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Open Science Program I (2021-2024): Phase A - Open Access

Implementation Plan

Final version
adopted by the Delegation Open Science on September 18, 2020

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Note: The implementation of this program formally still requires the adoption of the "PgB Open Science I Proposal" by the CSHE, as well as the adoption by the Swiss Parliament of the financial and legislative decrees related to the FRI 2021-2024 dispatch during the winter session 2020.

Legal mentions

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1. Introduction

At the core of the Open Science Program is the pursuit of the national Open Access (OA) strategy[1], which aims for the Swiss research community to reach 100% of their publicly funded research publications freely available on the internet by 2024, supporting a mix of OA models.

The Open Science Program[2] ensures continuity in the financing 2021-2024 of the OA Action Plan[3] already in force and adopted by swissuniversities on February 8, 2018. It therefore establishes the framework conditions to ensure synergies, economies of scale and collaborations needed among Swiss higher education institutions and their partners in this Open Access endeavor for the Phase A (2021-2024), with a preference for embargo-free OA models.

It will be completed in 2021 by the integration of a National Open Research Data Action Plan for the phase B (2022-2024).

Based on those reference documents, this Implementation Plan includes all the necessary information for the target audience in order to submit proposals to the Open Science Program. This will allow them to get financial support for their projects along the action lines defined in the document (and originating in the Open Access Action Plan).

2. Beneficiaries & Eligibility

The target beneficiaries (i.e. eligible for funding) of the Open Science program are:

- Open Access Service and e-infrastructure managers and providers
- Services within the HEI with competences related to the Open Access Action Plan (IT, Communication, Editing & Publishing, Research and Education support)
- Scientific libraries
- Researchers within HEIs active in the development of OA solutions for one or more scientific disciplines (including members of editorial boards)
- Students, professors and trainers involved in the field of Open Access within the HEIs
- Research vice-rectorates for the research evaluation aspect

The list of eligible beneficiary entities is available here.

Although they are not eligible for funding from the program, non-beneficiaries are welcome to participate as well. In particular, the 4 research institutes of the ETH Domain (EAWAG, WSL, EMPA and PSI) can apply to the ETH Board President for a direct co-funding for their participation in this program.

3. Program Activities

The program is composed of different “Activities” or “Action Lines”. The activities that the program is funding have to take place in the period 2021-2024.

Action Lines are composed of actions. The maximal duration of an action is of 4 years.

3.1. Activity Types / Methods of Implementation

The Action Plan foresees bottom-up and top-down activities. This implementation plan gives more precision to the distinction between those activities and guides the proposer towards the right processes to submit those proposals. We define those two activity types and their method of implementation as follows:

[1] Swiss National Open Access Strategy
[2] PgB Open Science I (2021-2024) Phase A
[3] Swiss National Open Access Action Plan (available in french or german)

- **Bottom-up / Calls for proposals**: Proposals will be submitted and evaluated, and recommendations from reviewers will feed into the decision of the DelOS for the allocation of funding for the successful projects. For bottom-up actions, in addition to the specifications provided by the Open Access Action Plan and this implementation plan, proposals need to address sustainability requirements.
- **Top-down / Calls for tenders**: Some activities will be mandated by the Open Science Delegation in a top-down manner, based on offers provided by a restricted set of potential bidders. The expected specific objectives and the corresponding evaluation criteria are established by a specification provider first. This specification is validated by the DelOS before the Call for tenders is launched.

3.2. Action Lines

Action Lines are presented with their activity type and the roles of the different actors in charge of specifying or leading their implementation later on, based on the proposal made by the OA Alliance in 2019[4] :

Action Line (from OA Action Plan)	Activity Type	Specification Provider	Consulted Partners	Exp. Lead Beneficiary
Policies	Top-Down	SLiNER	SNSF	Library/HEI
Regulatory Framework	Top-Down	Del HSK	SLiNER, SNSF, DUN, FUTURE	HEI
Communication & Awareness raising	Top-Down	SG swissuniversities	SNSF, SLiNER	HEI
Negotiations with publishers	Top-Down	SLiNER	swissuniversities Commitee	Consortium (CSAL)
National monitoring	Top-Down	SLiNER	SNSF	Library/HEI
OA National Fund	Top-Down	SLiNER	SNSF	Library/HEI
Setting up of shared services & e-infrastructures	Bottom-Up	HEI	SNSF	HEI
International Participations	Bottom-Up	HEI		HEI
Altern. forms of publications	Bottom-Up	HEI		HEI
Research Assessment	Bottom-Up	Del Research	SNSF, A+, SSC, InnoSuisse	HEI

Specification Provider: the entity which specifies the details of a given action line, if applicable. This specification work should happen prior to the tendering call for top down actions. For bottom-up actions, no other specifications than the current implementation plan are defined.

For top-down actions, a specification is proposed taking in consideration the opinion of the consulted partners (or any other partner deemed relevant and not listed in the table above). In the case of a call for tenders, once approved by the DelOS, the specification will be communicated to selected proposers in a tendering process. Indicative dates for the submission of offers responding to this tender are presented in the calendar section.

[4] Open Access Action Plan – Governance (Oct. 2019) : French Version German Version

Consulted Partners: the parties that should be consulted prior or during the activities. Consulted partners can be involved as well during the implementation of the action, but are not considered to be beneficiaries (and therefore are not funded by the program).

Expected Lead beneficiary: the legal entity expected to coordinate the mandate or grant delivered by the DelOS. In all cases, it is possible to include other eligible beneficiaries. This column only indicates the expected leading house or lead beneficiary.

In most of the top-down actions, HEI are expected to reserve some budget (see budget table) to accomplish their part of the action as described in the OA Action Plan, in addition to what the Expected Lead Beneficiary will obtain for coordinating/leading the activities. For specific action lines, the lead beneficiary can be assigned either to a scientific library (under the label "Library" in the table) or to a HEI. The action line "Negociation with the publishers" is reserved for the consortium as Expected Lead Beneficiary.

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For bottom-up actions, submitted as proposals when complete and ready for evaluation (see chapter "Evaluation" for more details on the procedures), the Expected Lead Beneficiary is either a HEI or an eligible institution (see chapter 2).

Each action line can include one or several actions (see details in the following sections of this chapter), a typical duration, an estimated budget, and a method of implementation that depends on its activity type. These indicative elements are listed in the following sections.

3.2.1. Open Access Policies

- Actions: in support of the coordination team, assign a contact person to set up and deploy the moderation process across the OA contacts and with the HEI directions, so that all HEI introduce their own OA policies or adapt their own established policies, providing suggestions or/and feedback to DelOS about issues arising at HEI level when implementing policies.
- Objective: All HEI have introduced or adapted their OA policy in December 2021
- Duration: 1 year (in 2021)
- Estimated Budget: The Action plan foresees 0.5 FTE for 6 months (mostly for moderation and support towards the HEI in order to complete the preparation work already performed on the guidelines in 2020) and a similar effort from each HEI (Total HEI estimated at 900 kCHF, spread over the whole duration of the program).
- Method: This action line from the OA Action Plan has been started already and will continue with the same lead beneficiary.

3.2.2. Regulatory framework

- Action: The OA Action plan foresees a legal analysis for about 100 kCHF, focusing on an alternative approach for a secondary publication right.
- Duration: 1 year (2021)
- Estimated budget: 100 kCHF
- Method: Call for tender. This analysis will be mandated by the DelOS based on a specification provided by the Del HSK to a Lead Beneficiary in a Faculty/Department/Institute with legal competences within a Swiss HEI. SLiNER, SNSF, DUN and FUTURE will be consulted about this mandate prior approval by the DelOS.

3.2.3. Communication and awareness raising

- Action: local adaptation/take-up of campaign material (prepared in cooperation with the program coordination) and activities, organization of joint communication initiatives, recruitment of OA Ambassadors (completing the Research Ambassadors from SNSF)

- Objective: 80% of the swissuniversities based researchers are aware of the OA national strategy.
- Duration: 4 years
- Estimated budget: 0.3 mCHF (+ 0.5 mCHF HEI)
- Method: This action line from the OA Action Plan has been started already and will continue with the same lead beneficiary.

3.2.4. Big Deals Negociations

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- Action: support in setting up read & publish deals or new OA financing models with publishers, and negotiate with new editors.
- Duration: 1 year (renewable every year)
- Estimated budget: 0.3 mCHF (+ 0.3 mCHF by the beneficiary)
- Method: This action line from the OA Action Plan has been started already and will continue with the same lead beneficiary.

3.2.5. National Monitoring

- Action: An aggregation platform (which will be co-funded jointly and sustainably by HEI in the long term) will allow to **monitor the OA publications and their costs** at national level.
    a) Aggregation platform: 375 kCHF (Fixed Cost)
    b) Design and interoperability: 0.5 FTE over 6 months (120 kCHF for 2021)
    c) Annual recurring costs of 0.5 FTE over 6 months (120 kCHF) for the whole duration of the program (total 480 kCHF)
- Objective: The monitoring should achieve 95% accuracy on the identification of the Open Access status of research publications from authors affiliated to swissuniversities members which are identifiable by means of the sources and method selected.
- Duration: 4 years
- Estimated budget: 1 mCHF (+1 mCHF estimated for HEI, i.e. for adapting/integrating their local OA monitoring systems to the aggregation platform)
- Method: Tender Call.
- Additional condition: ensuring interoperability with OA Monitoring at EU level, and integrate the results provided by SONAR. The offer shall include a sustainable financing model following the initial co-funding by the Open Science Program.

3.2.6. OA National Fund

- Action: The OA National fund aims at stimulating and incentivizing the publication of Gold Open Access publications.
- Objective: 12 Swiss HEI/Libraries have set up or developed their own independent OA Fund
- Duration: 4 year (2021-2024)
- Estimated budget: 3.5 mCHF (and 2.5 mCHF from HEI). Over time, the program funding will decrease and inversely the HEI funding will increase.
- Method: Call for proposals. The OA National Fund is subject to a specification established by SLiNER, in order to set the general conditions that HEI/Libraries have to fulfill to benefit

from the national OA Fund. HEI/Libraries can include their actual budget dedicated to OA APC and BPC as own funding.

- Additional Requirements: The OA National Fund should optimize the capacity of HEI/Libraries and the DelOS to monitor the costs of OA publishing (in consistency with the OA Monitoring activity). HEI/Libraries benefiting from this OA National Fund should simplify and not add complexity to the current procedures for the payment of those APC/BPCs for their researchers. Proposals can be submitted by single HEI/Libraries. Eligibility checks for the usage of the national OA Funding requires internal insights into the affiliations of authors to a Swiss HEI, so local libraries have to be involved in any case. The amount provided by the Open Science program shall be used exclusively for APC or BPC costs occurred at publishers or journals which fulfill quality standards[5].

3.2.7. Setting up of shared services and e-Infrastructures

Typical Actions:

- develop repository solutions as shared services and e-infrastructures where necessary (preference will be given to the development and further integration of existing solutions in cooperation across different HEIs and HEI types)
- promote the usage of repository solutions compliant with the OA national guidelines and the specialization of staff developing those solutions,
- set-up the necessary researchers' support for using such resources.

- Project Typical Duration: 2-3 years
- Estimated budget: 3 mCHF (+3 mCHF HEI)
- Method: Call for proposals.
- Additional requirement: Bottom-up proposals need to foresee the delivery of a business plan for each service or e-infrastructure proposed, including a sustainable financing model following their initial co-funding by the Open Science Program. In addition, proposers of such bottom-up actions are invited to coordinate their efforts at all stages of their projects, including during the proposal preparation phase. The evaluation criteria about impact (see annex C) are designed to prioritize proposals that respond to these additional requirements

3.2.8. Participation to international initiatives

- Typical Actions: international participation in OA infrastructures/initiatives, implementation of OA standards to enhance interoperability. There are 3 types of such initiatives, examples are indicative only:
  - Repositories where publications can be stored (e.g. ArXiv, BioRxiv, Open Library of Humanities, OAPEN, Zenodo …)
  - Initiatives/Registries providing data and information on Open Access (e.g. SCOAP3, SHERPA/RoMEO, DOAJ, DOAB, OpenAPC, OpenDOAR, Knowledge Maps…)
  - Central components for handling OA and for monitoring (e.g ORCID, DOI, Creative Commons licenses…)
- Duration: 4 years

[5] Ie. Journals which are listed in the DOAJ: https://doaj.org

- Estimated budget: 1.0 mCHF (and 1.0 mCHF by the HEI)[6].
- Method: Call for proposals
- Additional condition: proposals need to include a provisory business plan for the sustainability of the actions after the funding period by the program

3.2.9. Alternative forms of publications

- Typical Actions: flipping of existing journals, setting-up of OA publishing platforms, either disciplinary or nationally, setting-up of innovative revenue models/funds for journals (e.g. platinum OA or joint contributions of libraries and funders), transformation and business models for learned society journals, support for institutional OA repositories in the context of interoperability at national or international level, quality control and compliance with OA metrix and DORA
- Duration: 2-3 years
- Estimated budget: 1.2 mCHF from the OS program (+1.3 mCHF HEI)
- Method: Call for proposals
- Additional requirements:
  - Proposers are expected to assess the possible collaboration of SNSF, A+ (in particular SAGW) and publishing houses
  - Proposals need to foresee the delivery of a business plan for each service or e-infrastructure proposed, including a sustainable financing model following their initial co-funding by the Open Science Program.

3.2.10. Research Assessment

Originally included in the Open Access Action Plan as a necessary top-down activity and no specific implementation measure, this action line has been specified by the Delegation Research and will be implemented in two phases:

- Phase 1 (2021-2022) (Bottom-up)
  - Proposals possible by single HEI
  - Project Typical Duration: 1-2 years
  - Project Typical Budget: up to 50 kCHF
  - Expected number of projects: 5-10 (ideally covering different scientific disciplines)
  - Lessons learnt workshop with projects from Phase 1
  - Publication of the workshop outcomes
- Phase 2 (2023-2024): to be defined, based on the outcomes of the Phase 1
- Estimated budget: 0.5 mCHF from the OS program (+0.5 mCHF HEI)
- Method: Call for proposals (for Phase 1)
- Additional requirements: Proposals should address the many dimensions that intervene in the evaluation, be it at the scale of research institutions or for individual researchers, of scientific research output or of Open Science practices.

[6] The action plan foresees a budget of 15 kCHF per year and per HEI, translated here in a global estimation for the whole duration of the program.

4. Budget

The PgB Open Science Phase A foresees a funding allocated of 11 mCHF, completed by the 11 mCHF invested by the HEI themselves.

For bottom-up projects, the partners have to contribute to 50% of the funding of the project.

The splitting of the budget mirrors the budget defined in the OA Action Plan.

The funding will be allocated at each cutoff date. Projects can be funded as long as budget is available.

For all budget figures, the HEI contributions have to respect the conditions of the SERI regarding the real vs virtual money expenses.

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Action Line	Activity Type	OS Program	HEI	Total
Policies	Top-Down	0.1	0.9	1
Regulatory Framework	Top-Down	0.1	0	0.1
Communication & Awareness raising	Top-Down	0.3	0.5	0.8
Negotiations with publishers	Top-Down	0.3	0.3	0.6
National Monitoring	Top-Down	1	1	2
OA Fund	Top-Down	3.5	2.5	6
Setting up of shared services & e-infrastructures	Bottom-Up	5.7	5.8	11.5
International Participations	Bottom-Up			
Altern. forms of publications	Bottom-Up			
Research Assessment	Bottom-Up			
	Total	**11**	**11**	22

The budget figures are in mCHF and are purely indicative, as well as the figures given in each action line (in particular for the typical number or duration of projects). Proposals covering several action lines are welcome, in particular for bottom-up action lines.

5. Evaluation

The funding for the program is decided upon by the Open Science Delegation, which bases its funding decisions on recommendations from independent reviewers, the so-called “Reviewers Pool”. The process of evaluation is therefore central to the management of the whole program (see Annex b for a graphical view of the the Program Process Workflow).

At an early stage of a project idea, the program coordination is also accepting to check project idea to inform the potential proposers about its possible fitting into the Open Science Program. This is provided as informal advising, and has no incidence on the evaluation process itself.

5.1. Eligibiliy criteria

Independantly from the activity type (bottom-up or top-down), those criteria apply to every proposal or offer submitted to the Open Science Program and will be checked upon by the coordination team before being submitted to the reviewers pool for evaluation:

- Eligibility of the proposing institutions
- Respect of the application deadline
- Compliance to the procedures’ guidelines
- Completeness of the application documentation

5.2. Quality criteria

The evaluation and assessment scheme complied with the OECD Evaluation Framework, which identifies six generic criteria: relevance, coherence, impact, durability, effectiveness

and efficiency[7]. These generic criteria give rise to specific questions of evaluation, listed in Annex C. Those questions will be guiding proposers as well as reviewers along the whole lifecycle of the project.

The questions differ along the different stages of the project, as well as with the intervention mode (proposal evaluation or performance assessment).

The proposed set of service evaluation questions (last column of the Annex C) is provided as complimentary material for a "self-evaluation" by service providers.

5.3. Evaluation Procedure

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The evaluation procedure applies for all proposals (bottom-up) and offers (top-down). The abstract of each eligible proposal or offer is published on the program webpage.

As described in Annex b, the process follows 4 stages from the project idea to the final validation of the projects results by the DelOS.

In order to ensure the transparency of the evaluation process, the evaluation summary reports gathering the opinions from the reviewers are published on the program webpage as well.

For each application, a team of at least 2 reviewers from the pool is assigned to each proposal. After an evaluation based on documents, a consensus panel with all reviewers involved at a given cutoff date within the OS Program will rank the proposals and submit their recommendations to the Open Science Delegation for decision of funding.

The reviewers engaged in evaluating proposals are involved as well in the assessment taking place at the intermediary and final review of projects and bids, to ensure consistency between the proposal and the achievement of results. For these reviews, a yearly consensus panel is organized as well to strengthen the coherence of the program portfolio and the potential synergies among the projects and their potential future resulting services and e-infrastructures.

For the action line "Research Assessment", the reviewers pool recommendations are submitted of the Delegation Research for their opinion prior to the funding decisions by the DelOS.

5.4. Tendering Process

Top-down actions differ from bottom-up ones principally by the fact that they are submitted as offers responding to a call for tenders.

For each top-down action, a specific set of criteria is defined additionally within a "specification" provided to the DelOS for approval before the tendering process is launched

The tendering process follows these steps:

1. The **specification provider** designated (see table 3.2) establishes a specification document describing the expected results and SMART objectives for the given action, its modalities of implementation within the assigned budget, as well as the potential list of possible bidders.
2. The specification document is validated by the DelOS.
3. A call for tenders is launched by the program coordination towards the designated potential bidders
4. The offers are gathered by the program coordination and checked for eligibility
5. The eligible offers are evaluated by reviewers from the and then submitted for approval by the DelOS
6. Once approved, the selected bidder is mandated to execute the action

[7] https://www.oecd.org/dac/evaluation/daccriteriaforevaluatingdevelopmentassistance.htm

5.5. Grant agreements

Based on the funding decision, swissuniversities and the Lead Beneficiary sign a grant agreement defining the rights and obligations of both parties[8]. The grant agreement is signed by the DelOS president and by one executive member authorized by the Lead Beneficiary (see chapter 2 for eligible beneficiaries).

Grant agreements are established both for bottom-up and top-down actions.

6. Governance

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The governance of the OA Action Plan is presented in the document "Duties, competencies and responsibilities of the steering bodies of swissuniversities", which was approved by the swissuniversities committee on 14 December 2017 and revised on 4 March 2020[9].

It serves as basis to the governance of the Open Science Program I described here, which highlights the principle responsibilities of the bodies directly concerned with the program governance: the Delegation Open Science (DelOS), the Open Access Alliance, the Reviewers Pool and the program coordination.

The beneficiaries (as defined in chapter 3) are responsible for the execution of their projects or bid, according to the conditions described in their grant agreement.

6.1. Delegation Open Science

The Open Science Delegation has been entrusted in 2019 by the swissuniversities Committee with the implementation of the Open Access Action Plan and the resulting Open Science Program. In this respect, the Delegation has the following responsibilities:

- Strategic management in topics and programs related to Open Science (including the Open Access Action Plan Implementation and the future Open Research Data National Strategy and Action Plan)
- The awarding of mandates (top-down) on its own authority or at the request of the Open Access Alliance
- The approval of project proposals and the allocation of grants to them (bottom-up)
- The interruption of a project/bid in case of failure
- The reporting about the program to the SERI

6.2. Open Access Alliance

The Open Access Alliance was founded in 2019 as a consultation and coordination group to advise the Open Science Delegation on the Open Access Action Plan. It aims at supporting the implementation of this action plan. To this end, it ensures national exchanges and acts as a sounding board. It is responsible for the following tasks:

- Informing, exchanging and advising on the progress of the Action Plan.
- Information and mutual exchange on the implementation of Open Access in the international context
- Consultation on implementation priorities for the OA Action Plan
- Proposing new mandates to the supported by the Open Science Delegation
- Support for the development of Open Science Program for OA related activities

[8] This replaces the unilateral « funding decisions » used in the « scientific information » program.

[9] https://www.swissuniversities.ch/fileadmin/swissuniversities/Dokumente/Organisation/SUK-P/SUK_P-2/AktionsplanOA_Governance_FR.pdf

6.3. Reviewers Pool

The members of the **"Reviewers Pool"** are appointed ad personam by the DelOS. These individuals are collectively in charge of

- The evaluation of project proposals
- The evaluation of bids (for tenders),
- The assessment of the performance of these projects and mandates during their execution at the intermediary and final review (see Annex b for the process workflow and Annex c for the description of the assessment questions).

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The Reviewers Pool.is led by one of his members, who represents it at the DelOS (without voting right), and presents the results and recommendations to the DelOS for approval.

On average, each reviewer will follow between 2 and 4 projects at most. The reviewing activities involve evaluation of proposals and on-site assessment of projects' performance (interim and final assessment) and projects results.

To allow for some flexibility in the allocation of reviewers to the portfolio of projects, the pool will be composed of 25-30 people for the OA Part of the program, and it will be extended for the ORD Phase starting in 2022.

6.4. Program coordination

The Program coordination

- supporting the DelOS, the OA Alliance and the Reviewers Pool in the execution of their missions
- organizing the management of the program (process definition and optimization, reporting)
- stimulates the cooperation among HEI and HEI types all along the proposal and project lifecycle communication, promotion and advising in relation with the lead beneficiaries during the execution of their projects

7. Calendar

The following calendar presents the actual planning of the evaluations performed across different action lines along the whole duration of the program:

Action Line	2021	2022	2023
Policies			
National monitoring	May 31		
Communication & Awareness raising			
Negotiations with publishers			
Regulatory Framework	May 31		
OA National Fund	May 31	May 31	(May 31)
Setting up of shared services & e-infrastructures	Jan 15	May 31	(May 31)
International Participations	Jan 15	May 31	(May 31)
Altern. forms of publications	May 31	May 31	(May 31)
Research Assessment	Jan 15		(May 31)

This phase of the Open Science program is subject of one single continuous call launched in October 2020, evaluated following the cutoff dates provided in the table above.

The first cutoff dates (on Jan 15 and May 31, 2021) being reserved for the phase A of the program (focus on OA), the two next ones (in May 2022 and May 2023) will include the second phase of the program Open Science dedicated to ORD then, once the relevant ORD Action Plan and PgB will be validated.

Grant agreements are issued in june 2021 for the first cutoff date, and in the autumn following the cutoff date in May. Projects can start in September 2021 for the first cutoff date, and in January the year following their approval by the DelOS for the other cutoff dates.

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Annex A: Abreviations

A+	Swiss Academies of Sciences And Arts
AKOA	Arbeitskreis Open Access
CSHE	Conférence suisse des hautes écoles
DelOS	Delegation Open Science
DUN	Federation of Users of Copyright and Neighbouring Rights
FUTURE	Network for the dialogue between science and politics
HEI	Higher Education Institution
Innosuisse	Swiss Innovation Promotion Agency
PgB / CLP	Projektgebundene Beiträge / Contributions liées à des projets
SLiNER	Swiss Library Network for Education and Research
SNSF	Swiss National Science Foundation
SSC	Swiss Science Council

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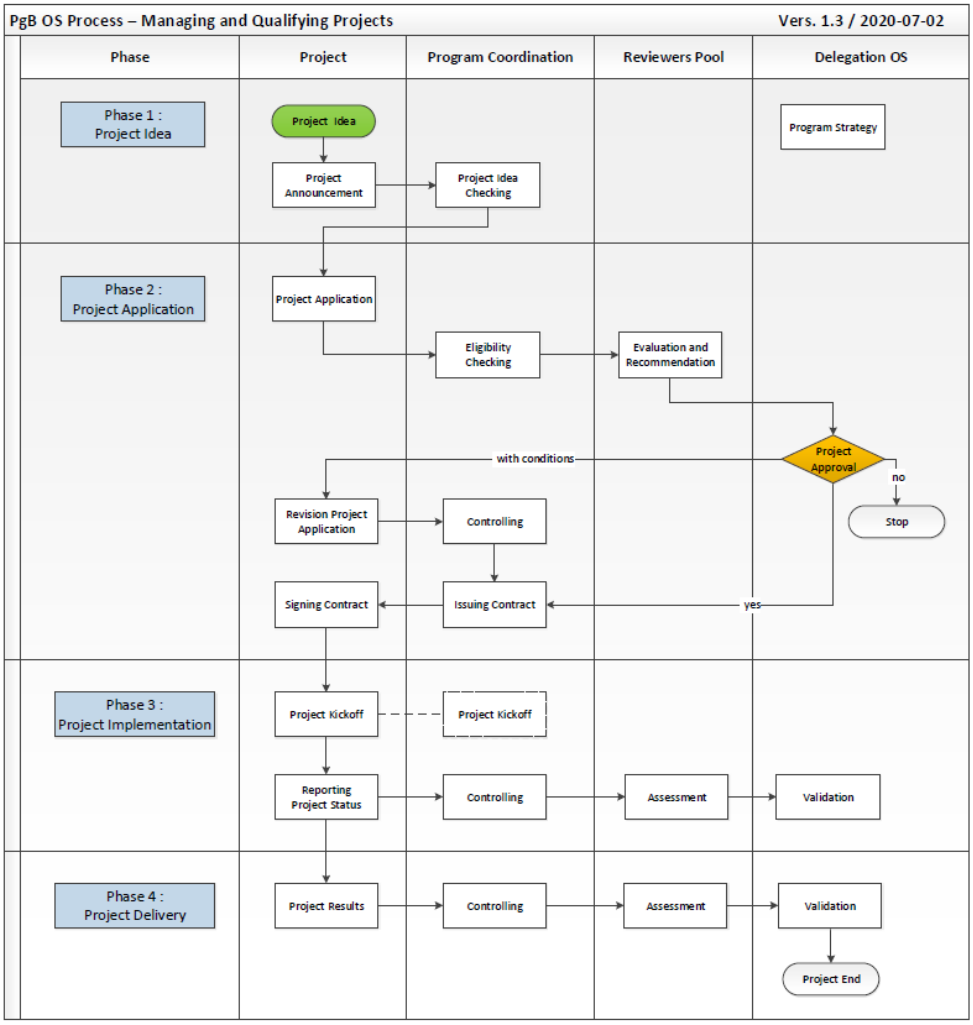
Annex B: Program Process Workflow



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Annex C: Evaluation and Performance Assessment Criteria Matrix

Criteria		Project Portfolio Management			Service Portfolio Mgmt
OECD	**OS Prog.**	**Proposal Evaluation**	**Intermediary. Review Assessment**	**Final Review Assessment**	**Service Self-Evaluation**
Relevance: IS THE PROJECT DOING THE RIGHT THINGS?	**PERTINENCE**	*How does the project meet the objectives of the OA Strategy and the Action Plan (or ORD from 2022)?* *In the case of a top-down project by call for tenders, how would the offer also meet the additional specifications requested by the tender?*	*How do you assess the capacity to achieve the objectives set by the project (or the offer)?* *To what extent do the objectives set need to be modified or adapted?*	*To what extent do the project results meet the expected or adapted specifications/results?*	*How does the service(s) or e-infrastructure(s) resulting from the project meet the objectives of the OA Action Plan (or ORD from 2022)? (Strategy Alignment)*
Coherence: HOW WELL DOES THE PROJECT FIT?		*Can you give examples of innovative components/elements of your project compared to similar initiatives/projects?* *To what extent do you find the interoperability (as defined in the FAIR principles) measures foreseen by the project (or the offer) at national and international level satisfactory?*	*Which steps should be undertaken between your project and other initiatives/projects to avoid unnecessary duplication of effort?* *Which steps should be undertaken to stimulate synergies with related projects/initiatives at national and international level*	*How did the project establish expected or unexpected links and collaborations with other initiatives?* *What added values did the project bring wrt to synergies with other related projects/initiatives at national and international level?*	*What is the positioning of each service or e-infrastructure in terms of competitive analysis in particular (Business Plan)?*
Impact: WHAT DIFFERENCE DOES THE PROJECT MAKE?	**VIABILITY**	*How do you assess the expected benefits for the following target groups: the swissuniversities members, their partners, the Swiss scientific community and the society?* *How does the project promote interdisciplinarity in order to produce effects outside its own field of application?* *To what extent will the proposed results and/or services strengthen the*	*To what degree do you consider the business plan to be complete, credible and verifiable?* *How are pilot users' needs taken into account?* *How does the project seek to extend its effects*	*How do you think the benefits anticipated at the beginning of the project have been achieved?* *To what extent are the pilot users and clients involved satisfied with the*	*To what extent will the needs of users, new customers and potential users be taken into account during the operational phase of the service (business plan)?* *What is the potential for development of the service at national and international level?*

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		position of the Swiss scientific community at the international level? *How can the planned communication, promotion, standardisation and exploitation measures guarantee the future positioning of the envisaged service at national and international level?* *What measures does the project propose to promote gender and cultural diversity?* *How do the measures dealing with age diversity respond to the needs of researchers or pilot users at different stages of their career?* *Additional question for projects/offers targeting the development of services or e-infrastructures:* *How does the project address the services usability (adaptation to different digital skills levels) and e-accessibility issues (adaptation to specific disabilities)?*	*outside its scope of action ?* *Have the communication, promotion, standardisation and operational measures implemented so far been successful in achieving the objectives set by these measures?* *How are the measures to promote diversity being implemented?*	*results of the project?* *In what field is an extension of the effects of the project outside its scope of action realised or even feasible?* *How do you assess the success of the communication, promotion, standardisation and/or exploitation measures?* *How successful have been the measures promoting diversity ?*	
Durability: WILL THE BENEFITS LAST?		*Which risks are foreseen regarding the viability of the project once the Program funding has come to an end, and how does the project adress these risks?*	*What are the current risks that the project can not be sustained after coming to the end of the Program funding, and what measures are to be envisaged?*	*How did the project succeed (or failed) to make its results last over the period of funding by the program?*	*To what extent are the benefits of the service(s) adaptable to the market conditions?* *Which commitments have been ensured for sustainability from the service provider?* *What kind of internal control system do you plan to use in order to manage the lifecycle of the service?*

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Effectiveness : IS THE PROJECT ACHIEVING ITS OBJECTIVES	**RESOURCE MOBILISATION**	*What indicators and verification measures have been considered to ensure the evaluability of project activities?* *How does the adopted work plan support the achievement of project objectives?* *Is the governance of the project organized in such a way to enhance the partners' confidence in its success (with a special focus on participation to decision-making)?* *How relevant and evaluable do you assess the risk management matrix?*	*Are adaptations needed in the workplan or the governance in order to achieve the objectives?* *If so, which ones and for what reasons?* *How do you evaluate the risk levels (in comparison to the self evaluation by the project management) ?* *Are there new risks to consider, or risks to adapt in the pursuit of the project?*	*Which objectives have not been fully achieved, and why?* *What are the foreseen corrective measures, and how are they going to be implemented?*	*What indicators and verification measures have been considered to ensure the evaluability of the service to clients and users?* *How does the organization adopted to implement the service support the achievement of its objectives?* *To what extent will the governance of the service enhance client and user confidence in the service?*
Efficiency: HOW WELL ARE RESOURCES BEING USED?		*How could the available resources be improved or optimised (or even completed during project implementation) to achieve the objectives?* *To what extent will this project help to avoid duplication of effort and redundancy among swissuniversities members?* *To what extent does the consortium or the project team have the necessary skills to achieve the objectives?*	*Are the resources available within the project still sufficient to achieve the set/adapted objectives?* *What measures has the project taken to prevent duplication of effort and redundancy with other similar projects?*	*To what extent has the use of resources been appropriate? What indicators support this review?* *How did the project manage to avoid redundancy and duplication of effort?*	*How do you assess the adequacy between the resources available and the implementation of the proposed service?* *To what extent have the choices concerning the service management team been based on the necessary/available skills? How were the choices made/balanced?* *Does the service business plan propose measures to ensure diversity according to the swissuniversities' diversity checklist?*