



EVALUATION PROTOCOL R&D&I



GENERALITAT
VALENCIANA





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1. LEGAL FRAMEWORK AND COMPETENCE

Law 5/2006, of 25 May, of the Generalitat Valencian creating the Agència Valenciana d'Avaluació i Prospectiva, assigns, among others, the function of "*...evaluation of technological, business, research and development programmes*" (art. 3.1.b).

In accordance with article 4 of Decree 6/2008, of 18 January, of the Consell, which approves the Regulations of the Agència Valenciana d'Avaluació i Prospectiva (AVAP), "*for the fulfilment of its aims and functions, AVAP will act according to the principles of independence, objectivity, excellence and transparency*", all within a framework of agility in management and efficiency in the use of public funds that AVAP wishes to incorporate into all its actions.

The purpose of this document is to set out the rules governing the evaluation activity.

2. EXPERTS

Law 5/2006 provides for the creation, within AVAP, of Evaluation Committees, as well as the advice of other specialists linked to the activity being evaluated (art. 9.3). Article 11 of the AVAP Regulation (D 6/2008) establishes that, in order to carry out each of the evaluation functions assigned to the Agency, Evaluation Committees will be set up, by fields of knowledge or specialties, made up of independent experts, who will intervene anonymously during the evaluation procedure and who, as a rule, will not carry out their activity in the Valencian Community.

Experts will be selected based on their recent scientific career, considering the number of officially recognised research periods in the different areas of knowledge.

The assignment of experts in successive evaluation processes shall be governed by a rotation principle, whenever possible.

The expert persons proposed to participate in an evaluation process shall:

- Formally declare their acceptance of the Agency's code of ethics, as set out in Article 13 of the AVAP Regulation.
- Commit in writing to maintain the confidentiality of all information available to them during the evaluation process.

- Authorise AVAP in writing to periodically publish their identity in aggregate form, so that it is not possible to link them to a specific file.

The names of AVAP experts will be published annually, in aggregate form, on the Agency's website (www.avap.es), subject to their consent, as a transparency measure.

They shall be remunerated in accordance with the system of indemnities and allowances set out in Article 12 of the AVAP Regulation.

3. EVALUATION COMMITTEES

Seven Evaluation Committees are constituted by macro-areas, following criteria like those of the State Research Agency (AEI). Each committee will have a chairperson, a secretary (AVAP technical staff) and the rest of the members will be members, ensuring that all reasonable thematic possibilities are covered.

In order to define the number of members and evaluation committees with criteria of thematic homogeneity, and with the aim of unifying and simplifying the terminology related to the subjects to be evaluated, used by all the persons participating in the evaluation process, the nineteen areas of the State Research Agency have been taken as a reference. A criterion of thematic proximity has been applied to these areas in order to establish a reduced number of Evaluation Committees:

- **Arts and Humanities Committee:**
 - **AEI areas involved:** Past Studies: History and Archaeology, Educational Sciences, Mind, Language and Thought, Culture: Philology, Literature and Art.
- **Social Science Committee:**
 - **AEI areas involved:** Law, Social Sciences and Economics.
- **Health and Medical Sciences Committee:**
 - **AEI areas involved:** Biomedicine and Psychology.

- **Life Sciences Committee:**
 - **EIP areas involved:** Agricultural and Agri-Food Sciences, Biosciences and Biotechnology and Environmental Sciences and Technologies.

- **Engineering and Architecture Committee:**
 - **AEI areas involved:** Industrial Production, Civil Engineering and Engineering for Society, Energy and Transport.

- **Technology Area Committee:**
 - **AEI areas involved:** Information and Communication Technologies, Material Sciences and Technologies.

- **Science Committee:**
 - **AEI areas involved:** Chemical Sciences and Technologies, Physical Sciences and Mathematical Sciences.

The tasks of the members of the Evaluation Committees will be to receive the dossiers of the areas assigned to them:

- **Select** for each dossier two external expert evaluators responsible for the evaluation of the dossier.
- **Review** the evaluators' reports and resolve the corresponding assessments.
- **Ensure throughout the** evaluation process the correct application of the regulatory rules, both call-in question and of the process itself.
- **To ensure** the homogeneity of the evaluation process in relation to the criteria applied in the assessment of the dossiers and the marks awarded.
- **To deal with** complaints submitted and forward them to the Commission of Inquiry.

4. RESEARCH COMMISSION

The Research Commission is made up of the chairpersons of each of the seven Evaluation Committees. One of them will be appointed as chairperson, while the secretariat will be provided by AVAP technical staff.

This research committee shall establish the common parameters to be applied in the evaluation of the different programmes of a call. It shall ensure the homogeneity of the assessments and hear complaints.

5. EVALUATION PROCEDURE

Concepts:

- **Call for proposals:** set of rules or regulations defining the procedure for awarding a grant in competitive processes.
- **Applicants:** natural or legal persons applying for a grant or subsidy.
- **Experts:** independent persons selected based on their research and/or teaching experience, with no conflict of interest and under a confidentiality agreement, who assess the quality of the applications.
- **Evaluation Committees:** their members produce the final evaluation report for their thematic area based on the evaluation reports issued by the experts.
- **Research Commission:** responsible for the coordination of the entire evaluation.

Procedure:

The evaluation will be carried out in accordance with the criteria and in compliance with the requirements contained in the call for proposals for the grant or aid in question in each case. All applications are classified according to their area of knowledge, to be sent to the members of the corresponding Evaluation Committees.

The evaluation will be carried out through the intervention of two experts for each application, who will be appointed by the committee member corresponding to their field of expertise; the latter will draw up the final report based on the reports drawn up by the experts selected.

The final scoring system of the evaluations will be based on the sum of the different values given to each of the aspects evaluated. The reports produced

shall incorporate, in addition to the sections containing the numerical assessment of the different blocks assessed, qualitative comments that must be consistent with the score expressed. The qualitative assessment shall be compulsory and may be used to justify the scores obtained to the persons concerned.

6. AVAP R&D&I EVALUATION PLATFORM

AVAP staff will provide committee members and experts with any additional information necessary to carry out the assessments at the start of the assessment process.

The evaluations are carried out using the AVAP R&D&I online platform, based on personal connection parameters. The expert in charge of the evaluation, from a specific web page and using a username and password, accesses exclusively to the files previously assigned to him/her by AVAP's technical services, depending on their relation to the applicant's area of knowledge.

The full dossier and the evaluation form to be filled in for each dossier are available to the expert.

Based on a protocol with similar technical characteristics, the members of the Evaluation Committees will be able to access the files assigned to them.

7. COLLABORATION WITH OTHER INSTITUTIONS

AVAP, as an evaluation agency, will be able to **establish contacts and proposals for collaboration with other institutions** dedicated to the evaluation of scientific research, both national and international. This collaboration should serve to reach a consensus on mechanisms, procedures or criteria, or to collaborate on all those issues that allow the current evaluation system to be improved (for example, sharing databases of experts). Collaboration and/or coordination can be evidenced through the creation of and participation in discussion forums, the establishment of agreements between institutions, etc.