase 1, Phase 2 and Phase 3 implementation with the definition of the ranking list.

The procedure adopted by the Signatories, following the MoU, for deciding the projects to be funded is reported in the following section, which is consistent with Deliverable 3.4 “Report on activities procedure for funding”.

Signatories Meeting

The file called “Ranking final priority for Signatories Meeting” – out put of the Scientific Committee meeting - was sent 10 day before to all Signatories and National Contact Points in preparation of the Signatories Meeting held in Rome on 18-19 July 2013.

In the final ranking list it was specified for each proposals and for each partner the budget as reported in the proposals. A hard copy was also distributed at the meeting.

The Signatories of the Memorandum of Understanding (MoU) took the final decision on the proposals to be funded on a consensus basis, based on the recommendations of the Scientific Committees. They discussed and approved the recommended projects according to the ranking list and the available budget following the financial decision for funding as described in Deliverable 3.4.

Matrix to help Signatories in the selection of the recommended projects according to the ranking list and the available budget

Topics	Score	Ranking	ACRONYM	BELSP	FWO	CY	DK	FR	IE	IT	LT	NL	NO	PL	SI	ES	UK	% Funded
2	44	1	EMERISDA	158,2						299,5		68,1						100,0%
4	42	2	H@V									50,0	44,8			36,2	43,7	100,0%
1,2	41	3	REDMONEST	241,8			50			14,3						75,0		100,0%
4	41	4	KEDALION		199,0					57,0						99,6		89,9%
3,4	40	5	SCHERISCAPE		188,8							45,3	50,0			102,8	49,9	76,5%
1,2	40	6	SafeBioTech	161,3						152,9						138,7		69,4%
4	40	7	UTEL										47,8			37,4	49,8	55,0%
3	39	8	RurHerDSS							184,6					30,0	54,8		79,6%
1	39	9	KISADAMA	150,0						169,1		50,0						46,7%
3	38	10	SUSFUHUC						50,0			50,0					50,0	66,7%
1	38	11	MTA-MP	51,8						162,3					95,1	107,6		16,8%
1,2	38	12	LeadART			25,0		53,8		62,5		50,0						60,3%
3,4	38	13	MECH	199,9			57,6					50,0			65,0		38,5	14,0%
1	38	14	CLIMA	196,6		100,0				363,5								15,1%
1,2,4	37	15	STUCCO	200,0					68,7	118,1		50,0						11,4%
3	37	16	MONASTERY		200,0							50,0					50,0	4,1%
4	37	17	LANDSCAPE								52,0			90,0		60,0		70,3%
1	37	18	TANGIBLE			100,0		42,6		97,9						74,0		37,4%
1	37	19	MUSEUMS	200,0			94,0			454,8					100,0			5,0%
2	36	20	EMIRA					87,1		94,1						18,1		43,7%
1,2,4	36	21	Guadalteba	7,7								13,3	7,0		7,7	17,7	37,0	7,7%
1,4	36	22	V-Monitor			100,0	100,0									100,0		0,0%
1	36	23	ArCo				94,0	50,0		80,3								22,3%
1	36	24	MicroCOSMO			100,0		88,0		149,4								19,7%
				1325,44						2460,195						846,855		
				9	587,8	425,0	345,6	321,54	118,7	55	52,0	476,682	149,615	90,0	297,8	59	318,868	

The MoU Signatories agreed to fund the proposals with all Partners' countries available budget (first two proposals), as shown in the following Table.

For proposals in which one partner cannot be fund because the Partner's country has finished its call budget or the budget in not sufficient, the following procedure was agreed and adopted:

1. The country increased its national contribution: UK increased with 180 Keuro (from 750 to 930 Keuro total budget available for funding the proposals), Italy increased with 120 Keuro (from 1.275 to 1.395 Keuro total budget available).
2. The Country/ies budget available to fund the Coordinator/Participants is not sufficient to fund the whole requested budget: after discussion and contact with the Participants a reduction of the funded budget was performed.

The proposal is funded without the Partner(s) of the Country with no budget available according that :

- The remaining Partners are **at least from 3 countries** as request in the call
- The Partner(s) of the Country with no budget available is **not the proposal Leader**.

Out put of the Signatories meeting decision

Topics	Score	Ranking	ACRONYM	BELSP	FWO	CY	DK	FR	IE	IT	LT	NL	PL	SI	ES	UK	% Funded
2	44	1	EMERISDA	158,2						299,5		50,0					100,0%
4	42	2	H@V									50,0			27,2	43,7	100,0%
1,2	41	3	REDMONEST	241,8				50,0		14,3					75,0		99,4%
4	41	4	KEDALION														#DIV/0!
3,4	40	5	CHERISCAPE		188,8							45,3			102,8	49,9	76,5%
1,2	40	6	SafeBioTech														#DIV/0!
4	40	7	JTEL														#DIV/0!
3	39	8	RurHerDSS														#DIV/0!
1	39	9	KISADAMA		150,0					169,1		50,0					100,0%
3	38	10	SUSFUHUC						50,0			50,0				50,0	100,0%
1	38	11	MTA-MP														#DIV/0!
1,2	38	12	LeadART			25,0		50,0		62,5		50,0					100,0%
3,4	38	13	MECH														#DIV/0!
1	38	14	CLIMA														#DIV/0!
1,2,4	37	15	STUCCO														#DIV/0!
3	37	16	MONASTERY														#DIV/0!
4	37	17	LANDSCAPE														#DIV/0!
1	37	18	TANGIBLE			100,0		42,6		97,9					74,0		76,5%
1	37	19	MUSEUMS														#DIV/0!
2	36	20	EMIRA														#DIV/0!
1,2,4	36	21	Guadalteba														#DIV/0!
1,4	36	22	V-Monitor														#DIV/0!
1	36	23	ArCo				100,0	50,0		80,3							100,0%
1	36	24	MicroCOSMO														#DIV/0!
				723,561													
				400,015	338,8	125,0	100	192,6	50	25	0,0	295,267	0,0	0	278,9	143,558	

The out put of the Signatories Meeting were:

1. List of proposals to be funded.
2. Reserved list of proposals for negotiation.
3. Road map for funded proposals.
4. Road map for negotiations.

Therefore the whole process of JPI/JHEP Pilot Call evaluation process can be summarized as follow in terms of number of proposals:

Total proposal submitted	89
Total proposal passed after the eligibility check	66
Total funded proposal	10 (Following Table)

of which

Funded at 100%	7 proposals
Funded at 99 %	1 proposal
Funded at 76,5%	2 proposals

In terms of number of budget:

Total value of projects funded 3.492.000 Euro

(UK and Italy increased their call budget to complete financing the Project following the ranking list)

Total value of projects submitted 24.373.000 Euro ca (i.e. approximately 7 times the available budget)

PROPOSALS FUNDED

PROJECT NAME	TOPIC	LEADER PARTNER	% FINANCING	TPOLOGY	N' COUNTRIES INVOLVED/ Partners
EMERISDA	2	Belgium	100	Collaborative Research	3 (9p)
H@V	4	UK	100	Networking	4 (5p)
REDMONEST	1;2	Spain	99,5	Collaborative Research	4 (5p)
KISADAMA	1	Italy	100	Collaborative Research	4 (4p)
SUSFUHUC	3	Netherland	100	Networking	3 (3p)
LEADART	1,2	France	100	Collaborative Research	5 (10p)
ARCO	1	Norway	100	Collaborative Research	4 (5p)
CHERISCAPE	3;4	UK	76,5	Networking	5 (7p)
TANGIBLE	1	Cyprus	76,5	Collaborative Research	4 (4p)
SMARTVALUE	4	Poland	100	Collaborative Research	6 (10p)

3.2 JPI/HERITAGE PLUS call: Step 1 evaluation process

As reported in Table 3, the evaluation process of the JPI/HERITAGE PLUS call is a Two Step process:

- Step 1: National eligibility evaluation + Common scientific evaluation.
- Step 2: Remote scientific evaluation + Independent international panel evaluation.

In the present Deliverable 3.5 the Step 1 will be reported and Step 2 which, is under implementation, will be object of the Deliverable planned within the Heritage Plus EC Era Net Plus Project.

Pre-Proposal national eligibility check: Phase 1

Following the Guideline for Applicant (<http://www.jpi-culturalheritage.eu/joint-call/documents/heritage-plus-call-full-proposal-guidelines-for-applicants/>) the submitted pre-proposals followed the national eligibility check by the funding Partners based on national funding rules.

The results of the national eligibility check were:

Number of submitted pre-proposals :	351
Number of eligible pre-proposals :	237

Pre Pre-Proposal evaluation: Phase 2

Following the Guideline for Applicant:

“Eligible pre-proposals will follow the common scientific peer review evaluation by the Scientific Committee, supplemented, if necessary, by other experts from the list of independent international experts proposed by HERITAGE PLUS Beneficiaries.

The evaluation criteria will include: i) quality of the proposed research; ii) compatibility with the scope of the Call; iii) clarity of project aims, work programme, outcomes; iv) added value through transnational cooperation.”

The pre-proposal Evaluation Panel was composed by:

- The Scientific Committee Members available to evaluate a maximum of 30 pre-proposals and to participate at the consensus meeting on the 7-8 July 2014.
- Experts from the list of independent international experts proposed by the HERITAGE PLUS Beneficiaries.

The total peer experts involved in the pre-proposals evaluation process were 23, of which 5 Scientific Committee Members and 18 additional experts.

The Pre-proposal evaluation panel composition is reported in the following Table

Lukasz BRATASZ	Daniela PINNA	Renée Van De VALL
Matija STRLIC	Dorota FOLGA-JANUSZEWSKA	Elzbieta WYSOCKA
Willem J.H. WILLEMS	Juan Carlos PRIETO	Giedre MICKUNAITE
Lubos JIRAN	Axel CHRISTOPHERSEN	Yossi BEN-ARTZI
Caterina BON VALSASSINA	Alexandra BITUSIKOVA	Giora SOLAR
Alberto DE TAGLE	Monika Jadzinska	Renata Ago
Albinas KUNCEVICIUS	Françoise LEMPEREUR	Marija DREMAITE
Jadwiga LUKASZEWICZ	Dominique POULOT	-----

To those Members of the SC who were not available to participate at the Consensus Meeting of the 7-8 July (save the date was previously sent) and who have consequently not received pre-proposals to be evaluated, an additional invitation was also sent to participate at the meeting of the 7-8 July. Prof. Isabelle Pallot-Frossard has accepted the invitation

As foreseen in the DOW, an external Observer was invited at the two day meeting: Mrs Maria Teresa laquinta, liaison officer of ICCROM

To support the remote evaluation process, the following documents were sent:

- Guidelines for applicants (<http://www.jpi-culturalheritage.eu/joint-call/documents/heritage-plus-call-full-proposal-guidelines-for-applicants/>)
- Guidelines for evaluation (Annex IV)
- Evaluation reporting form (including check of conflict of interest)
- Declaration of Confidentiality

Each Pre-proposal was sent to two reviewers for remote evaluation.

The HERITAGE PLUS Call Secretariat managed 474 evaluations.

Each evaluator received a maximum of 30 Pre-proposals and was asked to complete the pre-proposal evaluations by the 4th of July 2014

The best possible balance about geographical distribution, topics and gender issues was applied compatible with SC Members and Experts availability.

The Evaluation Panel Consensus Meeting held in Rome on 7-8 July 2014.

For each Pre-proposal the two evaluators had to discuss their remote evaluations for agreeing in one Consensus form evaluation.

For the discussion of the 237 Pre-proposals Consensus form evaluation, the evaluators were divided in 7 Groups at different Tables.

Each evaluator had the list of Pre-proposals assigned at each Table (max 35).

The Consensus form evaluation of each Pre-proposal needed to be delivered (as sheet and file) to the Chair of the Table for common discussion.

The two evaluators signed the final Consensus form evaluation sheet.

The evaluators were informed that the Consensus form evaluation files (anonymous) would be sent to the Pre-proposal coordinators (very short comment)

The aim of the day 1 was to have *all Consensus form evaluations completed*.

On the second day meeting, the Evaluation Panel discussed on:

- The results of the first day meeting and on the overview of the evaluation process.
- The evaluation results of all projects following preliminary scores (for example: lowest scores, highest scores and the ones in between).
- Discussion and finalization of the pre-proposal ranking list.

The outcome of the consensus meeting were:

1. Ranking list of the Pre-proposals based on *final total scores* (Consensus evaluation form).
2. The 237 Pre-proposals were subdivided into 3 Group: *no go, go low-medium, go high level*.
3. Common discussion on the Pre-Proposals: *go high level and go medium-low*
4. *Final ranking list of the go Pre-proposal* to be submitted to the *HERITAGE PLUS Management Group*, in preparation of the meeting planned on the 17-18 July 2014.

In addition the Evaluation Panel addressed recommendations to the HERITAGE PLUS Management Group, as follows:

- All the experts, recommends the Management Group to include Pre-proposals scored 12 to the second Step.
- Yossi Ben-Artzi stresses also that it would be opportune for Full Proposal evaluation, if the third evaluator is not specifically in the field of the proposal, for giving an interdisciplinary view, while the other two experts are in the specific Pre-proposal sector. This in order to have a more balanced result in evaluating.
- Dorota Folga-Januszcwska suggests to insert the budget among the criteria of the evaluation process, avoiding to pass projects which have important and interesting programs, but not the adequate budget.

Management Group Agreement - Phase 3

“Task Leader will prepare the documents and organise a meeting of the HERITAGE Plus Management Group to agree on the list of proposals ranked based on the evaluation performed by the Scientific Committee, supplemented, if necessary, by other experts from the list of independent international experts proposed by HERITAGE PLUS Beneficiaries, that will be admitted to the Second Step.

The requested budgets of the proposals admitted into Step 2 cannot exceed 3 times the total budgets committed by the Funding Partners.

The results of the First Step will be communicated to the Coordinators of proposals.”

In the meeting held in Rome on the 17-18 July 2014, the Management Group following the ranking list and eligibility criteria identified the Pre-proposals that passed to Step 2 for Full proposal preparation.

4. General Comments

The lesson learnt from the JPI/JHEP Pilot Call was checked through the questionnaire reported in Deliverable 3.3 “Report on analysis procedure for call launch”, which includes major comments on decision process, funding and start of the projects

The major issue raised by the Signatories regards to:

- Improve the identification of experts for the remote evaluation process.
- If one of any of the Partner is not eligible, the project as a whole is not considered eligible. This will avoid any problems with budgets etc. at the Scientific Committee stage.
- Ease the work of the Scientific Committee when establishing the ranking list through better work schedule between the remote evaluation experts and the Scientific Committee.

The evaluation process of the HERITAGE PLUS call is still on going.

ANNEXES

ANNEX I - JPI / JHEP Guidelines for the evaluation process

ANNEX II - JPI / JHEP Evaluation form

**ANNEX III - JPI/ JHEP Evaluation process : Guidelines for the
Scientific Committee Members**

**ANNEX IV - JPI / HERITAGE PLUS Evaluation Guidelines for Scientific
Committee (pre-proposal)**

ANNEX I



JPI - JHEP JOINT PILOT TRANSNATIONAL CALL

for Joint Research Projects on Cultural Heritage

JPI – JHEP Call for proposal GUIDELINES FOR THE EVALUATION PROCESS

JHEP Joint Pilot call

Contact:
JPICH_JHEP Joint Call Secretariat

E-mail: jpich.call@beniculturali.it



JPI – JHEP Call for proposal GUIDELINES FOR THE EVALUATION PROCESS

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1. JPICH-JHEP PILOT CALL remote evaluation by scientific peers

1.1. Aim and scope of the JPICH-JHEP Joint Pilot Call

The aim of the JPICH-JHEP Joint Pilot Call is to bring a new dimension to European research by aligning national programmes in participating countries and thereby contributing to the development of the European Research Area.

The main objective of the JPI “Cultural Heritage and Global Change: a new challenge for Europe” (JPICH) is to address the strong relationships that link cultural heritage, technological innovation and economic development within the dynamic framework of the challenges and competitiveness of an enlarged European Union.

The JHEP coordination action is providing the necessary support to develop and implement the JPI by the development of a Strategic Research Agenda, coordination of joint research activities, extension of the partnership, evaluation and monitoring and stakeholder engagement.

The participating Member States and Associated Countries agree to join forces in order to launch a joint pilot call for research proposals as an important step towards the coordination of transnational strategies concerning Cultural Heritage Research, building on the dynamic developed by the JPI and JHEP process.

The following JPI-JHEP Consortium Partners and Signatories of a Memorandum of Understanding (MoU), launched the Joint Pilot Call for Proposals (JPCP) to fund transnational research and/or networking projects in the field of cultural heritage:

Country	Organization
Belgium	Belgian Federal Science Policy (BELSPO)
Belgium (Region of Flanders)	Research Foundation – Flanders (FWO)
Cyprus	Research Promotion Foundation (RPF)
Denmark	Danish Agency for Science, Technology and Innovation (DASTI)
France	Ministère la culture et de la communication, SG/SCPCI/DREST



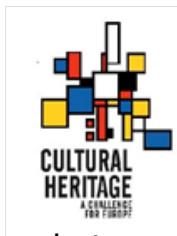
Ireland	The Heritage Council of Ireland – An Chomhairle Oidhreachta (HCI)
Italy	Ministero dell'Istruzione, dell'Università e della Ricerca (MIUR)
	Ministero per i Beni e le Attività Culturali (MiBAC)
Lithuania	Research Council of Lithuania (RCL)
Netherlands	Netherlands Organisation for Scientific Research (NWO)- Council for the Humanities
Netherlands	Cultural Heritage Agency (Rijksdienst voor het Cultureel Erfgoed) RCE
Norway	Research Council of Norway (RCN)
Poland	National Science Centre (Narodowe Centrum Nauki) NCN
Slovenia	Ministry of Education, Science, Culture and Sport (MESCS)
Spain	Ministerio de Economía y Competitividad (MINECO) Secretaría de Estado de Investigación, Desarrollo e Innovación
United Kingdom	Arts and Humanities Research Council (AHRC)

The strategic objectives of the JPI-JHEP Joint Pilot Call for Proposals (JPCP) are:

- to pilot a jointly-organized call, establishing common processes and assessment criteria;
- to enable researchers in different countries to build effective collaborative networks on common transnational research topics in cultural heritage.

The JPICH-JHEP Joint Pilot Call is focused on the following 4 topics:

1. Methods, tools (including non-invasive instruments) and modelling for understanding damage and decay mechanisms (including the effects of weathering and climate change) on tangible heritage (including buildings, sites and landscapes);
2. Materials, technologies and procedures for the conservation of tangible cultural heritage;
3. Use and re-use of buildings and landscapes, including the relationship



between changes of use and public policy, including costs and added value (for example as a result of planning regulations and urban development);

4. I
Increasing understanding of cultural values, valuation, interpretation, ethics and identity around all forms of cultural heritage (tangible, intangible and digital heritage)

Each project consortium that submits a proposal for funding must consist of at least 3 partners, each based in an eligible institution from a different country participating in this call.

In order to be eligible for funding under the JHEP-JPI Joint Pilot call the Project Proposals (PPs) submitted must meet the following principles:

- The Project Coordinator must be responsible for management of the complete research project, including annual activity reports and cost statements;
- Public or private organizations may participate according to national financing regulations (see Annex 1);
- The consortium must demonstrate sufficient research capacity in order to achieve the project objectives;
- The composition of the consortium should be efficient in size in order to accomplish the objectives proposed;
- Management of the Consortium must be outlined and explained;
- Applicants must follow the prescribed format of the call, provided via the call website: www.jpi-culturalheritage.eu, complete all relevant sections and should not exceed the prescribed maximum length;

JPICH-JHEP funding institutions will each decide on the eligibility of the project beneficiaries in their countries/regions according to their national/regional regulations and restrictions.

In fact, each partner in a project proposal must be aware of the eligibility rules of the participating national funding organizations.



1.2. Evaluation process main steps

The central coordinating body for the Joint Pilot Call is MiBAC, in liaison with MIUR, and it will be responsible for the overall coordination of the call. MiBAC shall also be responsible for overseeing the international peer review assessment process according to the rules agreed upon by the JHEP Steering Committee (STC) and the JPI Governing Board.

A Joint Call Secretariat (JCS) was entrusted with the overall preparation and operational management of the JPICH-JHEP Joint Pilot Call. The Joint Call Secretariat is located at the MiBAC, the JPICH and JHEP Coordinator, and will be the main contact for the evaluators and the Scientific Committee.

A two-step evaluation process is adopted for the proposals submitted within the JPICH-JHEP Joint Pilot Call:

Step 1: Eligibility check

Step 2: Peer review evaluation process

Step 2 follows 3 phases:

Phase 1: Remote evaluation of proposals by experts

Phase 2: Meeting of the Scientific Committee

Phase 3: The Signatories of the MoU Consensus Meeting

Step 1: Eligibility check

The Joint Call Secretariat and the National and Regional Contact Persons of the Countries participating at the Joint Call checked the eligibility of all submitted proposals taking into consideration the general Joint Call criteria and the national/regional criteria respectively.

The general eligibility criteria that were applied are:

- Eligibility of all project partners (organisational and individual)
- Participation of at least three partners from a minimum of three different eligible countries (depending on whether a research project or networking)
- Eligibility of requested funding (maximum grant for national partner)
- Project costs according to national eligibility rules and according to the type of project supported by the Country (for example, research project or networking)
- Duration of the project



Step 2 – Phase 1: Remote evaluation of proposals

Expert evaluators have been identified by JPICH members across all topics in order to have a set of experts sufficient for the evaluations. They are chosen from a list of independent international experts proposed by JPI-JHEP Participants. See Below.

A project proposal with a budget less than or equal to 150.000 euro will be assessed by two evaluators.

A project proposal for networking will be assessed by two evaluators.

All the other project proposals will be assessed by three evaluators.

The evaluation will take place from 10 May to 20 June

Based on these online evaluations, a preliminary ranked list will be prepared.

Step 2 - Phase 2: Meeting of the Scientific Committees

The assessment of proposals will be undertaken by the Scientific Committee who will be supplemented, if necessary, by other experts chosen from a new list of independent international experts proposed by JPI-JHEP Participants. The expertise of the committee will, therefore, cover all fields of research addressed in the call. This is also the case for choosing the remote evaluator

already written below

The SC will receive all the expert evaluations. At least one Rapporteur for each proposal will be identified within the SC by the WP3 Task Leaders.

The JPI/JHEP Scientific Committee will review the ranked list based on the expert evaluations and will recommend to the Signatories of the MoU a final ranked list of proposals to be funded.

The SC receives all the evaluations. At least one Rapporteur for each proposal will be identified within the SC by the WP3 Task Leaders.

The SC meets in a 2-days meeting and defines the ranking and recommendations for the MoU Signatories.

To accompany the final ranked list, the final score for each proposal with short comments, particularly in case of conflict between the evaluation reports, will be prepared by the Scientific Committee.

The meeting will take place in Rome the 4th - 5th of July.



Step 2 - Phase 3: The Signatories of the MoU Consensus Meeting

The Signatories of the MoU have responsibility for taking the final decisions on the proposals to be funded on a consensus basis, taking into account the recommendations of the Scientific Committee.

During the meeting they will discuss and approve the recommended projects according to the ranking list and the available budget of each Signatory.

These activities will be carried out during a Consensus meeting will take place in Rome the 18th - 19th of July.

More details on these steps are given below.

1.3. Remote evaluation

1.3.1 Role of the remote panel of evaluators

International, independent evaluators will evaluate the submitted proposals according to the agreed evaluation criteria for the call set up by the Funding Organisations (Signatories of the MoU). The evaluators are selected on the basis of their scientific/research experience and knowledge, irrespective of their nationality, age and affiliation.

In general, evaluators need to have skills and knowledge appropriate to the relevant scientific, technological and research fields in which they are asked to assist. In addition, evaluators must have the appropriate English language skills required for evaluation and a proven experience in one or more of the following areas or research activities:

- Methods, tools and modelling for understanding damage and decay mechanisms on tangible cultural heritage
- Technologies and procedures for the conservation of tangible cultural heritage
- Use and re-use of buildings and landscapes including the relationship between changes of use and public policy, including costs and added value
- Increasing understanding of cultural values, valuation, interpretation, ethics and identity around all forms of cultural heritage



Each evaluator will be assigned a maximum of 3 proposals for evaluation. Evaluators have access to the full project proposals assigned to them as well as the call documents.

The allocation of proposals to the evaluators is done by the WP3 Task Leaders according to the matching between the proposal's topic(s) and the evaluators' expertise.

Evaluators who cannot undertake an evaluation due to a conflict of interest should inform AS SOON AS POSSIBLE the JPICH_JHEP Joint Pilot Call Secretariat which will then assign the proposal to another evaluator.

The evaluators are asked to submit their evaluations by e-mail, using a template provided by the Call Secretariat. A submission of a printed version of the evaluations is not necessary.

The final outcome of the evaluation, including the overall score will be made available to the project leaders of the proposals after the evaluation and selection procedure has been completed.

Already written below

The remote evaluation will take place from **10 May 2013 to 20 June 2013**.

After the full process is completed, all evaluators will be informed about the outcome of the evaluation and about the selected proposals of the JPICH-JHEP Joint Pilot Call.

For any matters related to the evaluation process, evaluators are asked to communicate with the JPICH-JHEP Joint Pilot Call Secretariat only.

1.3.2 Evaluation criteria and scoring system

The proposals should be reviewed completely according to the following evaluation criteria of the JPICH_JHEP Joint Pilot Call.

	Criterion	Explanation	Weight (threshold/ maximum)	Scoring
1	Scientific and technical content	<ul style="list-style-type: none"> • Relevance to the objectives of the call • Innovative character in relation to the state-of-art • Contribution to advancement of knowledge or technology 	5/10	From 1 to 10 points
2	Trans-national added value	<ul style="list-style-type: none"> • Added value generated by the international cooperation 	3/6	From 1 to 6 points
3	Consortium	<ul style="list-style-type: none"> • Excellence of the involved partners • Quality of the consortium as a whole (complementarity and balance) 	3/6	From 1 to 6 points
4	Work plan	<ul style="list-style-type: none"> • Effectiveness of the methodology • Adequacy and feasibility of the work plan 	3/6	From 1 to 6 points
5	Resources	<ul style="list-style-type: none"> • Adequacy of the budget and other resources • Appropriate distribution of the resources 	• 3/6	From 1 to 6 points
6	Impact ¹	<ul style="list-style-type: none"> • Potential impact on the partners • Potential impact on the relevant industry • Potential impact on environment, safety and economic • Potential societal impact 	5/10	From 1 to 10 points
7	Exploitation of results	<ul style="list-style-type: none"> • Potential diffusion for the project results 	3/6	From 1 to 6 points

¹ The 'impact' criterion should be understood in a broad sense, taking into consideration project's impact on the development of science, civilization and society, and not merely its direct practical application or use



		<ul style="list-style-type: none"> • Appropriateness of exploitation plan • Dissemination plan of project results 		
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For the **Criterion 1** Scientific and technical content and **Criterion 6** Impact the scoring system is as follows:

10-9: EXCELLENT – The proposal successfully addresses all relevant aspects of the criterion in question. Any shortcomings are minor.

8-7: VERY GOOD – The proposal addresses the criterion very well, although it would benefit from certain improvements.

6-5: GOOD – The proposal broadly addresses the criterion, but would benefit from improvements in this area.

4-3: FAIR – There are substantial weaknesses in relation to the criterion in question.

3-2: POOR – The criterion is not met in an adequate and satisfactory manner.

1: FAILS OR MISSING/INCOMPLETE INFORMATION – The proposal fails to meet the criterion in question

For the remaining Criterion (i.e 2,3,4,5,7)

6: EXCELLENT – The proposal successfully addresses all relevant aspects of the criterion in question. Any shortcomings are minor.

5: VERY GOOD – The proposal addresses the criterion very well, although it would benefit from certain improvements.

4: GOOD – The proposal broadly addresses the criterion, but would benefit from improvements in this area.

3: FAIR – There are substantial weaknesses in relation to the criterion in question.

2: POOR – The criterion is not addressed in an adequate and satisfactory manner.



1: FAILS OR MISSING/INCOMPLETE INFORMATION – The proposal fails to meet the criterion in question

FRACTIONS ARE NOT ALLOWED.

1.4. Role of the Scientific Committee

The Scientific Committee (SC) will rank the proposals based on the remote, expert evaluations and recommend to the Signatories of the MoU a list of proposals to be funded.

The SC meeting will take place over 2-days with the task of defining the ranked list and recommendations for the MoU Signatories.

At least one Rapporteur for each proposal will be identified within the SC by the WP3 Task Leaders.

The SC meets in a 2-days meeting and defines the ranking and recommendations for the MoU Signatories

The members of the Scientific Committee – having the overview of all submitted projects – should make sure that each proposal benefits from a fair evaluation and that the final score is consistent with the comments and scores in the remote, expert evaluations.

Finally, they will rank all the proposals and recommend proposals for funding, based on the evaluation reports and the discussions within Scientific Committee.

The Scientific Committee members will be given access to the full project proposals and the remote, expert evaluations 5 working days before the scheduled Scientific Committee meeting in Rome. To prepare for the meeting, each member of the Scientific Committee will be assigned a certain number of proposals by the Joint Call Secretariat.

The scientific evaluation of the proposals and their ranking according to their excellence are the main tasks of the Scientific Committee.

Any budgetary issues resulting from the fact that the JPICH_JHEP Joint Pilot Call is financed from a virtual common pot will be handled by the Signatories meeting.

In addition to scoring the proposal against the evaluation criteria, the



Scientific Committee should come up with a ranked list of the proposals separated according to the following categories:

Category A: Proposals are recommended for funding and are divided into three sub-categories:

A+ (Excellent)

A (Very good)

A- (Good)

Category B (Fair): Proposals may be funded in case resources are still available. However, small changes to the projects' work plan, budget, etc. may be necessary.

Category C (Poor): Proposals are not recommended for funding.

The meeting of Scientific Committee is scheduled for the 4-5 July 2013 in Rome.

1.5. Role of the Signatories of the MoU

The Signatories of the MoU will take the final decision on the proposals to be funded on a consensus basis, based on the recommendations of the Scientific Committee. They will discuss and approve for funding the recommended projects according to the ranked list and the available budget during a Consensus Meeting.

In preparation for this meeting, the ranked lists of the Scientific Committee with the budget breakdown will be sent to the Signatories of the MoU members in addition to the minutes of the Scientific Committee meeting.

The members of the Signatories Consensus Meeting have to be mandated to make funding decisions in the name of their institution (following art. 7 of the MoU). They are also the main actors in negotiating a solution in case of discrepancies between requested and available budget.

1.6. Conflict of interest and confidentiality

Evaluators and members of the Scientific Committee should not be put in a situation in which their impartiality might be questioned, or where the



suspicion could arise that recommendations are affected by elements that lie outside the scope of the review.

A conflict of interest in evaluating a proposal exists when an applicant and / or an evaluator/Scientific Committee member has:

- a. Close family ties or a personal relationship
- b. Close proximity, e.g. member of the same scientific institution or impending change of the reviewer to the institution of the applicant or vice versa
- c. Teacher/student relationship, unless a following independent scientific activity of more than 10 years exists
- d. Dependent relationship in employment during the past 3 years
- e. Participation in current or recently concluded professorial appointment proceedings
- f. Current or prior activity in advisory bodies of the applicant's institution, e.g. scientific advisory boards
- g. Personal economic interests as a result of the funding decision

Evaluators/Scientific Committee members who encounter a conflict of interest should inform the JPICH-JHEP Joint Pilot Call Secretariat which will then assign the proposal to another evaluator/rapporteur.

All proposals, the correspondence forwarded to an evaluator/a Scientific Committee member, as well as the evaluation reports themselves, must be treated as strictly confidential.

If a Scientific Committee has a conflict of interest with a proposal, they may still attend the meeting but will be required to leave the room whilst the proposal(s) for which they have a conflict is/are being discussed. They are permitted to be present for the ranking of all proposals and it will be the responsibility of the chair of the Scientific Committee to ensure that such proposals are not discussed again in detail, to ensure fairness and avoid any potential embarrassment.

Identities of applicants must not be revealed to third parties under any



circumstances.

Therefore, the responsibilities of an evaluator/a Scientific Committee member may only be undertaken personally and may not be delegated to third parties. Furthermore, an evaluator/a Scientific Committee member should not identify him/herself as an evaluator/rapporteur to an applicant or to any third party.

By accepting to become an evaluator/a Scientific Committee member for this call, the evaluators agree that the scientific content of the proposal cannot be exploited for personal or other scientific purposes.

1.7. Indicative timetable

Procedure	Time schedule
Launch of the Joint Call	10 January 2013
Submission deadline for proposals	5 April 2013, 18:00 CET (Brussels, Belgium time)
Eligibility check (including national eligibility evaluation)	From 10 April 2013 to 10 May 2013
Remote evaluation	From 10 May 2013 to 20 June 2013
Scientific Committees' meeting	4- 5 July 2013
Signatories Consensus Meeting	By 15 July 2013
Information of applicants about the results of the evaluation	30 July 2013
National funding bodies to complete administrative procedures related to successful proposals	From 1 August to 30 October

JPICH- JHEP Joint Pilot Call	NAME PROJECT	
	ACRONYM	
	Do you have any conflicts of interest?	No or Yes
	If yes, please specify	
	CRITERION 1 - Scientific and technical content: <ul style="list-style-type: none"> • Relevance to the objectives of the call • Innovative character in relation to the state-of-art • Contribution to advancement of knowledge or technology 	Brief comment on the score assigned
	x Score (from 1 to 10)	x
	CRITERION 2 - Trans-national added value <ul style="list-style-type: none"> Added value generated by the international cooperation 	Brief comment on the score assigned
	x Score (from 1 to 6)	x
	CRITERION 3 - Consortium <ul style="list-style-type: none"> • Excellence of the involved partners • Quality of the consortium as a whole (complementarity and balance) 	Brief comment on the score assigned
	x Score (from 1 to 6)	x
	CRITERION 4 - Work plan <ul style="list-style-type: none"> • Effectiveness of the methodology • Adequacy and feasibility of the work plan 	Brief comment on the score assigned
	x Score (from 1 to 6)	x
	CRITERION 5 - Resources <ul style="list-style-type: none"> • Adequacy of the budget and other resources • Appropriate distribution of the resources 	Brief comment on the score assigned
	x Score (from 1 to 6)	x
	CRITERION 6 - Impact <ul style="list-style-type: none"> • Potential impact on the partners • Potential impact on the relevant industry • Potential impact on environment, safety and economic 	Brief comment on the score assigned

x	Score (from 1 to 10)	x
	CRITERION 7 - Exploitation of results <ul style="list-style-type: none"> • Potential diffusion for the project results • Appropriateness of exploitation plan • Dissemination plan of project results 	
x	Score (from 1 to 6)	x
	Strengths/Weaknesses	
xx		xx

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ANNEX III



JPI - JHEP JOINT PILOT TRANSNATIONAL CALL

for Joint Research Projects on Cultural Heritage

JPI – JHEP Call for proposal

EVALUATION PROCESS

GUIDELINES
FOR THE SCIENTIFIC COMMITTEE MEMBERS

JHEP Joint Pilot call

Contact:
JPICH_JHEP Joint Call Secretariat

E-mail: jpich.call@beniculturali.it

ANNEX III



JPI - JHEP JOINT PILOT TRANSNATIONAL CALL

for Joint Research Projects on Cultural Heritage

Introduction

Following the 'Guide lines for the evaluation process' sent to the international independent experts involved in the JPICH Pilot Call remote evaluation, the role of the Scientific Committee (SC) will be to rank the proposals based on the remote expert evaluations and recommend to the Signatories of the Memorandum of Understanding (MoU) a list of proposals to be funded.

This document is intended to be an additional document to assist the Scientific Committee members in their activities.

State of art

For the JPICH-JHEP Pilot call we received in total 89 project proposals.

As a result of the First step – Eligibility check:

- 62 project proposals passed to the National eligibility checks and followed the independent peer evaluation (Second step Phase 1: Remote evaluation of proposals);
- 21 project proposals were rejected as non eligible;
- 6 project proposals are in a "pending list" having one Partner not eligible but the eligible Partners from at least three Countries The procedure for the Projects in the pending list is as follows: i) they went through the independent peer evaluation; ii) the Scientific Committee, which will receive the evaluations, will be asked advise on the possibility to negotiate the project without the participation of the non-eligible Participant.

The total number of projects for which need to make the ranking list are 68 (62+6).

Evaluation process by the Scientific Committee members

The evaluated projects (max 10 per SC member) will be assigned to the SC members participating at the evaluation meeting, organized for the 4th – 5th of July in Rome, who will receive at least 5 days before the SC meeting the two or three evaluations sheets performed remotely by the independent experts.

ANNEX III



JPI - JHEP JOINT PILOT TRANSNATIONAL CALL

for Joint Research Projects on Cultural Heritage

In the Annex 1 the list of proposals shared among the SC members.

Before the meeting to the SC members are asked to:

- read the evaluation sheets made by the independent experts. Depending on the size of the project, there are 2 or 3 evaluations. Projects under 150.000 Euros have been reviewed by two evaluators.
- summarize the two or three evaluations results using the “template for SC summary evaluations” (Annex 2) and assign a final score for each proposal including some comments and recommendations for the Signatories of MoU for each project.

During the meeting, we ask to the SC members to:

- present the results of their evaluation for each project (as Rapporteur);
- contribute to the general discussion for defining the ranked list and recommend proposals for funding for the MoU Signatories.

In addition to scoring the proposal against the evaluation criteria, the Scientific Committee should come up with a ranked list of the proposals separated according to the following categories:

Category A: Proposals are recommended for funding and are divided into three sub-categories:

A+ (Excellent)

A (Very good)

A- (Good)

Category B (Fair): Proposals may be funded in case resources are still available. However, small changes to the projects’ work plan, budget, etc. may be necessary.

Category C (Poor): Proposals are not recommended for funding.

ANNEX III

JPI - JHEP JOINT PILOT TRANSNATIONAL CALL

for Joint Research Projects on Cultural Heritage





Heritage Plus

Evaluation guidelines for Scientific Committee (pre-proposals)

Version 1 - February 2014

Contact: Heritage Plus Secretariat

Email: jpich.call@beniculturali.it

1. Introduction

Under the ERA-NET Plus action “Development of new methodologies, technologies and products for the assessment, protection and management of historical and modern artefacts, buildings and sites” co-funded by the Seventh Framework Programme (FP7) of the European Commission, this call is for pre-proposals advancing research primarily on tangible cultural heritage including the interlinked aspects of digital and intangible heritage¹.

Heritage Plus is co-funded by various agencies in 15 participating countries (see Annex A of the Guidelines for Applicants document) and the European Commission with a total budget of 9.0 million EUR. Heritage Plus is part of the Joint Programming Initiative in Cultural Heritage and Global Change (JPICH, www.jpi-culturalheritage.eu/). The Heritage Plus funding model agreed by the funders will ensure that the highest ranked proposals are funded.

Three broad topics have been identified to advance research in this area. These have been drawn from areas identified in the Strategic Research Agenda for the JPICH.

1.1 Aims of HERITAGE PLUS

The Heritage Plus call is designed to generate new, research-based knowledge to promote the sustainable use and management of cultural heritage and so to meet societal challenges and contribute to the development on the society.

This HERITAGE PLUS Joint Call will be designed to fund excellent collaborative, transnational, interdisciplinary, innovative R&D projects focussed mainly on tangible cultural heritage research, while not excluding the interlinked aspects of intangible and digital heritage. The Strategic Research Agenda for the JPICH recognises that different types of heritage cannot be seen as separate entities and so any investigation of tangible heritage through projects funded through this call should also explore its intangible and digital aspects. An important outcome of the HERITAGE PLUS Call will be maximising the impact and added value of the research undertaken to non-academic stakeholders such as policy makers but in particular to NGOs and business, including SMEs. The intention is to narrow the gap between cultural heritage research and the implementation of the resulting knowledge to solve problems relating to the assessment, protection and management of cultural heritage.

Proposals that include ideas and knowledge that can be transferred to public and private stakeholders, and exploited in high value tools applied over the short to mid-term **will be prioritised in the assessment process**.

The aims of the call are:

- to support well-defined, interdisciplinary and collaborative R&D projects of the highest quality and standards that will lead to significant advances in our understanding of cultural heritage across the broader research community and in society.
- to maximise the value of research outcomes by promoting their transfer to individuals and organisations outside the immediate research community, to

¹ Cultural heritage exists in tangible, intangible and digital forms. Tangible heritage includes artefacts (for example, objects, paintings, archaeological finds etc), buildings, structures, landscapes, cities, and towns including industrial, underwater and archaeological sites. It includes their location, relationship to the natural environment and the materials from which all these are made, from prehistoric rock to cutting edge plastics and electronic products. Intangible heritage includes the practices, representations, expressions, memories, knowledge and skills that communities, groups and individuals construct, use and transmit from generation to generation. Digital heritage includes texts, databases, still and moving images, audio, graphics, software and web pages. Some of this digital heritage is created from the scanning or converting of physical objects that already exist and some is created digitally, or ‘born digital’. Whatever its genesis, it needs constant maintenance and management to be retained. Reference: JPICH SRA. For further detail on the definition of tangible and intangible heritage, please refer to: *UNESCO, Convention concerning the Protection of the World Cultural and Natural Heritage, Paris, 16 November 1972; UNESCO, Convention for the Safeguarding of the intangible Cultural Heritage, Paris, 17 October 2003.*

include, policy makers, businesses and commercial enterprises, the broader heritage sector, voluntary and community groups and the general public; where appropriate, to facilitate the knowledge transfer of those outcomes to both the research community and society where they will make a difference.

- to support a range of interactions and partnerships between cultural heritage researchers and a variety of user communities, to include, policy makers, businesses and commercial enterprises, the broader heritage sector, voluntary and community groups and the general public.
- to generate new and exciting knowledge exchange opportunities, foster entrepreneurial talent, and stimulate innovation so improving the competitiveness, productivity, and performance of businesses and commercial enterprises.

2. Research Topics

The research topics on which the Heritage Plus Call is focused on have been drawn from areas identified in the Strategic Research Agenda for the Joint Programming Initiative in Cultural Heritage and Global Change (<http://www.jpi-culturalheritage.eu/2014/02/strategic-research-agenda-sra/>). While applicants have been asked to identify a main topic which will be addressed by their project, they are not formally required to work on a single topic. It is therefore acceptable for a project to address issues from more than one of the Heritage Plus topics to help address the broader challenges affecting cultural heritage.

Cultural heritage is a complex area requiring an interdisciplinary approach. Proposals will be expected to integrate existing and available knowledge in different fields of study from as many disciplines as possible in order to move the field towards truly interdisciplinary heritage studies. It is hoped that applicants will encourage the inclusion of researchers in their projects from these areas and from other disciplines not previously associated with research on cultural heritage.

The topics are set out below with indicative statements and questions – these were intended to explain the topics and stimulate proposals, not to prescribe or specify the projects to be funded.

The topics are:

1. Safeguarding tangible cultural heritage and its associated intangible expressions

This topic could include, for example, research into:

- developing materials, technologies, procedures and systems for the long-term monitoring and maintenance of all forms of heritage (including modern heritage), taking into account integrity and authenticity of the different historical and environmental contexts and historical layers of cultural heritage
- investigating changes in landscapes, sites, structure and material in the context of different environmental and global changes (including insights into material decay etc), and also the relationship between material and the site itself
- developing tools for decision making based on integrated risk assessments (assessing value and loss of value for example)

2. Sustainable strategies for protecting and managing cultural heritage

This topic could include, for example, research into:

- understanding how the significance and the values that landscapes, sites, buildings and artefacts hold for individuals and communities is influenced by global changes
- opportunities for the production, recognition, revitalisation and regeneration of landscapes, sites, buildings and artefacts (including digital heritage and digital representations of)
- how the interaction and dialogue with heritage users influences the management of heritage and its environment
- the changing rights and responsibilities around cultural heritage including changing forms of access and governance, both nationally and more broadly;
- understanding the meanings that cultural heritage holds for people and how they perceive, use and interpret it;
- developing methodological tools for 'integrated landscapes'.

3. **Use and re-use of all kinds of cultural heritage**

This topic could include, for example, research into:

- how to balance historical integrity and authenticity to ensure that the interpretations and management (including access) of landscapes, sites, buildings and artefacts by different publics are taken into account, including in pluralistic societies
- how built and natural heritage is affected by the rebalancing between the surrounding natural environment and cultural and societal developments, including regulation and an exploration of planning and architecture/design issues
- an exploration of the contested and conflicting issues around access to cultural heritage, for example tourism vs. conservation, sustainability, authenticity etc
- exploring and integrating the available cultural heritage knowledge and information around use and reuse of heritage from different fields of study including, but not limited to, art history, science, digital heritage, conservation and maintenance, in order to move the field towards truly interdisciplinary heritage studies

3. **Eligibility Criteria**

The Heritage Plus funding organisations will each decide on the eligibility of the applicants using their countries National Eligibility Criteria as set out in the Guidelines for applicants document. All eligibility checks will have been carried out before you are sent the proposal for assessment.

Further information on the eligibility criteria can be found in the call document, the main points are:

- Only researchers² located in the countries participating in the Heritage Plus Call are eligible to apply, with accordance to their country's National Eligibility Criteria. These can include, for example, those from academia, institutions carrying out research, institutions responsible for the management and protection of cultural heritage, industry and/or SMEs.

² For this call, the term 'researcher' can refer to anyone involved in gathering of data, information and facts for the advancement of knowledge, or development of tools and methodologies providing they are eligible according to their country's National Eligibility Criteria. These can include, for example, those from academia, institutions carrying out research, institutions responsible for the management and protection of cultural heritage, industry and/or SMEs.

- Each project must comprise of at least **three** research teams, each from a different country participating in the Heritage Plus Call. The maximum number of research teams in a project is **five**.

4. Evaluation Process

The central coordinating body for the Heritage Plus Call is MIBAC, in liaison with MIUR, and it is responsible for the overall coordination of the call. MIUR shall also be responsible for overseeing the international peer review process for pre-proposals as agreed in the call procedures.

The assessment of **pre-proposals** will be undertaken by the Scientific Committee of the JPI in Cultural Heritage and Global change. The Scientific Committee will be supplemented, if necessary, by additional experts identified by Heritage Plus partners.

The assessment of **full proposals** will be undertaken by independent international peer reviewers covering all fields of research and technology relevant to the call topics. After the independent experts have carried out a remote evaluation of the full proposal, an international peer review panel will meet to discuss and agree upon a final score for each proposal, which will determine a ranking list. The Heritage Plus Management Group will ensure and verify the fair and equitable nature of the evaluation process and its compliance with the Heritage Plus guidelines. The European Commission and an independent observer assigned by them will verify the fairness of the selection process and its compliance with ERANET Plus rules and principals.

5. Assessment of Pre-Proposals

As a member of the JPICH Scientific Committee you will be assigned a number of pre-proposals for evaluation. The Call Secretariat will contact you after the call closing date to inform you of the pre-proposals you are required to assess. Unfortunately we are unable to predict the number of proposals you will be asked to evaluate until after the closing date.

As the assessment of pre-proposals will be undertaken by the Scientific Committee only, you may have been assigned some proposals that do not lie within your precise area of subject expertise but you will still need to make an assessment of the pre-proposal. If necessary, to ensure adequate subject coverage, additional independent and international experts will temporarily be appointed to the Scientific Committee for the purpose of the evaluation process.

Evaluation criteria

You should assess each pre-proposal against the following evaluation criteria:

- Quality of the proposed research
- Compatibility with the scope of the Heritage Plus Call
- Clarity of project aims, work programme, outcomes
- Added value through transnational cooperation

In preparation for evaluating the pre-proposals please ensure you familiarise yourself with the aims of the call and read the entire pre-proposal thoroughly.

Members of the Scientific Committee will be asked to do the pre-assessments of the Pre-proposals in advance of the meeting where each proposal will be pre-assessed by two Scientific Committee members. In your pre-assessments, you will be asked to evaluate each proposal according to the Heritage Plus evaluation criteria. The pre-assessments will serve to structure the Scientific Committee discussions and to prepare individual recommendations on how to strengthen some of the invited proposals. All proposals selected to invite Full Proposals will need to be ranked.

Once the discussion on the pre-proposals is complete, the Scientific Committee will also be asked to agree on a set of general comments to be forwarded to all of the invited and rejected applicants. Some of the invited applicants will also receive recommendations from the Scientific Committee on how to strengthen their Full Proposal.

Following the Scientific Committee meeting, the comments will be edited by the call secretariat and sent to the Scientific Committee for comments and approval.

The Heritage Plus Management Group will meet to agree on the list of ranked proposals that will be admitted to the second stage and invited to submit a full proposal based on the evaluations performed by the Scientific Committee.

Score: 0-5

Interpretation of the score:

- 0- The proposal fails to address the criterion or cannot be assessed due to missing or incomplete information.
- 1- **Poor.** The criterion is inadequately addressed, or there are serious inherent weaknesses.
- 2- **Fair.** The proposal broadly addresses the criterion, but there are significant weaknesses.
- 3- **Good.** The proposal addresses the criterion well, but a number of shortcomings are present.
- 4- **Very good.** The proposal addresses the criterion very well, but a small number of shortcomings are present.
- 5- **Excellent.** The proposal successfully addresses all relevant aspects of the criterion. Any shortcomings are minor.

Conflicts of interest and confidentiality

The Call Secretariat will not assign you any pre-proposals where the Project Leader or Principal Investigator is at the same institution as you. However, it is possible that you have a connection with the applicant(s) that we are not aware of and we would therefore ask that on receiving the set of proposals, you have a look at those to which you have been assigned to review and check whether any conflicts of interest exist. A conflict of interest could include, for example:

- Close family member or personal relationship
- Member of the same institution or impending move to the same institution
- Teacher/Student relationship, unless more than 10 years of independent activity has passed
- Relationship through employment during the past 3 years
- Participation in current or recent professional appointment recruitment process
- Current or prior activity in advisory bodies of the applicant's institution
- Personal economic interests as a result of the funding outcome

Should evaluators encounter a conflict of interest, please inform the Heritage Plus Secretariat as soon as possible so the proposal can be re-assigned to another evaluator.

All proposals, the evaluation reports and any correspondence must be treated as strictly confidential. Identities of applicants must not be revealed to third parties under any circumstances. By accepting to become a evaluator for this call, the evaluator agrees that the content of the proposal cannot be exploited for personal or other purposes.

6. Communication

All correspondence will be through the Heritage Plus Call Secretariat only. They can be contacted by email on jpich.call@beniculturali.it.

Please use the template provided by the Call Secretariat to record your evaluation. A printed version of the evaluation is not necessary.

7. Indicative timetable

Procedure	Schedule
Launch of the Heritage Plus Call	3 March 2014
Deadline for submission of pre-proposals	28 April 2014, 18:00 CET (Brussels, Belgium time)
Eligibility check (including national eligibility check)	From 30 April 2014 to 26 May 2014
Evaluation of pre-proposals by Scientific Committee	From 28 May 2014 to 30 June 2014
Scientific Committee panel meeting	July 2014
Invitation for full proposals or unsuccessful outcome issued	August 2014
Deadline for submission of full proposals	20 October 2014
Evaluation and funding decisions	February 2015
Start of research projects	from April 2015
End of research projects	March 2018