Evaluation and Monitoring of EU RTD Framework Programmes in the context of the European Research Area

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Roadmap

- Definition
- Context
- Key Activities related to FPs
  - FP6 Ex-post Evaluation 2008
  - FP7 Monitoring
  - FP7 Mid-Term Evaluation 2010
- Contributions
- ERA dimension
- European RTD Evaluation Network
- Perspectives
Definition: Ex-post FP evaluation

- Ex-post
  - Evaluation ex-post, not ex-ante proposal evaluation

- Framework Programme
  - Evaluation of thematic programmes or the entire Framework Programme, not of individual projects

- Evaluation
  - “Judgement of interventions according to their results, impacts and the needs they aim to satisfy”
Context

- Research funding is a booming industry
  - Budget increase FP6 to FP7: +41% on average

- Complexity of FP is increasing
  - ERC, International Cooperation

- Major changes in the FP management
  - New Agencies, New grant agreement

- Transparency and Accountability
  - Better communication with the public

- European Research Area
  - Evaluation as key factor
Key Activities related to FPs

- Ex-post Evaluation of FP6 in 2008
- Monitoring of FP7 activities
- Mid-term Evaluation of FP7 in 2010
- Ex-post Evaluation of FP7 in 2014
Ex-Post Evaluation of FP6 Implementation - 1

- **Legal basis**
  - FP7 Decision
  - Ex-post evaluation of each FP within 2 years of its completion.

- **Scope**
  - Comprehensive assessment of rationale, implementation and achievements at FP level

- **Panel approach**
  - Independent Panel of around 15 experts, to be nominated by the Commission.
  - Expertise covering the FP6 research areas
  - Balance between factors such as gender, sectors, geographical spread etc.
Ex-Post Evaluation of FP6 Implementation - 2

- **Evidence Base**
  - Evaluation to be supported by more than 30 evaluation reports and studies.
    - “Vertical” analysis by thematic programmes
    - “Horizontal” analysis of overarching issues
  - Evidence from National Impact Studies carried out in the Member States/Assoc. Countries

- **Timetable**
  - First panel meetings at the end of 2007
  - Series of meetings from May 2008 onwards.
Ex-post evaluation of FP6
Issues at stake

- Longer term impact and consequences of FP activities?
- Changes in behaviour of participants?
- Networking patterns (geographical / institutional)?
- Networks of Excellence?
- Integration of new Member States?
- …
Monitoring of FP7 Implementation

- Move from an external monitoring (FP6) towards an internal monitoring (FP7)
- Move from an “ad-hoc” approach towards a continuous and systematic collection of information and indicators
- Monitoring primarily aimed to support management in implementing FP7
- Annual report to be presented to the Programme Committee and to be published on internet
- Possible information source for future FP7 evaluations
Monitoring of FP7 Issues

- Application numbers
- Proposal Evaluation
- Time to contract
- Success rates
- User Feedback
- …
Mid-Term Evaluation of FP7 Implementation - 1

- Legal basis
  - FP7 Decision
  - Due in 2010

- Scope
  - First assessment of rationale, implementation and achievements
  - Focus on programmes and FP as a whole

- Learning
  - Build on experiences gained from the FP6 ex-post evaluation
Mid-Term Evaluation of FP7 Implementation - 2

- Evidence Base
  - Crucial issue, as 2010 is very early …

- Political context
  - Mid-term review of FP7
  - Financial perspectives of the EU
  - Preparation of next Framework Programme
Mid-term evaluation of FP7

Issues at stake

- ERC (Grants / Implementation structure)
- New features of FP7 (Grant agreement /RSFF/ Cost models/ …)
- Competitiveness
- …
Ex-post evaluation of FP7

- To be carried out in 2014 …
- Beyond the reasonable time horizon …
- … but preparing the ground starts with proper collection of the systematic monitoring data
- …
Inputs into the evaluation process

- **Commission**
  - Data, Thematic Studies, Panel Secretariat, …

- **Member States**
  - Impact Studies, Surveys, …

- **Scientific Community**
  - Methodological papers, participation in surveys, …

- **Public and Media**
  - Informed debate, …
ERA dimension

- ERA calls for greater cooperation and integration of activities at European/national/regional level
- Evaluation cannot ignore this trend
- Important potential as regards
  - Exchange of information
  - Methodological developments
  - Mutual learning
- Potential for increased policy impact
European RTD Evaluation Network

- Created 1996, relaunch 2007
- All Member States and Associated Countries (36)
- 2 members per country
  - Academic community
  - Implementing agencies
- Two meetings per year (22 Nov in Brussels)
- Explore ERA dimension
  - National Impact studies on FP
Perspectives

- Growing EU Research budget also means: Increased need for accountability
- Efficiency of the European RTD system under scrutiny
- Need to develop evaluation capacities in Europe as part of a broader approach towards the European Research Area
- Need to focus more on the “fundamental” aspects and less on minor implementation issues
Contact

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