



*Emergence of the EU system for  
research evaluation.....  
co-evolution between function and form*

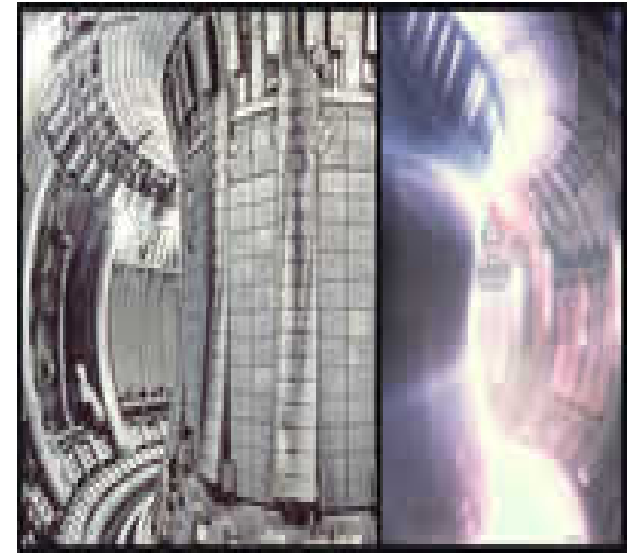
Evaluation 2007 Conference  
Baltimore, 8 November 2007

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European Commission DG RTD A.3



# ***EU research***

- **Framework Programme (FP) is a multi-annual research funding programme implemented at EU level**
- **7th Framework Programme (2006-2013)  
- €49 billion – 27 Member States – more than 100 participating countries – tens of thousands transnational co-funded projects**



***One of the world's most comprehensive research funding schemes***



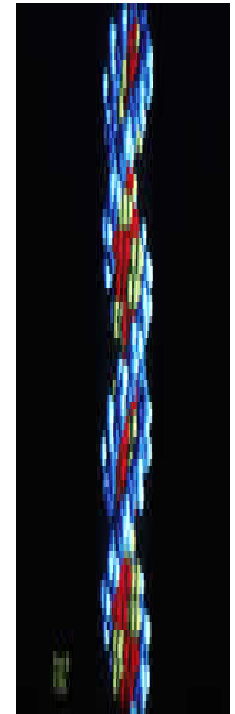
## *The story so far*

- 1952: ECSC Treaty; first projects started 1955
- 1957: EURATOM Treaty; Joint Research Centre set up
- 1984: First Framework Programme (1984-1987)
- 1987: European Single Act Treaty; RTD => EU policy  
Second Framework Programme (1987-1991)
- 1990: Third Framework Programme (1990-1994)
- 1994: Fourth Framework Programme (1994-1998)
- 1998: Fifth Framework Programme (1998-2002)
- 2000: European Research Area
- 2002: Sixth Framework Programme (2002-2006)
- 2006: Seventh Framework Programme (2007-2013)



# ***Building the EU research evaluation system***

- **evaluation requirements stipulated in each legislative decision on RTD programmes since early 1980s**
- **multi-annual plans for evaluation (from early 1980s): build up of operational system; centralised evaluation function, evaluation of Specific Programmes once during their life; portfolio evaluation across the FP**
- **Major structural change from mid 1990s: Five Year Assessment; annual monitoring;**
- **New evaluation system for FP7**





# ***Evaluation System***

## ***- Actors***

- **Political level**
  - Council
  - European Parliament
- **Commission level**
  - Secretariat General
  - DG Budget
- **DG level**
  - Central evaluation units
  - Operational evaluation units
- **Member States evaluation**



# ***Evaluation System***

## ***- Rules***

- **Framework Programme Decisions**
- **European Commission Financial Regulation and related rules**
- **European Commission Communications on Evaluation**
- **Other types of internal European Commission Regulation**



# ***Evaluation System***

## ***- Links***

- **DG Research Evaluation Network**
- **European RTD Evaluation Network**
- **DG Budget Research Evaluation Network**
- **Other international networks e.g. WREN, G8**



# Evaluation and Reporting



## European Commission/ Policy level

Reports to EP, Council, CoA

- **Planning and reporting framework**
- **Strategic evaluations**
- *Evaluation framework incl. standards*
- *Evaluation network*

## DG RTD/ Project level

Reports to DG, Commission, MS,  
Programme Committees

- **Peer review selection procedure**
- **Project monitoring**
- *Evaluation manual/ evaluators database*

## DG Research/ RTD Policy and programme level

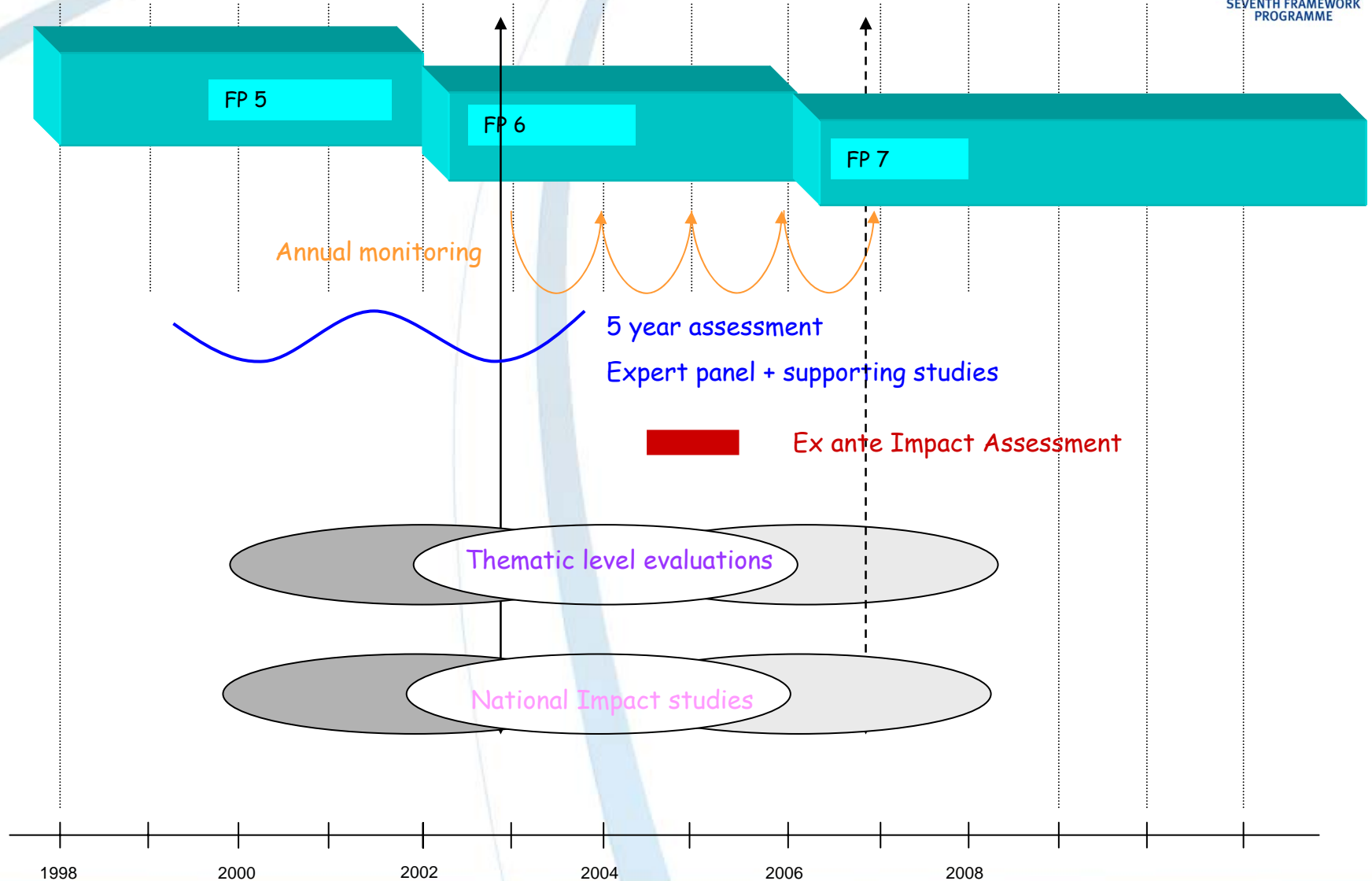
Reports to EP, Council, Commission

- **ex ante impact assessment**
- **Annual Monitoring**
- **ex post FP evaluation**
- **FP7 mid-term review**
- **Ad hoc studies**
- **Annual Activity Report/Annual Management Plan**
- *RTD evaluation framework*
- *Member States impact evaluation*



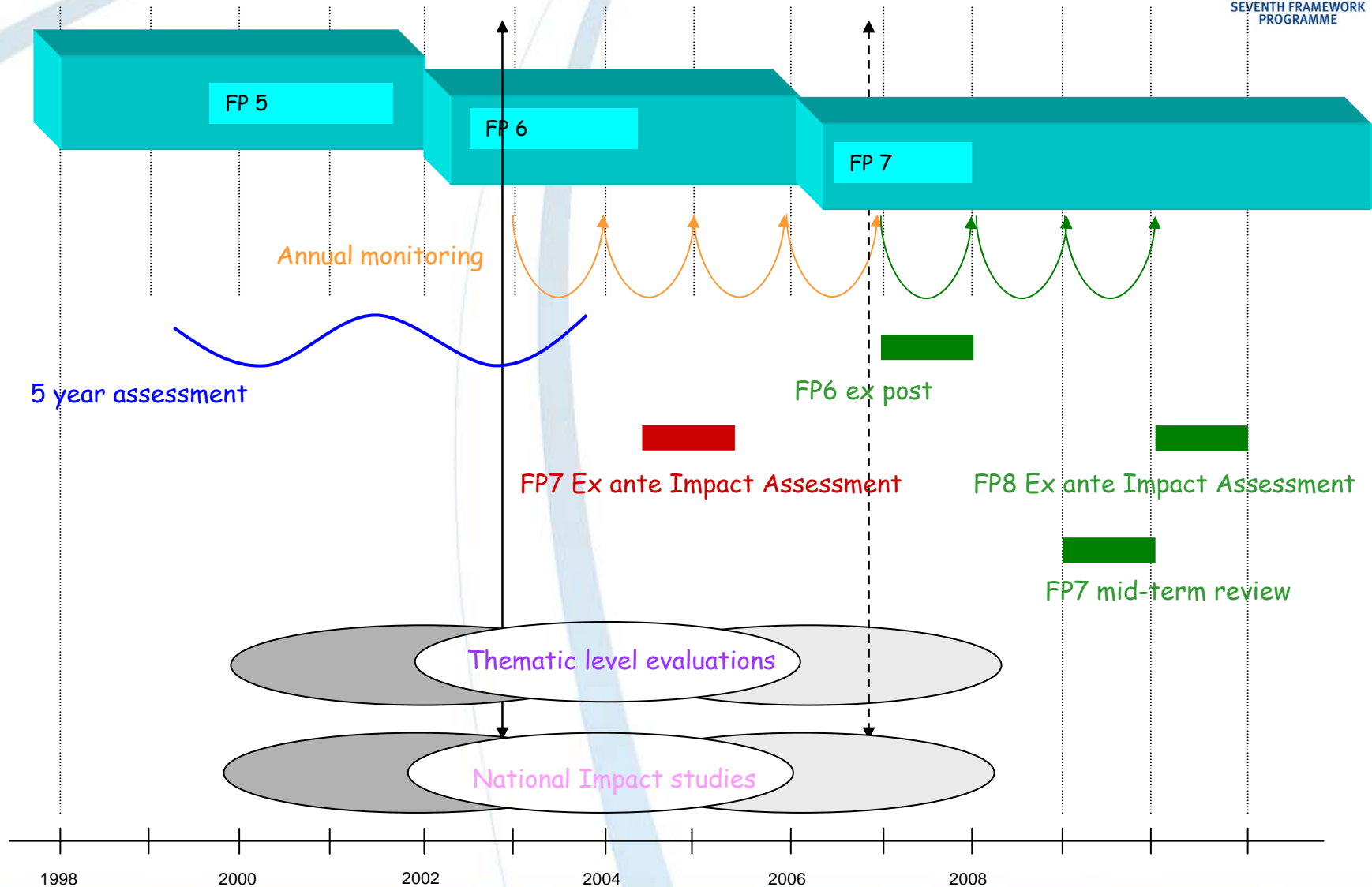


# Evaluation system components - FP6





# Evaluation system components – FP7



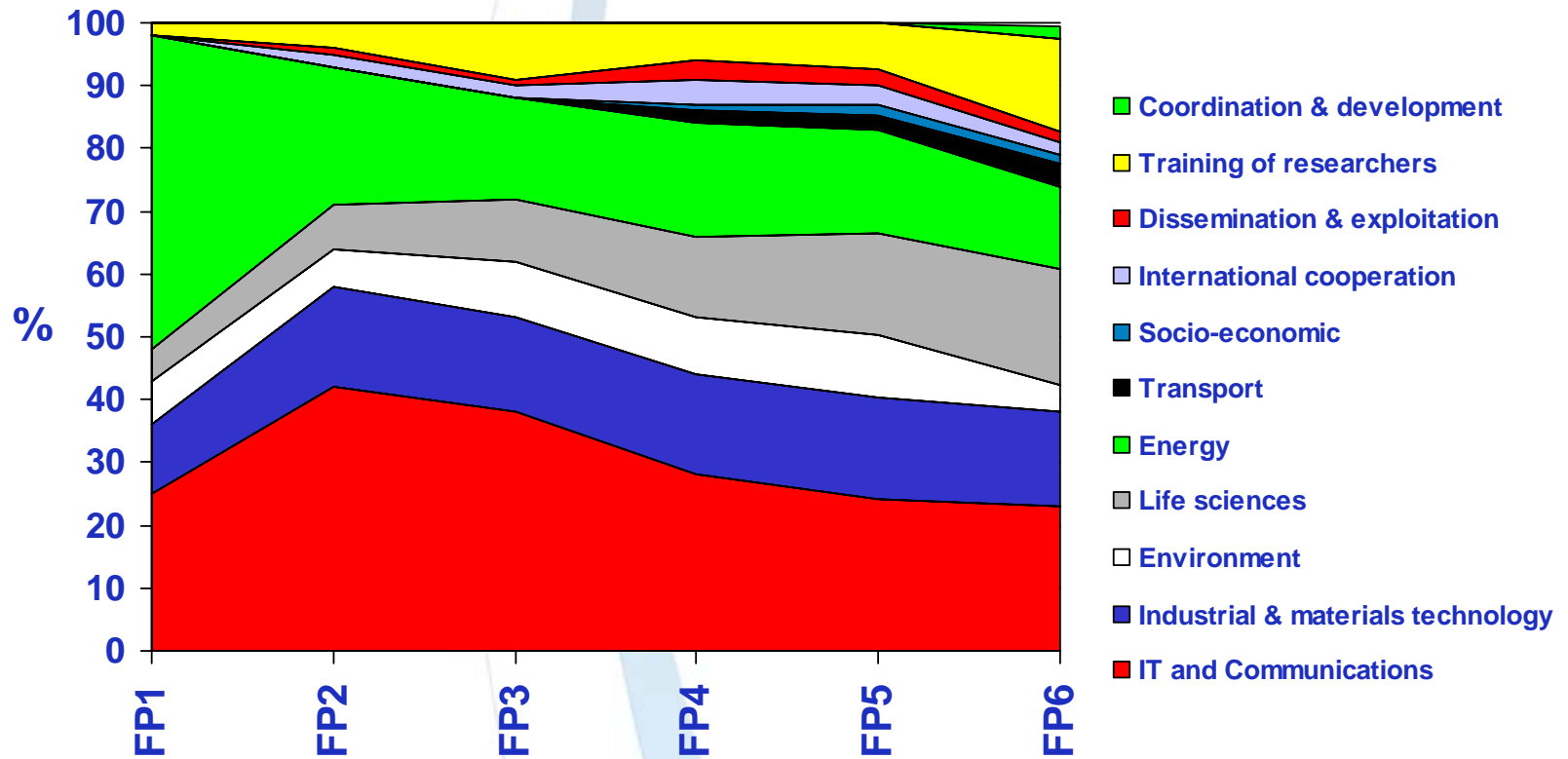


# The changing picture – FP6 to FP7

FP6	FP7
Research objectives	Improved hierarchy of outcome objectives with appropriate indicators
Data collection (contract process, reporting)	More systematic and simplified collection of data
Annual Monitoring by independent experts	Internal monitoring of implementation -Indicators to track progress
	FP7 Mid-term evaluation
Five Year Assessment by high-level independent experts	Ex post assessment of an FP, 2 years after its completion by high-level independent experts
Impact surveys at FP level	Strengthened programme of coordinated strategic-level evaluations
Evaluation studies at operational level	Evaluation studies at operational level (portfolio, programme)
National impact studies	Coordinated national impact studies
Ad-hoc research-related activities	FP research on evaluation tools and approaches



# Changing EU research priorities



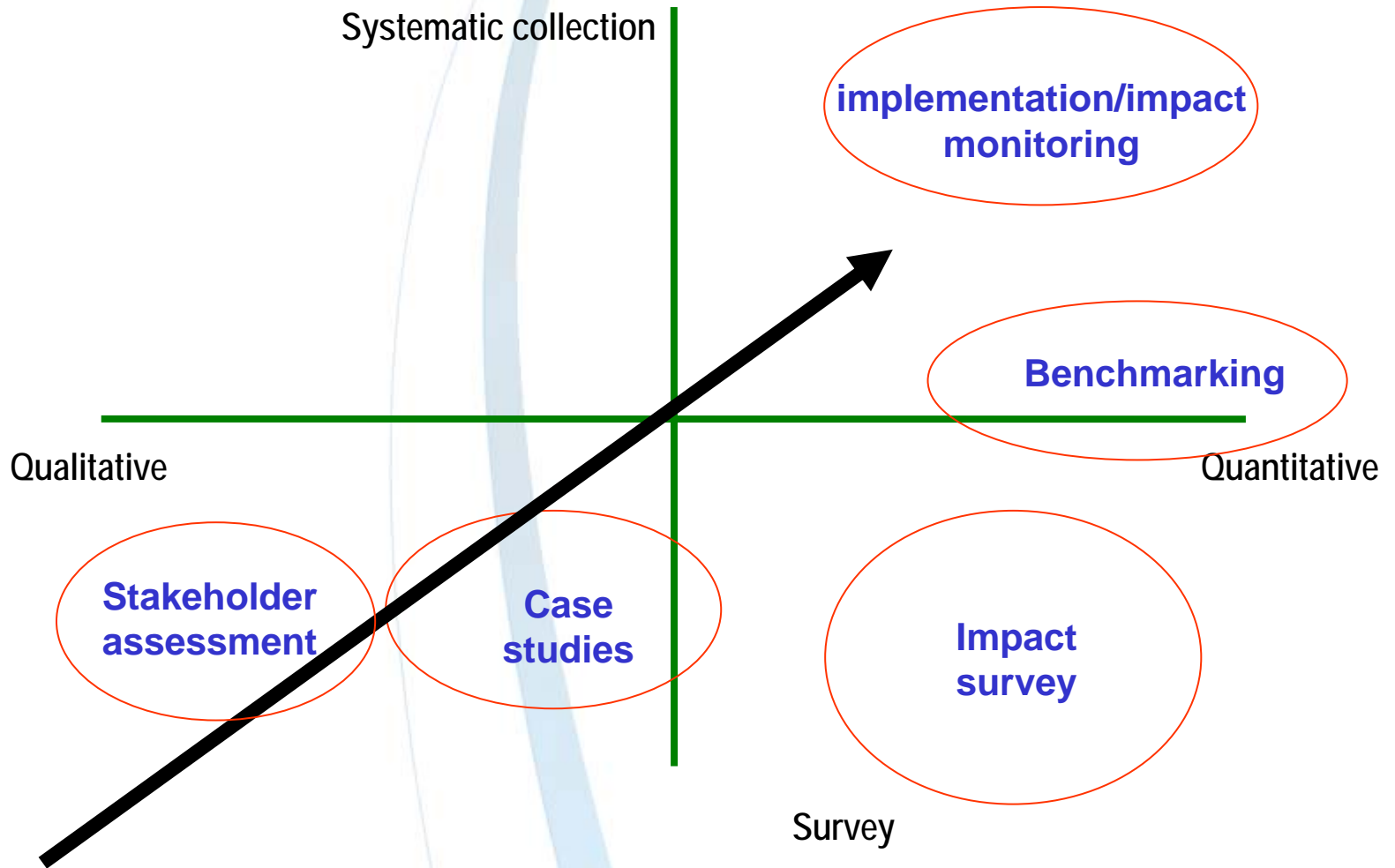


# ***Widening the scope of evaluation***

- **Early assessments focused on scientific and technological quality and progress; effectiveness of programme management**
  
- **Requirements have changed in line with the changing RTD objectives e.g.**
  - **more complex activities**
  - **knowledge diffusion**
  - **technology transfer**
  - **networking**
  - **product development**
  - **innovation**
  - **services**
  - **infrastructure**
  - **co-ordination of national policies**



# The drive for stronger data





# *The growing role for evaluation*

- **Research at the very heart of EU policy gives new emphasis to evaluation**
  - **New Lisbon strategy – growth and jobs**
  - **FP7 – longer duration & higher funding levels, new structures (European Research Council, Joint Technology Initiatives), simplification**
  - **Joint Research and Innovation action plan to boost investment in knowledge**
  - **Competitiveness and Innovation Framework Programme**



# ***Evaluation system - rationale***

- Overall research evaluation strategy confirmed in 1996 Commission Communication and updated in 2005 ex ante Impact Assessment
- Clear legal framework
  - FP Decision
  - EU Financial Rules
- Link with Framework Programme intervention logic
- More attention to internal coordination e.g. links between levels and with other reporting information





## ***Evaluation system - implementation***

- **Overall fairly significant scale of activity (1996-2006)**
  - More than 120 Monitoring reports (more than 760 expert evaluators in panels)
  - More than 30 Five-year Assessment reports
  - More than 40 intermediate or impact evaluations of thematic programmes
  - More than 20 National impact studies
- **Resources constrained**
- **Some methodological evolution**
- **Fairly constant pool of evaluators**
- **Data challenges**



# ***Evaluation system***

## ***- outputs and outcomes***

- Political decisions on new FPs have been linked to availability of evaluation evidence
- Five Year Assessment (1999-2003) produced clear changes for FP7
- Need for effective communication strategy involving the evaluators
- Problems with timing and coordination between different types of evidence
- Need for a longer-term view



# *Summary of achievements*



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- Individually robust evaluations and results
- Justification of interventions
- Evolution of tools
- Building expertise
- Body of evidence

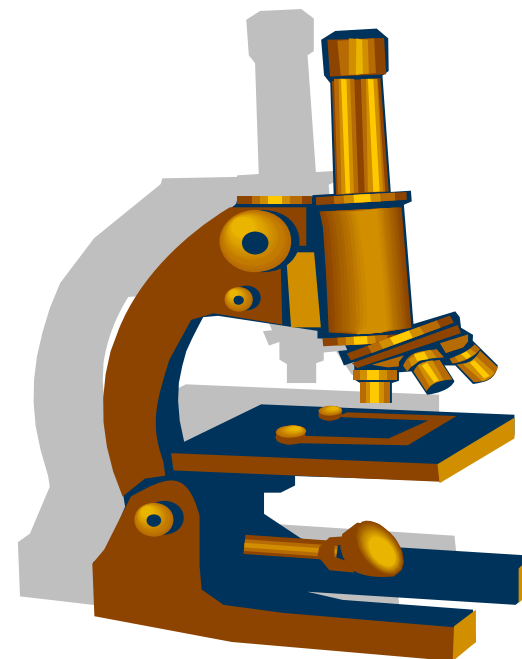
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- Comparison of results over time
- Comparison of results between interventions
- Measurement of interactions between interventions
- Comparison with other social and economic interventions
- Impacts on decision making
- Image



# ***Where is the evidence? -which evaluations do we do best***

- ✓✓✓ Contribution to the knowledge base
- ✓ ✓ Research effectiveness
- ✓(✓) Socio-economic outcomes





# ***Things we know we don't know and things we know we don't do***

- **Technical problems – time-lag, complementary inputs, attribution complexity.....**
- **The strategic positioning of evaluation ... as part of policy making and execution**





***“ For the growing good of the world is partly dependent on unhistoric acts and that things are not so ill with you and me as they might have been is half owing to the number who lived faithfully a hidden life and rest in unvisited tombs”***

***from ‘Middlemarch’ by George Eliot (1819-1880)***



societyfamilylifeeconomic  
developmentemployment  
democracycitizenshipdevel  
opmentgenderdemocracy  
qualityoflifef



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