

FP Evaluation

Findings and Challenges



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Roadmap

Findings

- Monitoring FP7
 - The Second Monitoring Report (2008)
- Evaluation of FP6
 - Evaluation Studies (e.g. Networking)
 - FP6 Ex-Post Evaluation

Challenges

- Evaluation of FP7
 - FP7 Interim Evaluation
- The road to FP8
 - Issues raised in recent evaluation work

FP7 Monitoring System

- Move from “ad hoc” campaigns using external experts (FP6) towards a systematic internal monitoring (FP7)
- Annual analysis based on a core set of indicators
- Information source for future FP7 evaluations
- Flexible system to develop as FP7 will become more “mature” (outputs)

Monitoring Report 2008 Structure

- **FP7 Implementation Overview**
 - Data / indicators on key aspects
- **FP7 Implementation Special Focus**
 - Selected aspects (ERC, JTI, ...)
- **Simplification**
 - Measures taken
 - NCP Survey
- **Impact and achievements**
 - Very first findings

Monitoring Report 2008

Key Findings (1)

- **Absolute figures (2007 + 2008):**
 - 25.000 proposals received, 160.000 applicants
 - 5.500 proposals retained, 35.000 participants
 - 10 billion € Community contribution
- **Simplification:**
 - Very substantive reduction of audit certificates
 - Positive feedback from NCPs

Monitoring Report 2008

Key Findings (2)

- **Participants:**
 - Universities and Research Organisations in the lead, 15.5% SME participants
- **Gender:**
 - 21.6% female “contact persons for scientific aspects”, 35.4% female “fellows” in Marie Curie actions
- **International cooperation:**
 - 136 countries involved in FP7

Monitoring Report 2008

Key Findings (3)

- **Proposal Evaluation:**
 - 96% of evaluators judge FP evaluation system “similar” or “better” than national systems
- **Redress / Ethical review:**
 - 1170 redress requests, 17 re-evaluations
 - 539 ethical reviews, no project stopped

FP Evaluation System Basics

- Embedded in the overall Commission Evaluation system
- Evaluations to be carried out by the services responsible for an activity as part of the management responsibilities
- FP7 Evaluation system spelled out in detail in the FP7 decision and the FP7 Impact Assessment
- Multi-layer system consisting of thematic evaluations at programme level, studies to analyse general issues and evaluations at FP level

FP Evaluation System Ingredients

- Monitoring, Project Database (CORDA)
- *Output indicators*
- Self assessments
- Thematic evaluation studies and reports
- Horizontal evaluation studies
- National Impact Assessments
- Feedbacks, surveys
- ...

FP6 Evaluation Studies (Examples)

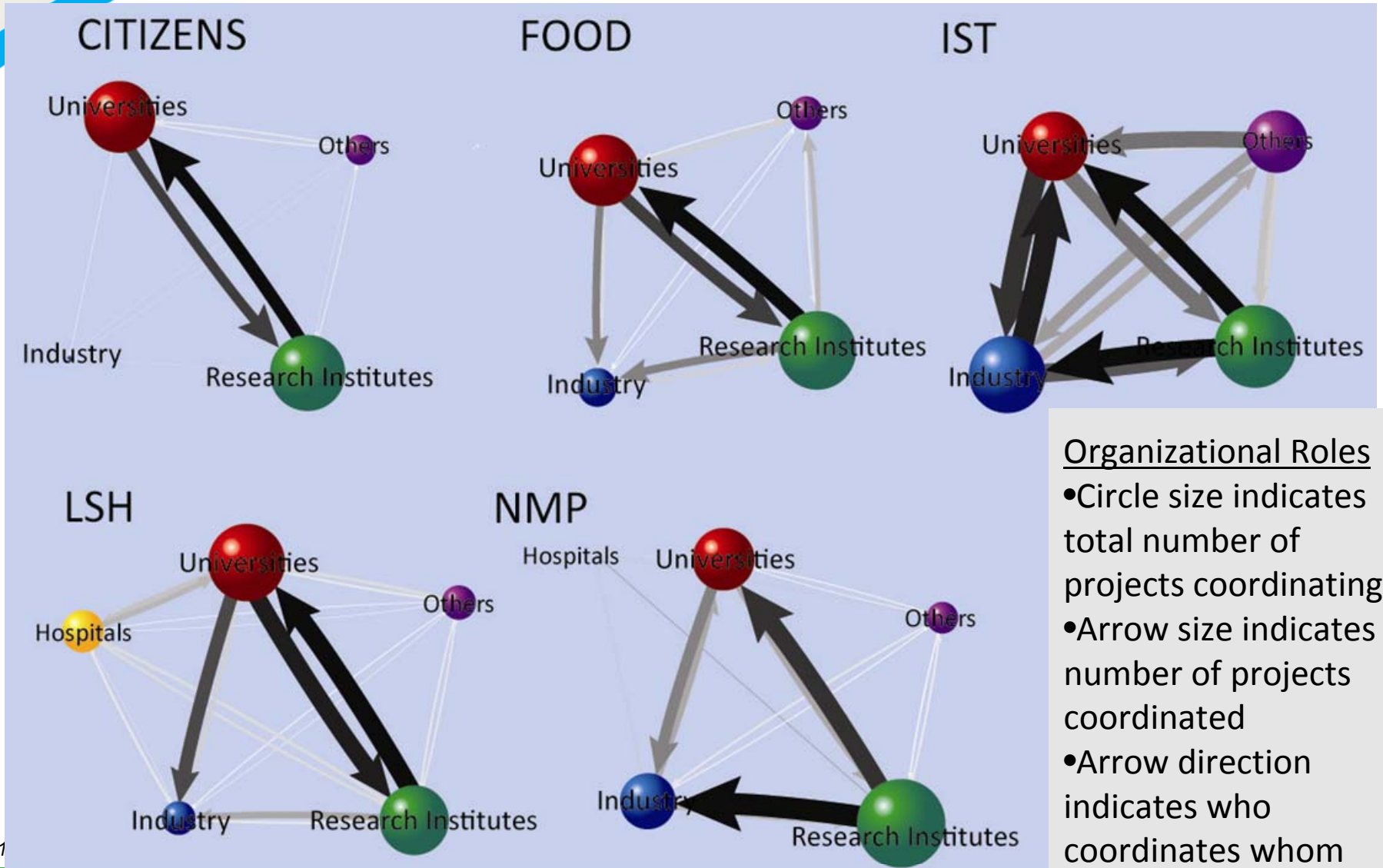
- Participants survey
- Behavioural Additionality
- FP6 New instruments
- Impact of FP6 on new Member States
- International Standing of FP
- Bibliometric analysis
- ...
- <http://ec.europa.eu/research/evaluations>

Structuring Effects of Community Research

The Impact of the Framework Programme on Research and Technology Development (RTD) Network Formation



Evidence from the NetPact Study Network structures in FP6



Organizational Roles

- Circle size indicates total number of projects coordinating
- Arrow size indicates number of projects coordinated
- Arrow direction indicates who coordinates whom

FP6 Ex-Post Evaluation Basics

- Legal base: FP7 Decision
- Mandate: Design, Implementation, Achievements
- Scope: FP6 (EC + EURATOM)
- Expert Group
 - Chaired by Prof. Rietschel (Leibniz Association, DE)
 - Rapporteur Erik Arnold (Technopolis)
- 6 Meetings from July to December 2008
- Report available on
<http://ec.europa.eu/research/evaluations>

FP6 Ex-post Evaluation Report Achievements

Positive balance

- Key instrument to tackle sub-criticality
- Generated European Added Value
- Coordination with Member States
- Strengthened the European Research Area

Problems

- Low industry participation
- Low participation of female researchers
- ...

FP6 Ex-post Evaluation Report FP Design

Mixed Picture

- Need for more transparent consultation
- Role of FP in the overall European research policy-mix needs better definition
- Lack of consistency between research and innovation policy
- FP as coordinator for multi-actor initiatives
- ...

FP6 Ex-post Evaluation Report FP Implementation

Room for improvement

- Mixed picture for NoE and IP
- Human resource actions judged as success
- Research Infrastructure initiatives positive
- Complexity, difficult procedures, need for radical management improvements
- Public accountability to be improved
- ...

FP6 Ex-post Evaluation Report Recommendations (1)

- Goals should be commensurate with capacity
- FP to be better synchronised with national research efforts
- Cooperation with “Third”(?!) Countries needs more focus and clearer strategies
- Bottom-up collaborative projects (like NEST)
- SME participation important, but no strict rules (“15%”)

FP6 Ex-post Evaluation Report Recommendations (2)

- Continue ESFRI process
- Substantive steps needed to increase female participation
- Focus on major challenges to attract young people for research
- FP administration needs radical overhaul – cut time-to-contract by half
- Broaden evaluation scope – look at longer term impacts of FPs

FP6 Ex-post Evaluation Report Vision

- Time for a confident, scientifically capable, innovative European knowledge society to engage with the rest of the world ...
- New lines of action
 - Grand Challenges
 - Great Ideas
- Significantly higher budget needed
- European excellence through global collaboration and competition

FP7 Interim Evaluation Basics

- FP7 Decision:
 - Interim Evaluation “no later than” 2010
- To cover FP as a whole
- Specific reviews in some areas
 - (ERC, RSFF, Euratom, ...)
- Carried out by a group of external experts
- Meetings from February to September 2010
- Final Report expected in October 2010

FP7 Interim Evaluation

Possible Key Questions

Key questions:

1. General objectives achieved?
2. How to improve impact of FP on ERA and other policies ?
3. FP7 role in positioning Europe on the global map?
4. Efficiency of novel measures (ERC, JTI, ...)?
5. How to better address interdisciplinary “grand challenges”?
6. Simplification measures effective?
7. Progress on issues raised in FP6 evaluation?

The Road to FP8

The procedural Count-down

- 2014 Start of FP8
- 2013 Adoption of FP8 (Council, EP)
- 2012 Commission Proposals (FP, Specific Programmes, Participation Rules)
- 2011 Ex-Ante Impact Assessment for FP8
- 2010 FP7 Interim Evaluation
- 2010 Communication on ERA
- 2010 Communication on Simplification

The Road to FP8

Issues raised in evaluations (1)

- **Budget**
 - Increased efforts despite fiscal crisis?
 - Increased efforts because of financial crisis?
- **Objectives**
 - Stringent Intervention logic
 - Objectives commensurate with available means?
- **ERA**
 - New roles of the FP in the emerging ERA?
 - Synchronising national research policies?

The Road to FP8

Issues raised in evaluations (2)

- **Topics**

- Grand Challenges – Great Ideas?
- More room for innovative ideas?

- **Competitiveness and Innovation**

- Interaction with innovation activities?
- Industry role in agenda setting and implementation?

- **Simplification**

- Continued streamlining vs radical overhaul?

- **International Dimension**

- FP as Global Player?

- ...

Contact

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