SERVICE AGREEMENT

Between:

The European Science Foundation (ESF)¹

1 quai Lezay-Marnésia
67080 Strasbourg Cedex
France
represented by Martin Hynes, Chief Executive,
hereinafter known as “ESF” or “the Service Provider”

on the one hand

and

The Fundação para a Ciência e a Tecnologia (FCT)
Ministério da Educação e Ciência
Avenida Dom Carlos I, 126
1249-074 Lisboa
Portugal
represented by Miguel Seabra, President,
hereinafter known as “FCT” or “the Customer”

on the other hand,

Each one designated individually as ‘the party’, or collectively as ‘the parties’.

Pursuant to the technical proposal, terms and conditions initially offered by the Service Provider and the ensuing negotiations, during which the ESF has been able to ascertain its understanding of the nature and scope of the Customer’s needs, requirements and goals, the Parties have agreed on the following.

Once signed by both parties, this Service Agreement together with its Work Plan (Annex A) detailing the procedure, the responsibilities, deliverables and timeline, shall form the agreement between ESF and FCT.

The parties mutually commit to acting loyally and in good faith, bringing to the notice of the other party without delay any conflict, difference of opinion or difficulty encountered in the performance of the present contract

¹ Local non-profit Association recorded with the Registry of Associations of the Tribunal d’Instance of Strasbourg, Volume 35, Folio 7.
ARTICLE 1. — DURATION OF THE AGREEMENT

This Services Agreement is concluded for a duration of 11.5 months, for activities starting on 01 January 2014 and ending on 15 December 2014.

The timeline may be subject to revision and the agreement may therefore be extended to match the revised activity period through a written Addendum to the present agreement (cf. Article 9).

This Services Agreement is effective as of the signature date.

ARTICLE 2. — CONTEXT OF THE ASSIGNMENT

The Fundação para a Ciência e a Tecnologia (FCT), the Portuguese Foundation for Science and Technology, is the public agency responsible for implementing the science and technology policy of the Portuguese government and the main agency for R&D in Portugal. FCT’s mission in supporting and continuously promoting the advancement of scientific and technological knowledge in Portugal is mainly accomplished through the funding of proposals - on the basis of international peer-review evaluations - presented by institutions, research teams or individuals to open calls.

One of FCT’s main actions is the independent evaluation and the pluri-annual funding of research units in Portugal. There are, currently, two types of research units:
1. R&D units (n=293)
2. Associate laboratories (n=26)

The 2013 R&D Units Evaluation Call is the FCT’s foremost funding instrument for promoting quality in research performed in Portugal. A high level of scientific merit, by international standards, is the main criterion used to assess and to prioritise funding.

The 2013 evaluation process will consist of a full assessment of all R&D Units in order to ensure the funding model of these institutions. The allocated funding is intended to guarantee the concretion of activities that can enhance the R&D Units and establish or broaden the conditions for a better achievement of their goals, to strengthen the strategic activities of the R&D Units of recognised merit, and to financially complement the research and development activities developed by each R&D Unit.

In this context, all research units of the FCT have been asked to produce and provide a research plan covering their scientific ambitions and objectives for the six years ahead. Between 300 and 400 research units are expected to apply to this competitive call and each research plan will be evaluated by independent experts and assessed by dedicated Review Panels focussing on the following domains:
  • Exact Sciences and Engineering
  • Health and Life Sciences
  • Natural and Environmental Sciences
  • Social Sciences
  • Humanities

After completion of the whole evaluation process, the assessment of R&D Units will be valid for a period of 6 years, subject to mid-term evaluations which may result in a proposal to change the obtained classification and therefore, the attributed funding.

The FCT Guide for the Evaluation of R&D Units 2013 is attached to the present Services Agreement as Annex B.
ARTICLE 3. -- DESCRIPTION OF SERVICES

3.1 Scope of Services to be provided

The Service Provider, ESF, shall perform the Services of Peer Review Support for the FCT Evaluation of R&D Units as described in this Service Agreement and related Work Plan.

The Service Provider commits to carrying out the Stage 1 Evaluation process (setting up of review structure, remote assessment phase, review panel assessment and consensus) and to providing support for the Stage 2 Site Visits.

The agreed principles, procedures and required activities of the full process are detailed in the Work Plan approved by both parties and attached to this Agreement as Annex A.

Any additional service or substantial change in the services compared to the attached Work Plan may be performed and delivered by the Service Provider upon either the Customer’s or the Service Provider’s written request[s] and according to terms and conditions to be agreed in writing by both parties (cf. Article 9 - Amendments to the mission).

3.2 Milestones & Deliverables

The Service Provider shall perform and deliver to the Customer the tasks detailed in the Work Plan, and for which the milestones and deliverables are summarised below.

Acceptance by the Customer shall ensue within seven days after receipt of the deliverable(s) by the Customer.

In the event that acceptance criteria have not been specifically defined by the parties, then acceptance shall be carried out by the Customer acting in good faith, taking into consideration its mentioned goals, the functional description of its needs and the intended usage of the Deliverables.

**Stage 1**

<table>
<thead>
<tr>
<th>WP</th>
<th>Milestone</th>
<th>Deliverables</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>NA</td>
<td>NA</td>
</tr>
<tr>
<td></td>
<td>Start of remote assessment phase: 17 February 2014</td>
<td>D3.2: Compilation of applicants’ rebuttal reports – 6 June 2014</td>
</tr>
<tr>
<td></td>
<td>Final deadline for remote assessment collection: 30 April 2014</td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>Consensus Meeting: 26-29 May 2014</td>
<td>D5.1: Compilation of panels’ consensus reports - 6 June 2014 (with reporting package)</td>
</tr>
<tr>
<td></td>
<td>Deadline for submission of Final Consensus Reports by Lead Rapporteurs: 31 May 2014</td>
<td>D5.2 (if any): Compilation of panel feedbacks following second rebuttal - 6 August 2014</td>
</tr>
<tr>
<td>5</td>
<td>Final feedback provided to FCT: 6 June 2014</td>
<td></td>
</tr>
</tbody>
</table>
Stage 2

<table>
<thead>
<tr>
<th>WP</th>
<th>Milestones</th>
<th>Deliverables</th>
</tr>
</thead>
</table>
| 6  | - Site visits – June-November 2014  
- Final evaluation meeting - date TBD (November-December) | D6.1 (one/research unit visited): Site visit documentation packages. Please refer to WP6 for details on the content of the package.  
D6.2: Compilation of final visit reports, final consensus reports and list of Research Unit with ranking |

It is understood that the Service Provider will be able to perform within the agreed deadlines for milestones and deliverables only on the condition that all necessary input is duly provided within the agreed timeline by the Customer.

ARTICLE 4. – SERVICE FEES and PAYMENT SCHEDULE

4.1 Service fees

ESF is a non-profit association under French law and is therefore not subject to any commercial tax, including VAT. The amounts indicated as payable to ESF, as Service Provider, under this Services Agreement are therefore considered as all-inclusive.

Stage 1

A firm fixed fee of EUR 202,602,00 is agreed for Stage 1, on the basis of the following assumptions:
- Number of applications submitted: 323
- Total number of Review Panel Members: 75 (across 6 Panels + 1 Transdisciplinary Panel)
- ESF staff travel, Review Panel meetings: €600 per staff member per meeting
- ESF staff travel, Project Management meetings: €900 per person per meeting
- ESF overall staff-time: 523 days (incl. 1.6 days per application)

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
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</thead>
<tbody>
<tr>
<td>Stage 1 - ESF employment costs</td>
<td>169,915,00 €</td>
</tr>
<tr>
<td>Stage 1 - ESF Infrastructure costs</td>
<td>25,487,00 €</td>
</tr>
<tr>
<td>Stage 1 - ESF Travel costs</td>
<td>7,200,00 €</td>
</tr>
<tr>
<td><strong>TOTAL STAGE 1 – Firm Fixed Fee</strong></td>
<td><strong>202,602,00 €</strong></td>
</tr>
</tbody>
</table>

Stage 2

A firm fixed fee of EUR 109,592,00 is agreed for Stage 2, on the basis of the following assumptions:
- Number of Research Units selected for Stage 2: 163
- Number Research Units visited per day: 2
- Length of Site Visits: 3 days (= ca. 27 Site Visits in total)
- ESF staff-time for preparation of Research Unit visits: 0.6 day per Research Unit
- ESF overall staff-time: 249 days (incl. preparation of and participation to Site Visits and final Review Panel Evaluation meetings).
Stage 2 - ESF employment costs  
95,297,00 €
Stage 2 - ESF Infrastructure costs  
14,492,00 €
Stage 2 - ESF Travel costs (*)  
0,00 €
TOTAL STAGE 2 – Firm Fixed Fee  
109,592,00 €

(*) ESF staff travel costs for Stage 2 will be processed and financed directly by FCT.

4.2 Payment schedule

Payment by the Customer is conditioned upon:

- the performance of the services and of the deliverables in accordance with this Service Agreement and as detailed within the associated Work Plan (Annex A);
- the issuing of invoices by the Service Provider in compliance with this Services Agreement and carrying reference to this applicable Service Agreement and related services.

The ESF shall invoice FCT in 3 instalments as stipulated below:

- **Instalment 1** – payable upon signature of the present agreement - will represent:
  - → 50% of the firm fixed fee for Stage 1
- **Instalment 2** – payable on 6 August 2014 - will correspond to:
  - → 50% of the firm fixed fee for Stage 1
  - → 50% of the firm fixed fee for Stage 2
- **The final instalment** – payable on 15 December 2014 - will be composed of:
  - → 50% of the firm fixed fee for Stage 2

A summary of the above instalments is provided in the table below:

<table>
<thead>
<tr>
<th>Invoicing schedule</th>
<th>Stage 1</th>
<th>Stage 2</th>
<th>Totals</th>
</tr>
</thead>
<tbody>
<tr>
<td>1st instalment</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Upon signature of Services Agreement</td>
<td>101,301,00 €</td>
<td></td>
<td>101,301,00 €</td>
</tr>
<tr>
<td>2nd instalment</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>06 August 2014</td>
<td>101,301,00 €</td>
<td>54,796,00 €</td>
<td>156,097,00 €</td>
</tr>
<tr>
<td>3rd instalment</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>15 December 2014</td>
<td></td>
<td>54,796,00 €</td>
<td>54,796,00 €</td>
</tr>
</tbody>
</table>

| Totals                             | 202,602,00 €    | 109,592,00 €    | 312,194,00 €    |

4.2 Invoicing instructions

The invoices shall be issued by the Service Provider according to the present agreement in two original copies, established in the name, address and TIN of the customer stipulated below:

Fundação para a Ciência e a Tecnologia (FCT)
Ministério da Educação e Ciência
Avenida Dom Carlos I, 126, 1º
1249-074 Lisboa
Portugal
Taxpayer Identification Number (TIN): 503 904 040

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The invoices shall be sent to:

Paula Trindade
Department of R&D Units and Research Infrastructures
+351 213 924 412
paula.trindade@fct.pt

Invoices shall be paid, for the relevant amount net of bank charges, within 30 (thirty) days from the date of receipt by the Customer on the following bank account of the Service Provider, denominated in euro and identified as follows:

<table>
<thead>
<tr>
<th>Bank:</th>
<th>Credit Agricole Alsace Vosges</th>
</tr>
</thead>
<tbody>
<tr>
<td>Account holder:</td>
<td>ESF FONDATION EUROPEENE SCIENCE</td>
</tr>
<tr>
<td>Account:</td>
<td>EXT PEER REVIEW</td>
</tr>
<tr>
<td>BIC:</td>
<td>AGRIFRPP872</td>
</tr>
<tr>
<td>IBAN:</td>
<td>FR76 1720 6000 7063 0392 2289 670</td>
</tr>
<tr>
<td>Reference to be indicated on transfer:</td>
<td>P-FCT1</td>
</tr>
</tbody>
</table>

The Service Provider may not invoice to the Customer any additional service or any substantial changes in the Services in excess of the agreed price, except when (i) the Service Provider has sent in advance and in writing, a detailed quotation to the Customer; and (ii) the Customer has expressly and in writing approved the quotation by way of written Amendment (cf. Article 9); and (iii) the invoicing complies with the approved quotation and the provisions of the related Amendment.

**ARTICLE 5. – PERSONAL DATA**

Each Party is responsible for complying with the “European Directive on Personal Data Protection” and the provision on data protection applicable within their respective country with regard to personal data provided either way to carry out the present contract.

The Service Provider is allowed to retain a copy of the data from the present mission for archival purposes and to meet its own legal and regulatory obligations.

*Note: within the framework of this Services Agreement, ESF will be collecting personal bank data from Review Panel members and External experts on behalf of FCT.*

**ARTICLE 6. – CONFIDENTIALITY**

The Service Provider acknowledges that all information relative to submitted applications provided by the Customer is of confidential nature and should be treated as such. The external experts performing the evaluation activity set forth in this contract will be expressly required to treat all information as strictly confidential and will be asked to endorse a non-disclosure agreement before having full access to applications and peer review documents. In parallel, identity and personal data of all experts involved in the process will be kept confidential by the Customer and the Service Provider throughout the process.
ARTICLE 7. — OWNERSHIP AND USE OF RESULTS

The present contract being one of provision of services, the Customer will be the owner of all results, information and deliverables, hereinafter known as 'Results', whether patentable or not, obtained during the mission. Ownership of the Results is not, however, conclusive until after payment of invoiced fees and expenses. The customer will be entirely free to decide on the use and application of the Results.

The methodology, know-how and infrastructure applied and/or developed by the Service Provider in carrying out the mission remain the property of the Service Provider, who is free to use, share, protect, publish and freely exploit them.

ARTICLE 8. — USE OF NAMES AND OTHER MEANS OF IDENTIFICATION

The parties will define together the rules for the use of their respective names or other means of identification before any communication related to the mission is made.

ARTICLE 9. — AMENDMENTS TO THE MISSION

Any amendments to the content of the mission, the delivery schedule, the achievement of the assignment, the length of the duration and/or to the related cost during the operation of the present contract, will entail the prior agreement of both Parties in the form of a written and signed Addendum, to become an integral part of the present contract.

ARTICLE 10. — CANCELLATION

Cancellation of the present Contract can be made through consensus between both parties. The agreed cancellation must be confirmed in writing and signed by an authorised representative of each Party.

In the case of cancellation, all costs incurred by the Service Provider duly supported by documentation up to the time of receiving the notice shall be paid by the Customer.

ARTICLE 11. — TERMINATION

The contract will continue until the fulfilment of all obligations set forth in it, in accordance with the timeline provided under Article 1, unless ended earlier in accordance with the above Article 10, or this Article 11.

Either Party may terminate the present contract and the Parties' respective obligations in respect of the services (save for those rights which accrued before such termination) immediately upon written notice to each other, if the other:
- defaults on its obligations under the contract, and if such default is remediable, fail to remedy the default within 30 days of that party being notified in writing of the default;
- becomes insolvent or has a receiver of its assets appointed or goes into liquidation or makes a composition with its creditors.
This termination will become effective 30 days after the issue of a registered letter with proof of receipt to describe the default, unless the party concerned fulfils his obligations or provides proof of the failure through force majeure[1] within this period.

Exercise of the right to terminate the contract does not exempt the defaulting party from fulfilling its contractual obligations up to the new date of termination of the contract.

In the event of early termination, for whatever reason, the fees due to the Service Provider will be calculated according to the services rendered in line with the terms of the contract up until its termination, and, if applicable, to include those services necessary to complete the work in hand (which must be agreed by both parties).

The provisions contained in the articles ‘Ownership and use of results’, ‘Applicable law’ and ‘Disputes’ will remain in force despite termination or cancellation of the present contract.

ARTICLE 12. – SEVERABILITY CLAUSE

Should any of the clauses of the present contract become obsolete, invalid or void according to the law or a settlement or a final court decision, such clause will be deemed unwritten and will not affect the enforceability of the contract as a whole.

The parties will do their utmost to reach agreement on the replacement of such a clause by an equivalent provision respecting the spirit and economics governing the signature of the present contract.

ARTICLE 13. – APPLICABLE LAW

It is specifically agreed between the parties that the present contract is governed by Portuguese law.

ARTICLE 14. – DISPUTES

In case of any disputes arising from the present contract regarding its validity, interpretation, performance, termination and subsequent consequences or outcomes, the parties will first attempt in good faith to resolve the dispute out of court.

In the case that no solution can be found, the parties agree to submit the case to the exclusive jurisdiction of the Portuguese courts, the contract being governed by and construed in accordance with Portuguese Law. The tribunal of Lisbon shall have jurisdiction to hear any dispute under this agreement.

ARTICLE 15. – VARIOUS

The provisions of the present contract cancel and replace all declarations, negotiations, commitments, oral or written communications, assumptions, prior agreements and understandings between the parties on the measures concerned by the contract or for which it provides.

[1] Neither party shall incur any liability to the other in the event that it is delayed in the performance of its obligations under the contract solely by force majeure, where “force majeure” shall mean any cause of delay beyond the reasonable control of the party liable to perform unless conclusive evidence to the contrary is provided.
ARTICLE 16. – CONTACT PERSONS for the MISSION

For the Customer - Fundação para a Ciência e a Tecnologia (FCT)

<table>
<thead>
<tr>
<th>Project Management</th>
<th>Operational/Administrative matters</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name: Isabel Vitorino</td>
<td>Name: Gonçalo Zagalo</td>
</tr>
<tr>
<td>Tel n°: +351 213 924 365</td>
<td>Tel n°: +351 213 911 534</td>
</tr>
<tr>
<td>Email: <a href="mailto:isabel.vitorino@fct.pt">isabel.vitorino@fct.pt</a></td>
<td>Email: <a href="mailto:goncalo.zagalo@fct.pt">goncalo.zagalo@fct.pt</a></td>
</tr>
</tbody>
</table>

For the Services Provider - European Science Foundation (ESF)

<table>
<thead>
<tr>
<th>Project Management</th>
<th>Operational/Administrative matters</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name: Nicolas WALTER</td>
<td>Name: Valérie Allspach-Kiechel</td>
</tr>
<tr>
<td>Tel n°: +33 (0)3 88 76071 66</td>
<td>Tel n°: +33 (0)3 88 76071 36</td>
</tr>
<tr>
<td>Email: <a href="mailto:nwalter@esf.org">nwalter@esf.org</a></td>
<td>Email: <a href="mailto:vallspach@esf.org">vallspach@esf.org</a></td>
</tr>
</tbody>
</table>

All notices to be served by one of the Parties to the other party in respect of the Services under this Agreement shall be sent to the Project Manager of the other Party.

This agreement and its annexes have been drawn up in duplicate, each party receiving an original, with the Agreement and Annex A duly initialled and signed by both parties.

For the Customer:

Fundação para a Ciência e a Tecnologia (FCT)

Name: Miguel Seabra
Function: President of the FCT
Date: 10/04/2014

Signature: 

For the Service Provider:

European Science Foundation (ESF)

Name: Martin Hynes
Function: ESF Chief Executive
Date: 7/4/2014

Signature:

ANNEX A: Approved WORKPLAN (initialled and signed by both parties)
ANNEX B: FCT Guide for Evaluation of R&D Units
FCT Evaluation and Funding of R&D Units

WORKPLAN AND BUDGET FOR PEER REVIEW AND PROCESS SUPPORT

A – CONTEXT AND GENERAL APPROACH

This document presents the approach that ESF and FCT will implement in the frame of the evaluation of FCT’s R&D Units in 2014.

General Principles- Review Panels and Collegiality
The evaluation will be based on the work, assessment, discussions and deliberations of seven independent Review Panels, of which six are disciplinary-oriented and one will consider transdisciplinary research plans. These panels and their disciplinary coverage are listed below

Panel 01: Exact Sciences
A Chemistry
B Materials Science and Engineering
C Mathematics
D Nanoscience and Nanotechnology
E Physics

Panel 02: Engineering Sciences
A Bioengineering
B Biotechnology
C Chemical Engineering
D Civil Engineering
E Computer Science and Engineering
F Electronics and Electrical Engineering
G Mechanical Engineering and Engineering Systems

Panel 03: Health and Life Sciences
A Biochemical Sciences
B Biomedicine
C Clinical Research
D Diagnostic, Therapies and Public Health
E Experimental Biology
F Immunology and Infection
G Neurosciences, Ageing and Degenerative Diseases

Panel 04: Natural and Environmental Sciences
A Agricultural and Forestry Sciences
B Animal Science and Veterinary Science
C Bio-based Product Technology or Food Sciences
D Biological Sciences or Environmental Biology
E Environmental Sciences
F Geosciences
G Marine Sciences and Technologies

MAN.
Panel 05: Social Sciences
A  Anthropology
B  Business
C  Demography
D  Economics
E  Educational Sciences
F  Finance
G  Geography
H  Law
I  Political Science
J  Sociology

Panel 06: Humanities
A  Archaeology
B  Architecture and Urbanism
C  Communication and Information Sciences
D  Design
E  Art Studies
F  Heritage and Museology
G  History
H  Linguistics
I  Literary Studies
J  Philosophy
K  Psychology

Panel 07: Transdisciplinary Panel

Review Panels will be constituted by international seasoned experts of the highest standard who have a wide view and whose knowledge cut across the domains covered by their Review Panel. In order to guarantee their capacity to assess all the elements of the research plans submitted by FCT research units, and besides their high scientific profiles, Review Panel members will all have good knowledge and experience in management of scientific structures as they will all be directors/heads of laboratories, groups and/or institutes.

Overall, 75 Review Panel members will be appointed and participate in the exercise. It is felt appropriate to allocate 9 applications/ Review Panel members on average, this would allow not only a good match between the RP expertise and the proposals but also that the required time to assess proposals is ensured.

Panel 7 will be constituted by 2-3 members (ideally including the chair) of the six disciplinary panels. This panel will be in charge of assessing the research plans that have been submitted and identified as cutting across research domains of several panels.

In addition, to ensure the independence of the Review panels:

- No Review Panel member will be affiliated with a Portuguese research institution/

- All Review Panel members will conform with the conflict of interest guidelines expressed by FCT.
During Stage 1, while individual research plans will be assessed by different groups of experts before the Review Panel meetings, all research plans attributed to a given Review Panel will be presented to and discussed by all members of the Review Panel. Therefore, the final evaluation reports will present the consensus and position of panels and not of individuals who each had a limited involvement in the whole process. Meeting agenda will allow enough time to discuss all research plans at the required level of details.

During the meeting, all proposals will be shortly presented by the rapporteurs and they will then present their assessment and marks. Then proposals and final marks will be discussed by all panel members who will converge on a common position. Panel members will also raise specific questions that will have to be addressed during stage 2 site visits.

Lead Rapporteurs will be invited to start writing their final consensus reports, taking into account Panel discussions, immediately at the end of the meeting (some time will be included for this). It can be expected however that the last reports may only be provided in the days following the meeting or that some may require polishing.

**General Principles – Conflict of Interest**

All Review Panel members and external referees will conform with the following Conflict of interest guidelines (from FCT's Evaluation Guide). Circumstances that could be interpreted as a disqualifying conflict of interest are laid down in the following criteria:

1. First-degree relationship, marriage, life partnership, domestic partnership;
2. Personal interest in the application’s success or financial interest by persons listed under no.1;
3. Current or planned close scientific cooperation;
4. Dependent employment relationship extending five years beyond the conclusion of the relationship;
5. The affiliation or pending transfer to the research unit or to a participating institution;
6. Researchers who are active in a council or similar supervisory board of the applying institution are excluded from participating in the review and decision-making process for applications originating from this institution;

A potential conflict of interest may exist, even in cases not covered by the clear disqualifying conflicts indicated above, in the following circumstances:

7. Relationships that do not fall under no. 1, other personal ties or conflicts;
8. Financial interests of persons listed under no. 7;
9. Participation in university bodies other than those listed under no. 6, e.g. in scientific advisory committees in the research environment;
10. Research cooperation within the last three years, e.g. joint publications;
11. Preparation of an application or implementation of a project with a closely related research topic (competition);
12. Participating in an on-going scientific or inter-personal conflict with the applicant(s).

Before starting the evaluation of each application, and in order to be able to access the evaluation form, experts will complete a *Col Declaration*. 
**General Principles – Confidentiality**

All actors involved in the evaluation process will be required to consider and treat all information provided as confidential, this includes:
- the content of the research plans submitted
- the composition of Review Panel members
- the identity and affiliation of external referees
- the supporting documents and information provided
- all other information provided in the frame of this evaluation.

Review Panel members, external experts and potential additional individuals (e.g. observers) will be required to provide a non-disclosure agreement to the ESF office.

**General Principles – Assessment Criteria**

Stage 1 assessment will be based on the four following criteria
- Productivity and contribution to the National Scientific and Technological System (NSTS);
- Scientific and technological merit of the research team;
- Scientific merit and innovative nature of the strategic programme;
- Feasibility of the work plan and reasonability of the requested budget

During Stage 2, an additional criterion will be considered:
- Impact of the scientific, technological and cultural output

Criteria will be marked out of five with the following guidelines:
- 5 - Excellent (All relevant aspects of the assessment criteria successfully addressed. Any shortcomings are minor)
- 4 - Very Good (Assessment criteria very well addressed/met, although certain improvements are still possible)
- 3 - Good (Assessment criteria well addressed/met, although improvements would be necessary)
- 2 - Fair (Assessment criteria broadly addressed, however there are significant weaknesses)
- 1 - Poor (Assessment criteria addressed in an inadequate manner, or there are serious inherent weaknesses)

All principles presented in the document **FCT Evaluation Guide** will be respected.

**General Principles – Stage 1 Assessment**

During Stage 1, the evaluation is based on the work and assessment of four independent experts: two external peers (subject-specific review) and two members of a given Review Panel (domain-specific Review). Stage 1 assessments will be structured as follows:

- For each research plan, two external referees will be identified and appointed, these experts will be complementing each other and will hold detailed expertise that will allow to consider thoroughly the science put forward in the research plan, they will also have some experience in science teams/units management. External referees will provide their assessment online and will not participate to any physical meeting.
External referees will have to conform with the same guidelines as the Review Panel members (no affiliation with a Portuguese institution, compliance with Conflict of Interest guidelines). If, and only if complying with the independence requirement and of the adequate scientific level, one of the two external referees may have been suggested by the research unit itself. Adequacy of suggested experts will be assessed by ESF.

- For each research plan, two review panel members will be appointed as rapporteurs. The secondary rapporteur will provide his/her assessment of the research plan in parallel with the external referees.

- Once the three assessments (two from the external referees and one from the secondary rapporteur) have been provided online, the coordinator of the research unit will have the possibility to comment on factual points put forward in these assessments. This rebuttal phase will be completed online.

- Once all three assessments and the rebuttal comments will be available, the lead rapporteur will complete the pre-synthesis of the information provided AND his/her own assessments.

- All information will be made available to the Review Panel in advance of the meeting.

- Review panels will meet physically and discuss each research plan and reach consensus on
  o marks for each criterion and comments to be put forward to the research unit
  o specific issues to be considered during stage 2 evaluation
  o recommendations on the intensity level and share applied/fundamental research of each research units.

Stage 1 evaluation will result in a shortlist of half of the research units that will be selected to proceed to Stage 2.

General Principles – Stage 2 Assessment
In addition to the support to stage 1 evaluation, ESF will also follow-up and provide support to stage 2, in particular to the site visits. This phase will however be coordinated and implemented by FCT.
B – TECHNICAL APPROACH - WORK BREAKDOWN STRUCTURE

Under the supervision of a Senior Science Officer and a Principal Officer, the ESF office will set-up a team of science officers (panel secretaries) who will coordinate, monitor and implement the independent scientific assessment. This assessment will be structured as delineated by the following Work breakdown structure.

WORK PACKAGE 0.1 – PROJECT MANAGEMENT – Stage 1
The overall process will be supervised by a Senior Science Officer and a principal officer who will regularly report to the ESF chief executive on one side and with FCT representatives on the other. The ESF project management team will be supported by one senior administrator.

WORK PACKAGE 1 – IT INFRASTRUCTURE AND ONLINE PLATFORM

Task 1.1 – Configuration of the existing IT platform

Starts: 10 December 2013
Ends: 20 January 2014

This task will involve providing an efficient and user-friendly online platform for all the actors of the initiative:
- ESF Staff – for all operational issues, including call and assessment management
- FCT office – for monitoring purposes
- Applicants – for submitting rebuttal
- Review Panels members – for accessing applications as well as rebuttal and for submitting their assessment and synthesis reports
- external referees – for accessing full applications and for submitting their assessment reports

WORK PACKAGE 2 – SETTING-UP THE REVIEW STRUCTURE

Task 2.1 – RP members’ guidelines and documentation

Starts: 10 January 2014
Ends: 17 March 2014

This task involves the production of all documentation required for RP members
- Review Panel members background information: information about the FCT evaluation exercise as well as about review panel members’ mandates (including conflict of interest and non-disclosure)
- Review process: detailed explanation of the review approach and steps, explanation about what is expected from Review Panel members, evaluation criteria and how meetings will be held and structured.
- Forms: all forms that will be used in the process (e.g. submission, assessment, rebuttal; conflict of interest)
- IT guidance notes: technical information about the use of the IT platform

These documents will be made available to the RP members in order to assist them in the whole process.
Task 2.2 – Identification and invitation of RP members

Starts: 1 January 2014
Ends: 17 March 2014

This task will involve the identification and appointment of the members of the six disciplinary review panels and the interdisciplinary Review Panel.
This task will also involve the identification and appointment of the Review Panel chairpersons. Review panel members will be identified by ESF Science Officer and Senior Science Officers who will be serving as panel secretaries.
List of Review Panels members will be made public on FCT’s website after the evaluation process.

Milestone:
All Review Panel constituted and chairpersons identified: 17 March 2014

Deliverables:
D2.1: Composition of Review Panel members – 17 March 2014

WORK PACKAGE 3 – EXTERNAL PEER REVIEW

Task 3.1 – External Peers guidelines and documentation

Starts: 6 January 2014
Ends: 17 February 2014

ESF will develop a short set of Guidelines for external peers for on-line consultation during the review process, detailing expected type of input and assessment criteria.

Task 3.2 – External Peers identification, assignment, invitation and follow-up

Starts: 8 January 2014
Ends: 24 March 2014

This task will commence immediately once all applications are made available to ESF. The aim will be, for each proposal, to secure two external peers who hold an expertise relevant to the subject and will perform a specialised review of the application. This external evaluation will be based on criterion put forward by FCT in its regulation.

Experts will be contacted as soon as identified and asked, on the basis of the abstract of the proposal, if they are willing to act as reviewer. All reviewing will be done on-line, via a secure website. Remote Referees appointed by ESF will be asked to make a declaration of absence of conflict of interest, and confidentiality will be requested using the standard ESF statement employed by ESF in peer reviewing exercises before allowing the access to complete proposal. Referee suggested by applicants will be identified as such and also requested to comply with non disclosure requirements.
It is expected that some experts will decline or drop out and new ones will need to be sought, thus the invitation phase overlaps also with the collection phase.

Milestones:
Deadline for the identification of all external peers: 24 March 2014
Task 3.3 — External referees’ and secondary Rapporteurs’ assessments monitoring

Starts: 17 February 2014
Ends: 30 April 2014

ESF will collate assessments and check them for completeness and substantiation in line with the agreed criteria.

Milestones:
- Start of remote assessment phase: 17 February 2014
- Deadline for remote assessment collection: 30 April 2014

Deliverables:
- D3.1: Compilation of external referees’ assessment reports – 6 June 2014

Task 3.4 — Rebuttal

Starts: 05 May 2014
Ends: 19 May 2014

At the end of the external evaluation period, applicants will have access to the anonymised external evaluation reports (from external referees and secondary rapporteurs). Applicants will have the opportunity to provide a one-page answer to the evaluation performed, to correct factual errors or misunderstandings on the part of the remote referees and secondary rapporteurs. This answer will be submitted online.

Deliverables:
- D3.2: Compilation applicants’ rebuttal reports – 6 June 2014

WORK PACKAGE 4 – CONSENSUS

Task 4.1 – Assignment of applications to RP members

Starts: 5 March 2014
Ends: 24 March 2014

This task deals with the attribution of applications to two RP members, on lead and one secondary. Rapporteurs will be appointed based on their expertise and the subject of the application.

Task 4.2 – Communication of external reviews to lead rapporteurs

Starts: 14 April 2014
Ends: 30 April 2014

ESF will first upload all external reviews onto the Panel platform, where applications will also be available. In addition, bibliometric analysis reports (one/research unit) provided by FCT will also be uploaded and made available to Panel Members. All Panel members will be invited to read all proposals and linked material in preparation of the discussion at the Consensus meeting.
Task 4.3 – Lead Rapporteur assessment and pre-synthesis reports production

Starts: 7 April 2014
Ends: 20 May 2014

Lead Rapporteurs will be asked to i) assess their proposals and ii) provide a pre-synthesis report taking into account the inputs of the two external referees, of the secondary rapporteur, the rebuttal provided by the research unit and his/her own assessments. This synthesis will be made available to other RP members in advance of the meeting.

Task 4.4 – Consensus meeting organisation

Starts: 17 January 2014
Ends: 25 May 2014

This task deals with organising and holding the consensus meeting. The (seven) meetings are expected to be held in conjunction in Amsterdam, all logistics and operational matters will be performed by the ESF staff. ESF will also provide the panel secretaries who will have been involved in their panel’s matters since the beginning of the exercise. The ESF panel secretary will contact the panel chair and coordinate with him/her in advance of the meeting in order to smooth and optimise the process.

Milestones:
Consensus Meeting: 26-29 May 2014
Deadline for submission of Final Consensus Reports by Lead Rapporteurs: 31 May 2014

WORK PACKAGE 5 – FINAL FEEDBACK AND RIGHT TO ANSWER

Task 5.1 – Compilation of assessment packages and feedback to FCT

Starts: 31 May 2014
Ends: 6 June 2014

This task involves the compilation of all review information and the provision of document package as agreed between FCT and ESF.

Milestones:
Final feedback provided to FCT: 6 June 2014

Deliverables:
D5.1: Compilation of panels’ consensus reports - 6 June 2014 (with reporting package)

Task 5.2 – Right to answer (Second Rebuttal)

Starts: 6 June 2014
Ends: 6 August 2014

Through this task, research units will have the opportunity to answer and address formal feedback and complaints on the recommendations of the Review Panel. These feedbacks and comments from research units will be expressed online on FCT platform before 6 July 2014. Once submitted, research units will receive an email attesting that their comment has been received (with full text and date/time of submission).
This phase will address mainly administrative issues and complaints. However, if any major scientific flaw is detected, then the complaints will be assessed again by the evaluation panel.

**Deliverables:**

D5.2 (if any): **Compilation of panel feedbacks following second rebuttal** - 6 August 2014

**WORK PACKAGE 6 – SUPPORT TO STAGE 2 EVALUATION**

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

Stage 2 will be organised between June and November 2014.

**Task 6.1 - Preparation of site visits and documentation**

*Dates TBD*

This task covers the preparation of the site visits agenda, methodology and documentation. It will be performed in close relation with FCT and will heavily rely i) on the information produced during stage one (proposal, external reviews, rebuttal, consensus statement, feedback on panel recommendation) and ii) on specific information requested by the panel during the consensus phase (three to five specific questions that the Research Unit will be asked to answer online before the visit). All this information will be compiled in one document/Research Unit to be visited.

The ESF will work closely with FCT to define the main principles of site visits (general agenda structures, meeting with all/part of the staff etc...). The ESF Panel secretary will be in charge of producing the visit agenda with the visit co-chairs (research unit rapporteurs) and FCT staff. ESF will not look after logistics and practical meeting organisation issues (done by FCT). Together with the agenda, the ESF Panel secretary will also provide meeting guidelines (i.e. sessions content, objectives, key questions to be addressed.)

**Deliverables:**

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

- Proposal
- External assessments
- Rebuttal statement
- Consensus report
- Feedback on consensus decision (If any)
- Contribution received on (3-5) panel questions
- Meeting Agenda and guidelines

**Task 6.2 – Support to site visits**

*Dates TBD*

Site visits are expected to last three days with six research units visited on average during each visit (two/days). Each site visit will be attended by four experts: the lead rapporteur (appointed during stage 1 or after if needed), the secondary rapporteur and two additional experts identified and appointed by FCT. The visit will be chaired by the lead.
The Secondary rapporteur will be appointed as visit rapporteur and will be in charge of producing a short visit report. Visit reports will be provided online and will suggest a recommendation for ranking, visit reports will be validated by the lead rapporteur and the panel chair.

The ESF panel secretary will attend site visits as observer, he/she will not intervene in the discussion with member(s) of the Research unit or between panel members. However, he/she will be able to provide inputs and advice on methodology at any stage of the visit.

Milestones:

Site visits: date TBD

Task 6.3 – Final Evaluation meeting

Dates TBD

Following all visits, review panel will reconvene in order to integrate the outcomes and findings of stage. Based on the visit reports (made available on ESF platform), a final consensus will be made on the actual final ranking of a research unit (exceptional, excellent, very good, good) and, if required, the visit reports will be updated.

Milestone:

Final evaluation meeting: date TBD

Deliverables:

D6.2: Compilation of final visit reports and list of Research Unit with ranking.

/...
### STAGE 1

<table>
<thead>
<tr>
<th>WP</th>
<th>Milestone</th>
<th>Deliverables</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>NA</td>
<td>NA</td>
</tr>
<tr>
<td>2</td>
<td>All Review Panel constituted and chairpersons identified: 17 March 2014</td>
<td>D2.1: Composition of Review Panel members – 17 March</td>
</tr>
<tr>
<td></td>
<td>- Deadline for the identification of all external peers: 24 March 2014</td>
<td></td>
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<tr>
<td></td>
<td>- Final deadline for remote assessment collection: 30 April 2014</td>
<td>D3.2: Compilation applicants' rebuttal reports – 6 June 2014</td>
</tr>
<tr>
<td>3</td>
<td>- Consensus Meeting: 26-29 May 2014</td>
<td></td>
</tr>
<tr>
<td></td>
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<td></td>
</tr>
<tr>
<td>4</td>
<td>Final feedback provided to FCT: 6 June 2014</td>
<td>D5.1: Compilation of panels' consensus reports – 6 June 2014 (with reporting package)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>D5.2 (if any): Compilation of panel feedbacks following second rebuttal – 6 August 2014</td>
</tr>
</tbody>
</table>

### STAGE 2

<table>
<thead>
<tr>
<th>WP</th>
<th>Milestone</th>
<th>Deliverables</th>
</tr>
</thead>
<tbody>
<tr>
<td>6</td>
<td>Site visits – June-November 2014</td>
<td>D6.1 (one/research unit visited): Site visit documentation packages. Please refer to WP6 for details on the content of the package.</td>
</tr>
<tr>
<td></td>
<td>Final evaluation meeting - date TBD (November-December)</td>
<td>D6.2: Compilation of final visit reports and list of Research Unit with ranking</td>
</tr>
</tbody>
</table>
C – BUDGET

Stage 1
To set-up a realistic budget for Stage 1, the ESF office worked with the following assumptions:
- Number of applications submitted: 325
- Total number of Review Panel Members: 75 (on 7 panels)
- Travel cost for ESF Staff (Review panel meetings): 600€/staff member
- Travel cost for ESF Staff (meeting with FCT): 900€/staff member
- One meetings of the review panels

Based on these assumptions, the total cost of stage 1 represents 202 602 €.
This cost includes:
- ESF Staff costs: 169 915 €
  Note: considering the strategic importance of the matter for FCT, seasoned ESF senior staff and specialists will be involved in the initiative. The overall workforce effort for Stage 1 is 523 days, representing 1.6 days of work/proposal.
- ESF overheads (15% on staff costs): 25 487 €
- Travel costs for ESF staff: 7 200 € (6 RP meetings and 4 project management meetings)

Stage 2
To set-up a realistic budget for stage 2, the ESF office worked with the following assumptions:
- Number of Research Units selected for Stage 2: 163
- Number of research Unit visited/day: 2
- Length of site visits: 3 days
- Number of site visits: 27
- ESF Science Officer time to prepare the visit of a Research Unit: 0.6 day

Based on these assumptions, the total cost for phase 2 support is estimated to represent 109 592 €.
This cost includes:
- ESF Staff costs: 95 297 € (the overall workforce effort for Stage 2 is 249 days, representing 1.5 days of work/Research unit visited – including participation to the visit).
- ESF overheads (15% on staff costs): 14 295 €

=> All ESF staff travel costs for Phase 2 will be processed and financed directly by the FCT.

The undersigned hereby approve the present Work Plan as Annex A to the ESF/FCT Service Agreement (ref. 2014/P-FCT1):

For the Customer:
Fundação para a Ciência e a Tecnologia (FCT)
Name: Miguel Seabra
Function: President of the FCT

For the Service Provider:
European Science Foundation (ESF)
Name: Martin Hynes
Function: ESF Chief Executive

Signature: ___________________________  Signature: ___________________________
EVALUATION GUIDE

FCT Evaluation of R&D Units 2013

31 July 2013
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1. Introduction

FCT mission

Fundação para a Ciência e a Tecnologia, I.P. (FCT), the Portuguese Foundation for Science and Technology, is the public agency responsible for implementing the science and technology policy of the Portuguese government.

FCT promotes excellence, innovation and international competitiveness across all areas of scientific research.

FCT supports, funds and assesses the brightest minds, ground-breaking ideas and internationally competitive research centres. FCT aims to create a talent-base of researchers through sustainable advanced training and science careers of excellence; foster international competitiveness and visibility of scientific research and innovation carried out in Portugal; encourage knowledge transfer between R&D centres and businesses; allow access of the scientific community to state-of-the-art infrastructures and support the development of internationally leading research centres.

FCT’s main functions are:
- to promote, evaluate, fund and accompany research units, programmes, projects, advanced education and training and science careers;
- to promote and support infrastructures for scientific research and technological development;
- to promote the diffusion of scientific and technological culture and knowledge;
- to stimulate availability, interconnection and reinforcement of up-to-date science and technology information sources.

FCT funds all areas of knowledge, including exact, natural and health sciences, engineering, social sciences and humanities.

Funding of R&D Units

Most of the Portuguese scientific research is carried out in R&D Units (of which some have the statute of Associate Laboratories) funded and evaluated by FCT. There are currently 293 R&D Units and 26 Associate Laboratories, where over 22 000 researchers develop their work.

The research carried out at these institutions encompasses all fields of science and is organized in 47 scientific areas that cover the 4 scientific domains corresponding to the Scientific Councils of FCT (cf. Annex I):
- Life and Health Sciences;
- Exact Sciences and Engineering;
- Natural and Environmental Sciences;
- Social Sciences and Humanities.

R&D institutions are regularly evaluated by FCT, with a periodicity of about 5 to 6 years. Evaluation involves international panels of scientists recognized in their fields of research. The results of each evaluation determine the funding of the R&D Units.

Each evaluation process entails a public announcement detailing specific aspects of the call including requirements that applicants should fulfill and the evaluation criteria to be applied. The rules under which the applications and the accepted proposals are governed are stated in public documents available on the FCT website.
2. 2013 Evaluation of R&D Units

Objectives and main criteria

The 2013 R&D Units evaluation call is the FCT’s foremost funding instrument for promoting quality in research performed in Portugal. Establishing R&D Units with long-term and stable funding gives the institutions an opportunity to restructure their research activities and develop new collaborative relationships to enhance their position on the international research front.

A high level of scientific merit, by international standards, is the main criterion used to assess and to prioritise funding. This criterion applies to the past and future planned research activities as well as to the R&D Unit’s research team.

Main features

The 2013 evaluation process will consist of a complete assessment of all R&D Units in order to ensure the funding model of these institutions. The allocated funding is intended to guarantee the concretion of activities that can enhance the R&D Units and establish or broaden the conditions for a better achievement of their goals, to strengthen the strategic activities of the R&D Units of recognized merit, and to financially complement the research and development activities developed by each R&D Unit.

The funding of the R&D Units will be divided into two major components:

1. A **core funding component**, to be allocated to R&D Units classified as “Good” or above according to the classification obtained by each R&D Unit in the evaluation process, indexed to the size of the R&D Unit (considering the number of integrated PhD researchers) and to a correction factor corresponding to the level of laboratory intensity. (Please see Annex II).

2. A **strategic funding component**, to be allocated to R&D Units classified as “Exceptional”, “Excellent” or “Very Good” according to the recommendations of the evaluation panels.

The current periodic evaluation of each R&D Unit should take into account two major aspects:

1. The scientific and technological activities undertaken since the last periodic evaluation (2007/2008);
2. The research strategies and planned work for the next six years, which should be consolidated as a strategic programme.

All R&D Units are expected to meet the Mission Statements (see annex III) of their corresponding scientific domain with the highest possible standards. Consequently, it is expected that all R&D Units selected for funding in the evaluation process meet these standards.
After completion of the whole evaluation process, the assessment of R&D Units is valid for a period of six years. However, all R&D Units will be subject to mid-term evaluations that can result in a proposal to change the obtained classification and therefore, the attributed funding.

The Public Announcement of the evaluation process is publicized on FCT’s website and disseminated by a mass email to all R&D Units directors.

Application Components

Applications are submitted online via a specially designed FCT Web application. A single submission of the full proposal is followed by a two-step evaluation process. The content of the application should be written in English, and a version in Portuguese of the Title and the Summary is also required.

The two main elements to be provided in the application are the R&D Unit’s Performance Indicators for 2008-2012 and the Strategic Programme for 2015-2020. All elements will be subject to evaluation in regards to these two main elements.
3. Evaluation Criteria and Scoring System

General Evaluation Criteria

The evaluation process is based on the following main criteria:
A. Productivity and contribution to the National Scientific and Technological System (NSTS);
B. Scientific and technological merit of the research team;
C. Scientific merit and innovative nature of the strategic programme;
D. Feasibility of the work plan and reasonability of the requested budget;
E. Impact of the scientific, technological and cultural output.

Application of these criteria shall take into account, among other considerations, the following aspects:

A. For criterion A:
   i.) Research outputs; knowledge and technology transfer activities, when applicable, giving particular importance to the registration and value of patents, models or other relevant innovation indicators;
   ii.) Contribution to the accumulation of knowledge and skills of the National Science and Technology System (expected effects and results); contribution to the advanced training of researchers; contribution to the promotion and dissemination of scientific and technological research; dissemination of results and actions to promote scientific culture, as well as participation in activities designed to promote public understanding of science, technology, art and culture; relationship between available past funding and output;
   iii.) Degree of multidisciplinarity and of internationalization, when relevant.

B. For criterion B:
   i.) Scientific productivity and merit of the results of the Unit’s research, taking into account the relevance of both current and planned research, as well as the level of internationalization of scientific activities, including publications and citations of published works or other relevant aspects;
   ii.) Skills and composition of the research team to adequately execute the proposed program;
   iii.) Ability to successfully compete for national and international research grants and contracts, including contracts with companies.

C. For criterion C:
   i.) Relevance, originality and impact of the proposed strategic programme;
   ii.) Contribution of the scientific, technological, artistic or cultural activities of the proposed programme for a smart specialization strategy of the region in which the R&D Unit is incorporated;

1. Criterion E only applies to the 2nd stage of the evaluation process.
2. For the definition of Research Output, please see Annex III.
iii.) Degree of multidisciplinarity and of internationalization, when relevant.

D. For criterion D:

i.) Organisation of the programme in terms of the proposed objectives and resources (budget, duration, infrastructures); organisation and work environment, with special focus on the adequacy of the research team’s critical mass to perform the proposed objectives and on the management of resources directed to research activities, which includes supervision of post-graduate students and post-doctoral involvement in R&D activities;

ii.) Adequacy of proposed budget to accomplish the proposed strategic programme;

iii.) Institutional resources (technical, scientific, organisational and managerial) of the participating entities. The commitment of the host institution in providing the manpower and material resources to implement the proposed programme is especially valued.

E. For criterion E:

i.) Production of knowledge likely to stimulate a knowledge-based economy and likely to be used by the productive structures, when applicable;

ii.) Contribution of the R&D Unit to the national and regional economic growth and development;

iii.) Knowledge and technology transfer and its dissemination.

The relative weighting of the subcriteria within Criteria A to E will depend on the specific research profile(s) of the R&D Units (basic research or applied research/experimental development).

Application Components

The evaluation will entail an assessment of the performance indicators since the last evaluation exercise, as well as the merit of the strategic programme. The evaluation and selection process will use diverse criteria for these 2 components of the application under evaluation. The Mission Statements (Annex III) of each scientific domain should be taken into account for the evaluation of both components.

The table below presents the relevant criteria for each of the different components of the application:

<table>
<thead>
<tr>
<th>Application Components</th>
<th>Evaluation criteria</th>
</tr>
</thead>
<tbody>
<tr>
<td>Performance Indicators</td>
<td>A. Productivity and contribution to the National Scientific and Technological System (NSTS)</td>
</tr>
<tr>
<td></td>
<td>B. Scientific and technological merit of the research team</td>
</tr>
<tr>
<td></td>
<td>E. Impact of the scientific, technological and cultural outputs (only applies to the second stage of the evaluation)</td>
</tr>
<tr>
<td>Strategic Programme</td>
<td>B. Scientific merit of the research team</td>
</tr>
<tr>
<td></td>
<td>C. Scientific merit and innovative nature of the strategic programme</td>
</tr>
<tr>
<td></td>
<td>D. Feasibility of the work plan and reasonability of the requested budget</td>
</tr>
<tr>
<td></td>
<td>E. Impact of the scientific, technological and cultural output (only applies to the second stage of the evaluation)</td>
</tr>
</tbody>
</table>
Scoring System

1\textsuperscript{ST} STAGE OF THE EVALUATION
In the 1st stage of the evaluation process, the different evaluation criteria are rated using a \textbf{5-point scale} (5 being the maximum and 1 being the minimum scores) weighted as follows:
- Criterion A – 25%
- Criterion B – 25%
- Criterion C – 25%
- Criterion D – 25%

2\textsuperscript{ND} STAGE OF THE EVALUATION
In the 2nd stage of the evaluation process, the different evaluation criteria are rated using a \textbf{10-point scale} (10 being the maximum and 1 being the minimum scores) weighted as follows:
- Criterion A – 20% to 35%
- Criterion B – 20%
- Criterion C – 20%
- Criterion D – 20%
- Criterion E – 5% to 20%

The relative weighting of \textbf{Criteria A and E} depends on the specific research profile(s) of the R&D Units (basic research or applied research/experimental development). Therefore, R&D Units with a basic research profile will be assessed with a lower weighting in criteria E (i.e. 5%), which will be balanced by a higher weighting in criteria A.

In both stages, reviewers must identify strengths and weaknesses (if any) for each criterion and should provide context for their comments.

QUALITATIVE OVERALL GRADING
For the purpose of funding, all R&D Units will also be given a qualitative overall grading at the end of the evaluation process.

In the \textbf{1st stage of the evaluation process}, a qualitative overall grading should be immediately attributed to the R&D Units whose applications are not pre-selected to the 2nd stage. In this case, the grading is arithmetically calculated according to the overall sum of all four evaluation criteria ratings (see table below).

In order to qualify for the \textbf{2nd stage of the evaluation process}, R&D Units must receive a rating of $\geq 15$. 

In the **2nd stage of the evaluation process**, the qualitative overall grading should be based on the evaluation committee's own judgment of the general merit of each R&D Unit, after the visit/interview, without resorting to any sort of quantitative algorithms based on the ratings attributed to each individual criterion.

<table>
<thead>
<tr>
<th>Grade</th>
<th>Description</th>
<th>1st Stage Cumulative Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>Exceptional</td>
<td>R&amp;D Unit recognized as an international reference for its scientific and technological output and exceptional contributions to its area of research</td>
<td>≥ 15¹</td>
</tr>
<tr>
<td>Excellent</td>
<td>R&amp;D Unit distinguished by the high quality and international merit of its scientific and technology output and with significant contributions to its area of research</td>
<td>≥ 15¹</td>
</tr>
<tr>
<td>Very Good</td>
<td>R&amp;D Unit with high quality and national merit and with significant contributions of international relevance in its area of research</td>
<td>≥ 15¹</td>
</tr>
</tbody>
</table>
| Good     | R&D Unit with quality at the national level, reduced internationalization and some contributions to its area of research | < 15
> 12² |
| Fair     | R&D Unit without significant contributions to its area of research          | ≤ 12
> 11³ |
| Poor     | R&D Unit without contributions to its area of research and with other weaknesses. | < 11 |

1 Additionally the application must score at least 4 points in each of the ratings of criteria A and C, and it must also score at least 3 points in each of the ratings of criteria B and D.
2 Additionally the application must score at least 3 points in any of the four evaluation criteria ratings.
3 Additionally the application must score at least 3 points in each of the ratings of criteria A and C, and it must also score at least 2 points in each of the ratings of criteria B and D.
4. Evaluation Committees and Stages

The evaluation process of eligible applications comprises two stages. At each stage different subcommittees carry out differentiated assessments towards a final evaluation.

1ST STAGE OF THE EVALUATION
The first stage of the evaluation process focuses only on the application forms submitted by each R&D Unit and it consists on a pre-selection procedure to identify the R&D Units that gather the minimum requirements for the more detailed assessment that takes place in the second stage of the evaluation. The 1st stage of the evaluation will also serve as a preparation for the 2nd stage for the R&D Units that are pre-selected to go through.

Applicants may propose up to three names of experts whom they consider to be qualified to assess the application.

Evaluation Panels and Working Groups

- All applications will be subjected to scientific evaluation distributed by four panels, which are responsible for the preliminary remote reviewing of all applications. This distribution is in accordance with the four major scientific domains under the aegis of the Scientific Councils of FCT.
- The constitution of the evaluation panels will take into consideration the number of applications for each scientific domain, a good gender balance as well as a fair geographic and institutional distribution of evaluators. The composition of the evaluation panels will be published in the FCT website.
- The members of each panel will, in turn, be distributed by several workgroups of four elements each. Every workgroup will be responsible for the remote assessment of about 10 proposals in a given scientific area.
- All workgroups members should consider possible conflicts of interest and observe the confidentiality statements (see section 5. “Confidentiality and Conflicts of Interest”).
- One member of each workgroup will be designated the coordinator of the workgroup. Optimally the workgroup coordinator will also be a member of one of the evaluation panels of the 2nd stage of the evaluation.
- R&D Units that have explicitly indicated an interdisciplinary profile in the application form will be remotely reviewed by more than one workgroup.
Individual Reviews

- Up to 5 individual reviews will be remotely prepared for each application, according to the evaluation criteria of the 1st stage of the evaluation (see section 3, "Evaluation Criteria and Scoring System").
- All 4 members of the workgroup will remotely elaborate an individual review for each one of the 10 proposals assigned to the workgroup.
- One of the three experts indicated by each R&D Unit will be invited by FCT to elaborate a individual review.
- Both workgroup members and experts must submit their individual reviews for each proposal in the Individual Reviewer Evaluation Form and lock them. These should include:
  - the rating (on a scale of a minimum of 1 to a maximum of 5) and comments for each of the four evaluation criteria;
  - a general comment on the application;
  - specific directions and suggestions for the 2nd stage of the evaluation.

The reviews should take into account the following guidelines:

- the explanatory comment for each criterion should be succinct but substantial. This comment should address the relative importance of the criterion and the extent to which the application actually meets the criterion;
- Comments should also be impeccably polite. If so decided by the workgroup, individual comments may be reproduced totally or partially in the feedback to the applicants;
- confidential comments to the workgroup can also be provided.

Both ratings and comments are critically important. The individual review ratings and comments are the starting point for the consensus report.

Consensus Reports

- One member of the workgroup will be designated the coordinator of the workgroup, while the remaining three members will be designated to elaborate the consensus reports for a given number of applications (the experts suggested by each R&D Unit will not coordinate nor write the consensus reports, but should also take part in the discussions).

- Each member of the workgroup designated for this task should prepare a consensus report based on the individual reviews submitted beforehand and on their remote discussion by the different reviewers. These reports, which will constitute the 1st stage feedback to the applicants, should be submitted in the Consensus Report Evaluation Form, and should include:

  - the rating (on a scale of a minimum of 1 to a maximum of 5) and the comments for each of the four criteria;
- the validation of the research profile(s) (basic research, applied and/or experimental development research) indicated by each R&D Unit in the application form;
- the validation of the laboratorial intensity levels (see Annex V) indicated by each R&D Unit in the application form since it will have direct implications on the core funding component awarded;
- a general comment on the application, to be transmitted to the applicants, and which can include questions to be answered in the 2nd stage of the evaluation;
- specific directions and suggestions for the evaluation panels of the 2nd stage of the evaluation (which will not be transmitted to the applicants, but will serve to elaborate the schedules for the visits to the R&D Units or interviews with the applicants in the 2nd stage);
- confidential comments to FCT, if necessary;
- all comments should take the form of a statement with respect to the criteria under evaluation; the general comment should specify the key strengths and weaknesses (if any).

Both ratings and comments are critically important. The consensus reports' comments will constitute the feedback to be transmitted to all applicants in the 1st stage of the evaluation process.

- The coordinator of the workgroup will be in charge of arbitrating the discussions of each application and the corresponding consensus reports.

Results and Rebuttal

- All applicants will receive the consensus reports comments, regardless of being pre-selected or not to the 2nd stage of the evaluation process. The candidates whose applications will not be selected for the 2nd stage of the evaluation will also receive the individual ratings attributed to each evaluation criteria in their corresponding consensus report.

- The R&D Units whose applications are selected for the 2nd stage will only receive their qualitative overall grading at the end of the whole evaluation process. In order to be selected for the 2nd stage of the evaluation process, an application must:

  (a) Score at least 15 points in the overall sum of all four evaluation criteria ratings;
  (b) Score at least 4 points in each of the ratings of criteria A and C;
  (c) Score at least 3 points in each of the ratings of criteria B and D.
The remaining applications will not be selected to the 2nd stage of the evaluation process and their corresponding R&D Units will immediately receive a qualitative overall grading (see section 3. “Evaluation Criteria and Scoring System”), according to the following standards:

- A R&D Unit will be graded as “Good” if its application:
  (a) Scores 13 or 14 points in the overall sum of all four evaluation criteria ratings;
  (b) Scores at least 3 points in any of the four evaluation criteria ratings.

- A R&D Unit will be graded as “Fair” if its application:
  (a) Scores 11 or 12 points in the overall sum of all four evaluation criteria ratings;
  (b) Scores at least 3 points in each of the ratings of criteria A and C;
  (c) Scores at least 2 points in each of the ratings of criteria B and D.

- A R&D Unit will be graded as “Poor” if its application:
  (a) Scores less than 11 points in the overall sum of all four evaluation criteria ratings;
  (b) Scores less than 3 points in each of the ratings of criteria A and C;
  (c) Scores less than 2 points in each of the ratings of criteria B and D.

- After the end of this 1st stage of the evaluation exercise, all applicants will have the opportunity to prepare responses to the assessments and comments contained in the received consensus reports (rebuttal phase). When applicable, these responses should be taken into account by the evaluation committees of the 2nd stage of the evaluation.

- In accordance with the Portuguese law, the candidates will also have the right to submit a prior hearing, within 10 days after notification of the results, which should be answered before the beginning of the 2nd stage of the evaluation process.

2nd STAGE OF THE EVALUATION
The second stage of the evaluation process consists mainly on a more detailed assessment – preferentially undertaken under the form of site visits or through interviews with the Unit directors – to all the R&D Units that have been pre-selected in the first stage of the evaluation, and the corresponding reports and final qualitative overall grading.

Evaluation Panels

- Site visits to all R&D Units, or an interview with their representatives, will be undertaken by specialized evaluation panels. The distribution of the panels will take in account the main scientific areas of the R&D Units.
- Each evaluation panel will be composed by 4 or 5 specialists of internationally recognized merit and competence. The constitution of the evaluation panels will take into consideration the number of applications for each scientific area, a good gender balance as well as a fair
geographic and institutional distribution of evaluators. The composition of the evaluation panels will be published in the FCT website.

- The coordinators of the workgroups of the 1st stage of the evaluation process should be part of the evaluation panels of the 2nd stage.
- Each evaluation panel will visit **up to 10 R&D Units** or perform interviews with their directors and representatives.
- One of the members of each panel will be designated the **panel chair**. The panel chair will be a regular member of the panel with the added duties of coordinating and moderating the site visits or interviews, of elaborating the panel reports, and of conveying the results of the discussions to the Board of Directors of FCT. In designating the panel chairs, preference will be given to coordinators of the workgroups of the 1st stage of the evaluation process.

- FCT will also designate **one or more observers** for the 2nd stage of the evaluation process. The observers will not take part in the assessment of the R&D Units, nor will he or she be integrated in any evaluation panel, but will work in close contact with the evaluation panels chairs. The role of the general observer will be to ensure the consistency of the process and to advise the panel chairs and members, if needed. The general observer will also coordinate the preparation of an overall final report with the results of the evaluation and selection process.

**Preliminary Procedures**

- All panel members should consider possible conflicts of interest and observe the confidentiality statements (see section 5. “Confidentiality and Conflicts of Interest”).

- All panel members should read all the applications submitted by the R&D Units they will assess, as well as the consensus reports of the 1st stage of the evaluation process and the responses elaborated by the corresponding applicants during the rebuttal phase.

- If considered desirable, the panel chairs should request additional relevant material to the R&D Units before the site visits or interviews take place.

- The detailed procedures for the site visits and interviews will be decided in a preliminary meeting of all panels’ chairs with the Board of Directors of FCT and will be published before the beginning of the 2nd stage of the evaluation process.

- Each panel chair is responsible, alongside the FCT personnel, to draft a short agenda for each site visit or interview, according to the specificities of each R&D Unit.
Site Visits and/or Interviews

- The detailed procedures for the site visits and/or interviews will be published before the beginning of the 2nd stage of the evaluation process. These should include, among others, meetings with the directors, research leaders and PhD students of each R&D Unit, inspections of the main facilities, observations of work routines, etc.
- All the members of each evaluation panel are supposed to participate in the site visits or interviews, which should be coordinated by the panel chair and supported by staff from FCT.
- At this stage, the evaluation panel should be able to verify and revalidate the research profile(s) (basic research, applied and/or experimental development research) indicated by each R&D Unit in the application form. At this stage, the evaluation panel should also be able to verify and revalidate the laboratorial intensity levels (see Annex V) indicated by each R&D Unit in the application form.

Final Reports and Grading

- One of the evaluation panel members will be designated by the chair to elaborate the final report for each R&D Unit; according to the evaluation criteria of the 2nd stage (see section 3. “Evaluation Criteria and Scoring System”).
- The final report should consubstantiate the overall assessment of the R&D Unit, and should take into account:
  - the conclusions drawn by the panel from the site visit or interview;
  - the consensus reports of the 1st stage, which should be consolidated at this stage;
  - the overall merit of the R&D Unit.
- The final report should be submitted in the Final Report Evaluation Form, and should include:
  - the rating (in a scale of a minimum of 1 to a maximum of 10) and the comments for each of the four criteria;
  - budget recommendations (including human resources);
  - a general comment on the application, to be transmitted to the applicants;
  - confidential comments to FCT, if necessary;
  - all comments should take the form of a statement with respect to the criteria under evaluation; the general comment should specify the key strengths and weaknesses (if any);
  - additionally, the final report should include a brief presentation of the strengths, weaknesses, opportunities and threats of each R&D Unit. This will complete the assessment of each R&D Unit and the corresponding feedback to provide to the applicants, and may also be a concrete starting point for interim evaluations.
Both ratings and comments are critically important. The final reports comments and ratings will constitute the feedback to be transmitted to all applicants in the 2nd stage of the evaluation process.

- The final report should also contain the qualitative overall grading to be attributed to the R&D Unit (see section 3. “Evaluation Criteria and Scoring System”), and which will determine the core funding to be awarded. This qualitative overall grading should be based on the evaluation panel’s own judgment of the general merit of the R&D Unit in question, without resorting to any sort of quantitative algorithms based on the different ratings attributed to each individual evaluation criterion (even if these can serve as guidelines).
- If considered necessary, the general observer for the 2nd stage of the evaluation can still decide to schedule a final meeting with all the evaluation panel chairs in order to validate and ensure the consistency of the qualitative overall grading of all the assessed R&D Units.
- At the end of the 2nd stage of the evaluation, each panel chair will also be responsible for elaborating a Panel Report, with a summary of the assessment steps and comments regarding the evaluation process, and which should be organized in two main parts:

  Part I – Evaluation, including, but not limited to:
  - working methodology adopted by the panel;
  - identification of potential Conflicts of Interest issues and their resolution.

  Part II – Recommendations to FCT, on the various aspects of the evaluation that might help FCT to improve procedures in future evaluation processes. Please refer, among other considered important:
  - comments and criticism on the application form, with suggestions for possible improvements;
  - comments on the material available to the panel members, in particular the evaluation guide;
  - strong and weak aspects of the evaluation web application;
  - strong and weak aspects of the FCT team;
  - strong and weak aspects on logistic aspects.

Feedback to the Applicants

After the 1st stage of the evaluation process, all candidates will receive the full comments included in the consensus reports on their applications, but only those whose application have not be selected to the 2nd stage will receive the individual ratings attributed to each evaluation criteria. The candidates whose applications are not pre-selected for the 2nd stage will also receive the qualitative grade attributed to their R&D Unit. The candidates whose applications are pre-selected to the 2nd stage will merely receive this additional information.
After the 2nd stage of the evaluation process, all candidates receive the full comments included in the panel reports on their applications, as well as the individual ratings attributed to each evaluation criteria. Additionally, the candidates will also receive the qualitative grade attributed to their R&D Unit.

Members of the evaluation committees are encouraged to observe the following additional guidelines regarding their reports:

- Avoid comments that give a description or a summary of the proposal;
- Avoid the use of the first person or equivalent: “I think….” or “This reviewer finds….”;
- Always use dispassionate and analytical language: avoid dismissive statements about the applicant, the proposed science, or the scientific field concerned;
- Evaluate the proposed elements and not the elements that you consider that should have been proposed.

FCT Evaluation Webpage

On both stages of the evaluation process, the username and password sent to each individual reviewer or evaluation panel gives access, through the webpage https://www.fct.mctes.pt/evaluation to the list of projects under evaluation and the corresponding evaluation forms. Please see the Instructions on the top of the menu.

For each application, the following is available and indispensable:

- a statement on Conflict of Interest;
- all information submitted in the application form. In this form, the name of each team member has a link to his/her CV and the financed projects by the same PI have a link to the project description and results;
- the information in the application form can be printed and a pdf file can be generated with it. See the links on “Print this page” and “Instructions to view and print this page” for this purpose.
- the Individual/Panel Evaluation Form;
- the possibility to SAVE the submitted evaluation report. This means that the uploaded information will be kept for future revision;
- the need to LOCK the submitted evaluation report. This means that the reviewer will no longer be able to modify the uploaded information.
- an indication of the work done and yet to be done by the reviewer or panel members.
Evaluation Timeline

The evaluation timeline is established by the FCT's Board of Directors and conveyed to the evaluation panels' chairs and members. The dates of each visit or interview are established in advance by FCT (which carries out all logistic arrangements).
5.
Confidentiality and Conflicts of Interest

Confidentiality

The confidentiality of written applications must be protected. All reviewers involved in the evaluation are asked not to copy, quote or otherwise use material contained in the applications. All reviewers are requested to sign a statement of confidentiality relative to the contents of the project applications and to the results of the evaluation.

The text to be accepted, which appears the first time each reviewer uses his/her username and password to access the evaluation area, is the following:

<table>
<thead>
<tr>
<th>STATEMENT OF CONFIDENTIALITY</th>
</tr>
</thead>
<tbody>
<tr>
<td>Thank you for participating in the scientific evaluation of R&amp;D Units submitted to the Portuguese national funding agency Fundação para a Ciência e a Tecnologia (FCT). The reader of this message pledges, on his/her honour, not to quote or use in any way, the contents of the applications, nor to make available, other than to FCT or the evaluation panel, the results of the evaluation.</td>
</tr>
</tbody>
</table>

Conflict of interest (Col)

Circumstances that could be interpreted as a disqualifying conflict of interest are laid down in the following criteria:

1. First-degree relationship, marriage, life partnership, domestic partnership;
2. Personal interest in the application’s success or financial interest by persons listed under no.1;
3. Current or planned close scientific cooperation;
4. Dependent employment relationship extending five years beyond the conclusion of the relationship;
5. The affiliation or pending transfer to the research unit or to a participating institution;
6. Researchers who are active in a council or similar supervisory board of the applying institution are excluded from participating in the review and decision-making process for applications originating from this institution;

A potential conflict of interest may exist, even in cases not covered by the clear disqualifying conflicts indicated above, in the following circumstances:
7. Relationships that do not fall under no. 1, other personal ties or conflicts;
8. Financial interests of persons listed under no. 7;
9. Participation in university bodies other than those listed under no. 6, e.g. in scientific advisory committees in the research environment;
10. Research cooperation within the last three years, e.g. joint publications;
11. Preparation of an application or implementation of a project with a closely related research topic (competition);
12. Participating in an on-going scientific or inter-personal conflict with the applicant(s).

Before starting the evaluation of each application, and in order to be able to access the evaluation form, the individual reviewer needs to complete a CoI Declaration, as follows:

**Conflict of Interest Declaration**

Please state:
- No, I have no conflict
- Yes, I have a strong conflict (see Disqualifying CoI)
- It is possible that I have a conflict (see Potential CoI)

Add any comments below.

The individual reviewer will not be able to proceed in case of a strong conflict of interest. In this case the individual reviewer is required to inform the FCT team of the situation, for project re-allocation. The final panel report must mention all Potential CoI declared.

Should a CoI emerge for any panel member, the Panel Chair should solve it supported by the FCT team and make an explicit mention of it on the panel final report.
6.
Annex I – Scientific Domains and Areas

**Life and Health Sciences**

<table>
<thead>
<tr>
<th>Scientific Area</th>
</tr>
</thead>
<tbody>
<tr>
<td>Neurosciences, Ageing and Degenerative Diseases</td>
</tr>
<tr>
<td>Immunology and Infection</td>
</tr>
<tr>
<td>Diagnostic, Therapies and Public Health</td>
</tr>
<tr>
<td>Clinical Research</td>
</tr>
<tr>
<td>Biomedicine</td>
</tr>
<tr>
<td>Biochemical Sciences</td>
</tr>
<tr>
<td>Experimental Biology</td>
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</tbody>
</table>

**Exact Sciences and Engineering**

<table>
<thead>
<tr>
<th>Scientific Area</th>
</tr>
</thead>
<tbody>
<tr>
<td>Materials Science and Engineering</td>
</tr>
<tr>
<td>Civil Engineering</td>
</tr>
<tr>
<td>Electronics and Electrical Engineering</td>
</tr>
<tr>
<td>Computer Science and Engineering</td>
</tr>
<tr>
<td>Chemistry</td>
</tr>
<tr>
<td>Biotechnology</td>
</tr>
<tr>
<td>Chemical Engineering</td>
</tr>
<tr>
<td>Bioengineering</td>
</tr>
<tr>
<td>Nanoscience and Nanotechnology</td>
</tr>
<tr>
<td>Mechanical Engineering and Engineering Systems</td>
</tr>
<tr>
<td>Physics</td>
</tr>
<tr>
<td>Mathematics</td>
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</table>

**Natural and Environmental Sciences**

<table>
<thead>
<tr>
<th>Scientific Area</th>
</tr>
</thead>
<tbody>
<tr>
<td>Animal Science and Veterinarian Science</td>
</tr>
<tr>
<td>Agricultural and Forestry Sciences</td>
</tr>
<tr>
<td>Bio-Based Product Technology or Food Sciences</td>
</tr>
<tr>
<td>Marine Sciences and Technologies</td>
</tr>
<tr>
<td>Geosciences</td>
</tr>
<tr>
<td>Biological Sciences or Environmental Biology</td>
</tr>
<tr>
<td>Environmental Sciences</td>
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</tbody>
</table>
Social Sciences and Humanities

<table>
<thead>
<tr>
<th>Scientific Area</th>
</tr>
</thead>
<tbody>
<tr>
<td>Economics</td>
</tr>
<tr>
<td>Finance</td>
</tr>
<tr>
<td>Business</td>
</tr>
<tr>
<td>Geography</td>
</tr>
<tr>
<td>Demography</td>
</tr>
<tr>
<td>Architecture and Urbanism</td>
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<tr>
<td>Sociology</td>
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<tr>
<td>Anthropology</td>
</tr>
<tr>
<td>Political Science</td>
</tr>
<tr>
<td>Law</td>
</tr>
<tr>
<td>Educational Sciences</td>
</tr>
<tr>
<td>Communication and Information Sciences</td>
</tr>
<tr>
<td>Linguistics</td>
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<tr>
<td>Archaeology</td>
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<tr>
<td>Philosophy</td>
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<tr>
<td>History</td>
</tr>
<tr>
<td>Heritage and Museology</td>
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<tr>
<td>Literary Studies</td>
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<tr>
<td>Art Studies</td>
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<tr>
<td>Design</td>
</tr>
<tr>
<td>Psychology</td>
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</tbody>
</table>
7. Annex II – Core Funding

Distribution of annual core funding according to the laboratory intensity levels, the dimension and to the final grading of the R&D Units

<table>
<thead>
<tr>
<th>Laboratory Intensity</th>
<th>Dimension</th>
<th>Exceptional (100%)</th>
<th>Excellent (75%)</th>
<th>Very Good (50%)</th>
<th>Good (10%)</th>
</tr>
</thead>
<tbody>
<tr>
<td>High (100%)</td>
<td>Large</td>
<td>400.000€</td>
<td>300.000€</td>
<td>200.000€</td>
<td>40.000€</td>
</tr>
<tr>
<td></td>
<td>Medium</td>
<td>200.000€</td>
<td>150.000€</td>
<td>100.000€</td>
<td>20.000€</td>
</tr>
<tr>
<td></td>
<td>Small</td>
<td>100.000€</td>
<td>75.000€</td>
<td>50.000€</td>
<td>10.000€</td>
</tr>
<tr>
<td>Medium (75%)</td>
<td>Large</td>
<td>300.000€</td>
<td>225.000€</td>
<td>150.000€</td>
<td>30.000€</td>
</tr>
<tr>
<td></td>
<td>Medium</td>
<td>150.000€</td>
<td>112.500€</td>
<td>75.000€</td>
<td>15.000€</td>
</tr>
<tr>
<td></td>
<td>Small</td>
<td>75.000€</td>
<td>56.250€</td>
<td>37.500€</td>
<td>7.500€</td>
</tr>
<tr>
<td>Low/Null (50%)</td>
<td>Large</td>
<td>200.000€</td>
<td>150.000€</td>
<td>100.000€</td>
<td>20.000€</td>
</tr>
<tr>
<td></td>
<td>Medium</td>
<td>100.000€</td>
<td>75.000€</td>
<td>50.000€</td>
<td>10.000€</td>
</tr>
<tr>
<td></td>
<td>Small</td>
<td>50.000€</td>
<td>37.500€</td>
<td>25.000€</td>
<td>5.000€</td>
</tr>
</tbody>
</table>

The R&D Unit's dimension is calculated based on the number of PhD integrated members:
- Small (10 to 40)
- Medium (41 to 80)
- Large (more than 81)
8. Annex III – Mission Statements

FCT’s mission statements aim to guide FCT’s action for each scientific domain and to define guidelines for the evaluation of each scientific domain, taking into account its specificities.

Life and Health Sciences

- To promote research that significantly adds to knowledge and critical understanding of biological systems;
- To promote interdisciplinary research that can be translated into the development of innovative tools, strategies and applications for the prevention, diagnostic, treatment and cure of diseases, disabilities or disorders that may affect humankind;
- To produce knowledge that will enhance and extend the quality of life of mankind;
- To promote excellent quality research and development, advanced education and knowledge transfer, interdisciplinarity, ensuring national and international competitiveness in the life and health sciences domain for the benefit of the industrial and health sectors;
- To support successful translation of ideas, knowledge, skills and technology arising from research into practical applications that benefit the Portuguese economy and society.

Exact Sciences and Engineering

- To promote research that significantly adds to knowledge and critical understanding of the exact sciences and engineering;
- To promote excellent quality research and development, advanced education and knowledge transfer, interdisciplinarity, ensuring national and international competitiveness in the exact sciences and engineering domain for the benefit of the industrial, health, agricultural and environmental sectors;
- To support successful translation of ideas, knowledge, skills and technology arising from research into practical applications that benefit the Portuguese economy and society.

Natural and Environmental Sciences

- To promote research that significantly adds to knowledge and critical understanding of the natural world and the Universe;
• To promote interdisciplinary research that can be effectively applied in the development of innovative tools, strategies and technologies that will allow a new understanding of the atmosphere, hydrosphere, geosphere, and biosphere, and the processes that connect them;
• To produce knowledge that will help sustain the Earth’s natural resources;
• To promote excellent quality research and development, advanced education and knowledge transfer, interdisciplinarity, ensuring national and international competitiveness in the natural and environmental sciences domain for the benefit of the industrial, health, agricultural and environmental sectors;
• To support successful translation of ideas, knowledge, skills and technology arising from research into practical applications that benefit the Portuguese economy and society.

Economic and Social Sciences

• To promote research that significantly adds to knowledge and critical understanding of the economic and social sciences;
• To promote the study and understanding of contemporary societies and their public policies, with particular attention to Portugal and to societies with which Portugal has historical relationships;
• To promote excellent quality research and development, advanced education and knowledge transfer, interdisciplinarity, ensuring national and international competitiveness in the economics and social sciences domain for the benefit of the industrial, health, agricultural and environmental sectors;
• To support successful translation of ideas and knowledge that benefit the Portuguese economy and society.

Arts and Humanities

• To promote research that significantly adds to knowledge and critical understanding of the arts and humanities, exploring interdisciplinary and transdisciplinary approaches;
• To enhance the study of Portugal’s history, language, arts, and culture, in a comparative and global frame;
• To use the different forms of knowledge in arts and humanities in order to develop a more general scientific culture - inspired by scientific criteria, rigorous methods of inquiry, and creative attitudes of innovative discoveries.
9. Annex IV – Research Outputs

The research outputs are defined according to each scientific domain.

**Life and Health Sciences**

i. Published papers in peer-reviewed international journals;
ii. Patents and performing patents;

**Exact Sciences and Engineering**

i. Published papers in peer-reviewed international journals;
ii. Patents and performing patents;
iii. Books and book chapters of international circulation;
iv. Conference proceedings;
v. New materials, devices, products and processes, software, computer code and algorithms.

**Natural and Environmental Sciences**

i. Published papers in peer-reviewed international journals;
ii. Patents and performing patents;

**Economic and Social Sciences**

i. Published papers in international peer-reviewed journals;
ii. (a) Books, including single-authored works (including scholarly editions of oral or written texts and translations with introduction and commentary); (b) works in co-authorship; (c) edited special issues of journals, with substantial research input on the part of the researcher; (d) chapters in books, including contributions to conference proceedings, essays in collections.

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*By "conference proceedings" it is meant "technical paper in the main proceedings," which excludes abstracts, short papers, papers in satellite workshops, posters, introductions, prefaces, editorial material, summaries, etc.*
Arts and Humanities

i. Published papers in international peer-reviewed journals;

ii. (a) Books, including single-authored works (including scholarly editions of oral or written texts and translations with introduction and commentary); (b) co-authored works; (c) edited special issues of journals or collections of essays, with substantial research input on the part of the researcher; (d) chapters in books, including contributions to conference proceedings, contributions to *festschriften*, essays in collections; (e) creative writing (to the extent that it embodies research); (f) short works, including dictionary entries (to the extent that they embody research); (g) encyclopaedia entries (to the extent that they embody research); (h) audio/visual and electronic/digital materials; (i) other categories, including web-based resources; video and audio recordings (to the extent that they embody research);

iii. Performances and exhibitions to the extent that they embody research.
10.
Annex V – Laboratory Intensity Levels

<table>
<thead>
<tr>
<th>Level</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>High</td>
<td>Equipment / laboratory and experimental component</td>
</tr>
<tr>
<td>Medium</td>
<td>Archives for public use and database infrastructures of national and European value</td>
</tr>
<tr>
<td>Low/Null</td>
<td>Absence of significant levels of the elements mentioned above</td>
</tr>
</tbody>
</table>

- The three levels of weighting should result in clear criteria;
- The weighting should be applied according to the profile of each R&D Unit and not according to scientific or thematic areas;
- Each R&D Unit should indicate and justify at which category it belongs;
- The evaluation panels are free to accept or change the classification proposed by each R&D Unit;
- The level of laboratory intensity, which is to be validated by the evaluation panels, has direct implications in the core funding attributed to the R&D Units.