

Selection report for “Regional 1- Polar and Subpolar Call”, “Super-Integration” and “Embarked Equipment”

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1. WP5, SRP and LRP working procedure and results

The EUROFLEETS2 Work Package 5 is indispensable for the implementation of the Trans National Access (TNA) to the research vessels and equipment offered in EUROFLEETS2. It is devoted to the practical management of all the calls for proposals.

The WP5 is primarily devoted to the call preparation, call dissemination, the proposal evaluation, the selection procedures and post-cruise workshop organisation. The post-cruise workshop will gather all PIs of the funded cruises to present their results and to give feedback on the cruises.

This deliverable is dedicated to the evaluation of the first three calls opened within EUROFLEETS2: “Regional 1: Polar and Subpolar Call”, Super-Integration and Embarked Equipment.

The foundation for the evaluation and review procedure was already laid by the EUROFLEETS project.

The schedule of the calls is resumed here:

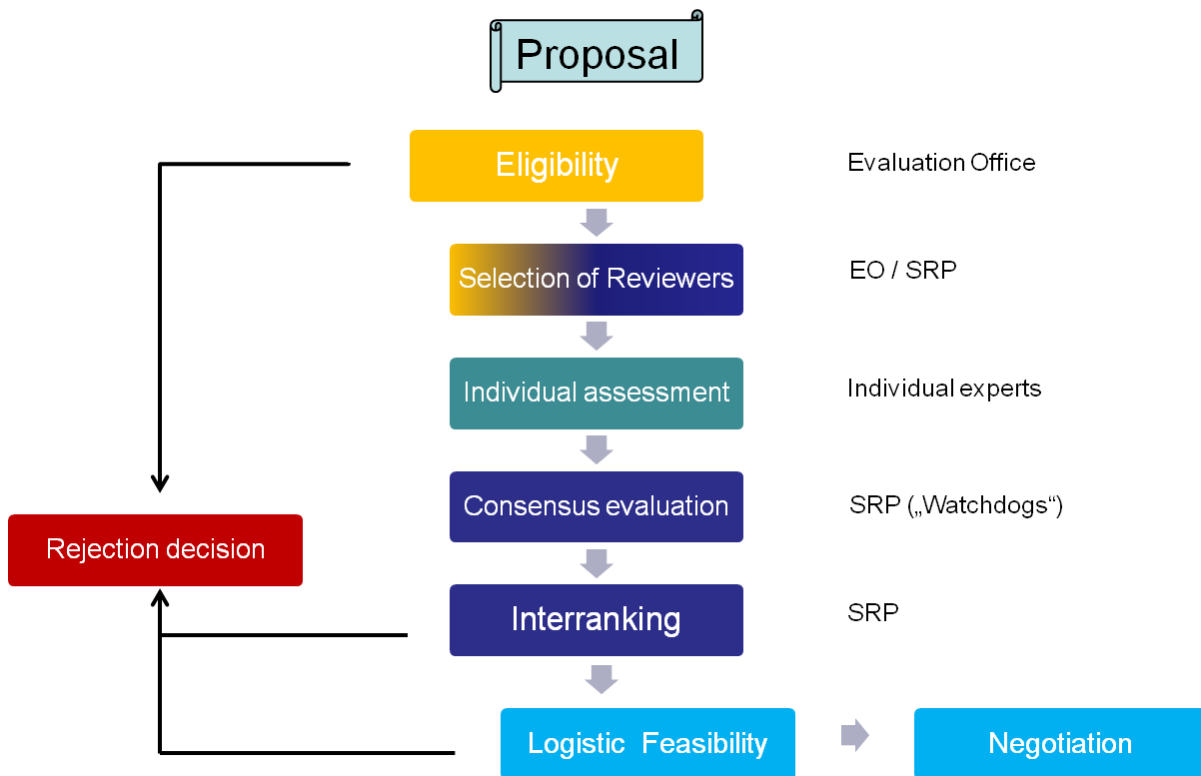
- **Regional 1 Polar and Subpolar Call:** opened 3 April 2013 / closed 24th May 2013
- **Super-Integration and Embarked Equipment Calls:** Opened 19 June 2013 / closed 16 September 2013

1.1. General description of the evaluation procedure

In EUROFLEETS2 we followed the evaluation procedure established in EUROFLEETS which proved to be successful. The evaluation procedure was based upon the best experiences from different European ship-time application and evaluation procedures further considering general European Science Foundation (ESF) as well as European Commission evaluation procedures. Figure 1 below outlines the different stages of the evaluation and the bodies involved in the execution of respective tasks. Upon call closure the first step is to check if proposals meet the eligibility criteria put forward in the “EUROFLEETS2 Guidelines for Applicants for the respective calls, which is carried out by the EUROFLEETS2 Evaluation Office (EO). If proposals fail to meet the eligibility criteria they are excluded from the further evaluation process and the decision to reject the proposal is taken by the SRP. Following this, a so called “watchdog”, i.e. a member of the SRP, who is an expert on the respective proposal topic, is allocated to each proposal by the chair of the SRP and the EO. The idea behind this concept is that the “watchdog” accompanies the proposals he/she is responsible for throughout the different steps of the evaluation process and if the proposal is successful, even afterwards for reporting. The first task of a “watchdog” in this respect is to recommend and suggest suitable reviewers for the individual assessment of proposals. In principle the review is carried out by three individual experts for each proposal. With regard to this task the “watchdog” is supported by the EO which contacts the suggested reviewers and surveys the preparation and reception of individual assessments.

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

Two Scientific Review Panel Meetings were held in order to provide a consensus evaluation for the submitted proposals. The first SRP meeting, concerning the “Regional 1: Polar and Subpolar call” took



place in Brussels, on the 4th of September 2013. The second SRP meeting, concerning the proposals submitted to the “Super Integration and Embarked Equipment” calls was held in Barcelona, on the 12th of December 2013.

During these meetings, the following working principles and procedures were agreed upon and applied:

- Conflict of interest

In case of conflict of interest of any of the SRP members, either being a Principal Investigator (PI) or partner on a proposal, or belonging to an institution involved in the proposal under discussion, the SRP member is requested to leave the room.

- Missing reviews

In case not all three requested reviews are available, the following routine is applied: If two reviews are available and there is agreement on the proposal evaluation results, the proposal is discussed

and a final decision is made in the consensus meeting. In case two reviews deviate considerably, a third review is requested in order to obtain a final judgement on the proposal.

If only one review is available, the proposal is discussed, however a decision on this proposal is postponed until at least one more review is available. In these cases the new reviews are circulated and a final judgement is taken by e-mail.

- Feedback to applicants

Applicants receive a Consensus Evaluation Report (CER), which is prepared by the “watchdog” of the respective proposal, based upon the existing individual reviews and taking into account comments and judgements made during the SRP discussion. The CER shall not contain any scores and use a common Consensus Evaluation Form provided by the EO.

The EUROFLEETS Scientific Advisory Committee (SAC) closely cooperated with this supervising the full process. One member of the SAC took part at each evaluation meeting to ensure that the evaluation and selection process and the ship-time allocation were transparent and fair. The SAC also supported this WP by giving recommendations to improve the evaluation and selection procedure.

The actual evaluation of proposals was carried out in a two step process. In a first round, all proposals for which at least two reviews were available were discussed according to the scientific criteria. Further secondary criteria, like the involvement of countries with less access to marine infrastructure (though a proper definition remains open) and new user groups, the age/position of the PI, female applicants and, if applicable, the potential use of remote access by shore based scientists were also taken into account. The watchdog gave a report and commented on the received reviews for a given proposal followed by an open discussion. In a second round the proposals were assigned to categories defined previously in the Guidelines for Applicants:

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

As a result of these discussions the recommended for scheduling proposals were forwarded to the EUROFLEETS2 Logistic Review Panel (LRP) as the basis for their discussion, in order to check the logistic feasibility of the cruises. The LRP meeting took place via email communication in both cases.

1.2. Regional 1: Polar and Subpolar call

A total of 6 full proposals were submitted by the “Regional 1: Polar and Subpolar call” deadline

All the proposals met the eligibility criteria. The distribution of the proposals amongst the different RVs is shown in Table 1. The RV Marion Dufresne, was not requested at all during this round, in contrast with the first EUROFLEETS project, where the Marion Dufresne was the most requested RV.

Table 1: Full proposals requesting ship-time submitted to the “Regional 1: Polar and Subpolar Call”.

Proposal ID	Acronym	Main Scientific Disciplines	RV
13_001	ORCA	Physical Oceanography	Sanna or Magnus Heinason
13_002	PREPARED	Physical Oceanography	G.O. Sars or Polarstern
13_003	PharmaDeep	Geochemistry, Biology, biological oceanography, biogeochemistry	Hesperides
13_004	Polar Plastics	Physical Oceanography	Polarstern
13_005	STEP	Physical Oceanography, Geochemistry, Biogeochemistry	G.O. Sars or Polarstern
13_006	CAOS	Geochemistry, Biogeochemistry	G.O. Sars

Applicants' nationality

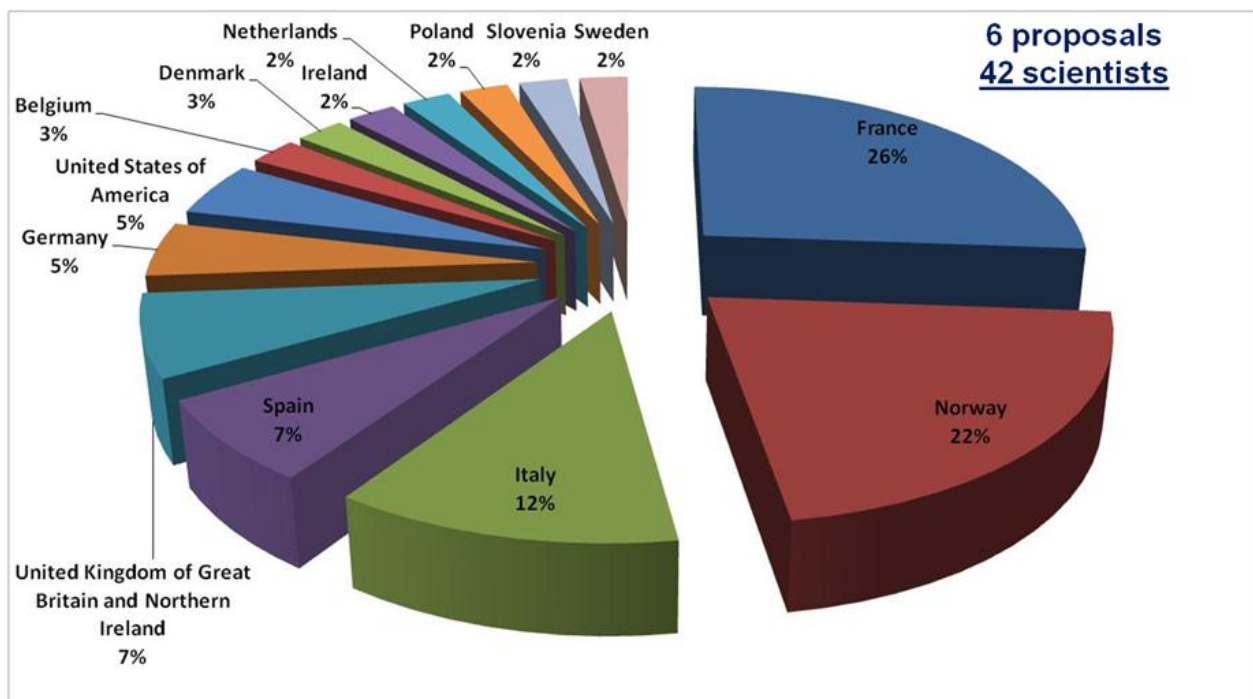


Figure 2: Applicants nationalities for the “Regional 1: Polar and Subpolar Call”, as an indicator of international collaboration (14 nationalities for 6 proposals). Also note the participation of 2 companies. Principal investigators from France (2), The Netherlands, Italy, UK and Ireland.

All the 6 projects passed the scientific evaluation ("scientific success rate" 100%), of which 3 proposals were selected for funding.

The Logistic Review Panel examined each of the selected proposals for logistical viability and each were determined to be logistically feasible following contact with each of the vessel operators to determine availability of the vessels and suitability for use of equipment and following completion of the review the

proposers were put in direct contact with the vessel operators to commence negotiation about specific dates for the surveys

Table 2: Proposals funded through EUROFLEETS2 “Regional 1: Polar and Subpolar call”.

RV	Application Ref No	Lead Organisation	Cruise Name	Scientific Ranking	Timing requested	Timing offered by RV	Duration
Sanna	EF13_001	Royal Netherlands Institute for Sea Research (NIOZ)	ORCA	A1	summer		8
G.O. Sars	EF13_002	OGS (Istituto Nazionale di Oceanografia e di Geofisica Sperimentale)	PREPARED	A1	summer (July-August)	5th -15th June 2014	11
G.O. Sars	EF13_004	Galway-Mayo Institute of Technology	PolarPlastics (student project)	A1	Assigned to PREPARED cruise		2

As a result, 3 highly ranked research project representing a success rate of the EUROFLEETS2 “Polar and Subpolar” call of 50%, will get access to 19 days at sea fully funded by the EC.

Both review panels accomplished their respective tasks. The partition into two steps, with a scientific evaluation of proposals before taking into account any logistical considerations, guarantees high quality and feasibility of the process.

1.3. Super Integration and Embarked Equipment calls

Four full proposals were submitted to the “Super Integration” call and one proposal Embarked-Equipment call.

All the proposals met the eligibility criteria. A summary with the principal characteristics of the submitted proposals is shown on Table The distribution of the proposals amongst the different RVs is shown in Table 1. The RV Marion Dufresne, was not requested at all during this round, in contrast with the first EUROFLEETS project, where the Marion Dufresne was the most requested RV.

Table 3: Proposals submitted to the EUROFLEETS2 Super-Integration and Embarked Equipment calls.

Proposal ID	Acronym	Main Scientific Disciplines	RVs or equipment requested
SI_003	MEDSHIP	Physical Oceanography, Geochemistry, Biology, Biological Oceanography, Biogeochemistry, New technologies, Training	6 Research cruises-Mediterranean

SI_004	EuroSeeps	Physical Oceanography, Geophysics, Biology, Biological Oceanography, Biogeochemistry, Training	3 Research cruises, North Atlantic
SI_005	MED-SUV.ISES	Geophysics, New technologies, Training	3 Research cruises, Mediterranean
SI_006	TransAtlanticLAB	Geophysics	2 Research cruises, mid-Atlantic
EE_003	IRIS	Geology, Geochemistry, Biology, New technologies, Training	Geophysics, Sedimentology, HCMR ROV Max Rover

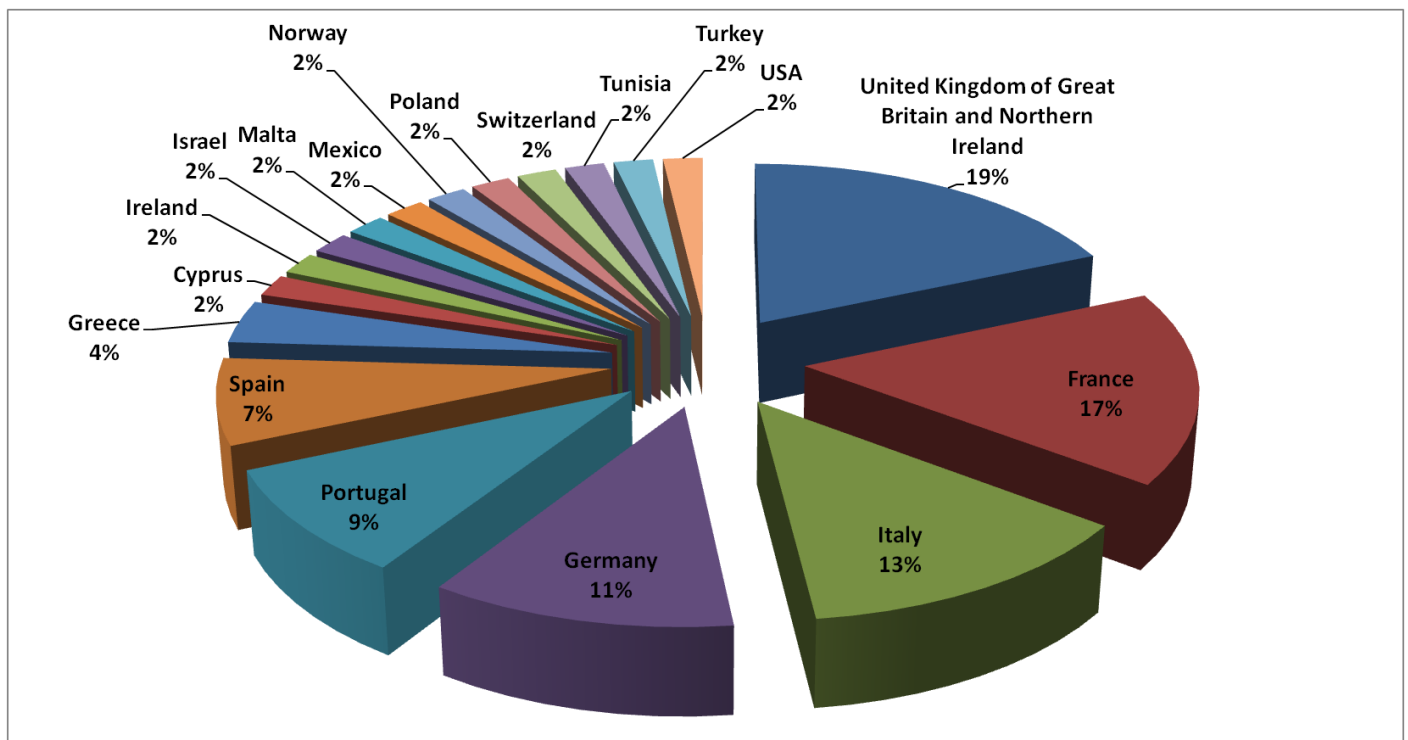


Figure 3: Applicants' nationalities for the **Super Integration call**, as an indicator of international collaboration (18 nationalities for 4 proposals). Total # of applicants: 54. Principal investigators from Italy (2), UK, and France.

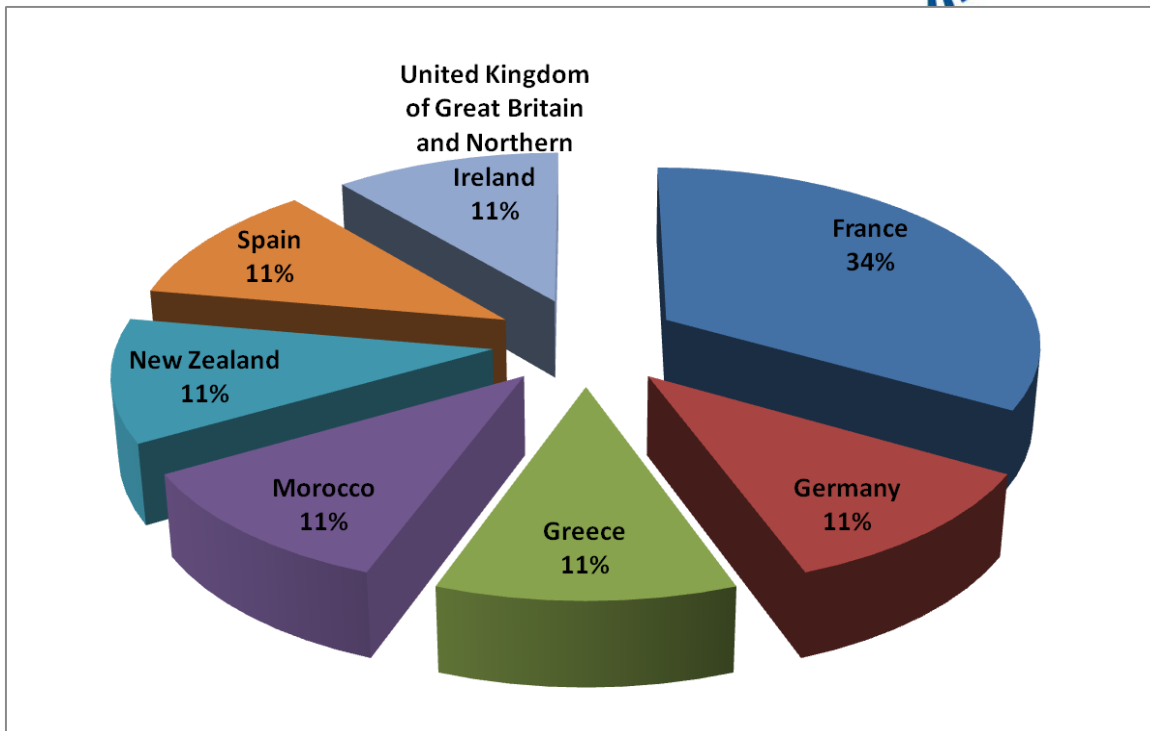


Figure 4: Applicants' nationalities for the Embarked Equipment call, as an indicator of international collaboration (7 nationalities for 1 proposal, PI: SPAIN).

1.2. Results of the 2nd Scientific Review Panel Meeting:

The Scientific Review Panel decision meeting took place in Barcelona, on the 12th of December 2013.

All of the 5 proposals submitted in this double call round met the eligibility criteria in terms of requested proposal structure.

Three of the proposals submitted to the Super Integration call were asked to resubmit with a deadline of 31st of January addressing the main reviewers concerns. One of the proposals was recommended to resubmit to the Regional 2 call (which will include the North-Atlantic) as single cruise. The proposal submitted to the Embarked Equipment call was recommended for funding.

At this evaluation an ethical conflict was raised by one of the external reviewers. A protocol was established to deal with this situation while keeping it independent from the scientific review, as requested by the Scientific Review Panel.

The EUROFLEETS SAC was requested to take actions on this and thus this subject was communicated to the PI independently from the scientific evaluation.

One of the main concerns has been the low number of proposals (only one) submitted to the Embarked Equipment call. The reason seems to be that, once a cruise is approved for funding, it is not possible to modify the cruise plan to include another instrument. For this reason, the equipment offered within EUROFLEETS2 will, in the next calls, be offered as well with the possibility of deployment from an EUROFLEETS2 cruise, as long as both the RV and the Equipment belong to different countries in order to promote interoperability.

Following the resubmission of the three proposals for the super integration call that were requested to provide additional information, the proposals were once again evaluated by the scientific panel and they were ranked in order of scientific excellence. The highest ranking Proposal TransAtlanticLAB was reviewed by the logistics panel in consultation with the various vessel operators involved and the proposal was determined to be beyond the time scale allowable under the EUROFLEETS2 project. The proposer was informed of this decision and the panel then reviewed the second most highly ranked proposal in terms of scientific excellence MED-SUV.ISES. It was determined that the proposal MED-SUV.ISES was logistically feasible and a decision was made to award the ship-time to the proposal following approval by the Ex Comm.

The following ship-time was granted to the project:

RV	Applica tion Ref No	Lead Organisation	Cruise Name	Timing requested	Timing offered by RV	Duration
Sarmiento de Gamboa, (x 2), Aegaeo	SI_005	ISTITUTO NAZIONALE DI GEOFISICA E VULCANOLOGI A (INGV)	MED- SUV.ISES	Summe- Winter 2014	Cruise no.1 + No.2 June/July 2014 Cruise no.3 November 2014	5 +10 13