

PROGETTAZIONE GESTIONE E CONTROLLO DEI PROGRAMMI DELL'UNIONE EUROPEA

CRITERI E METODI DI VALUTAZIONE DEI PROGETTI EUROPEI

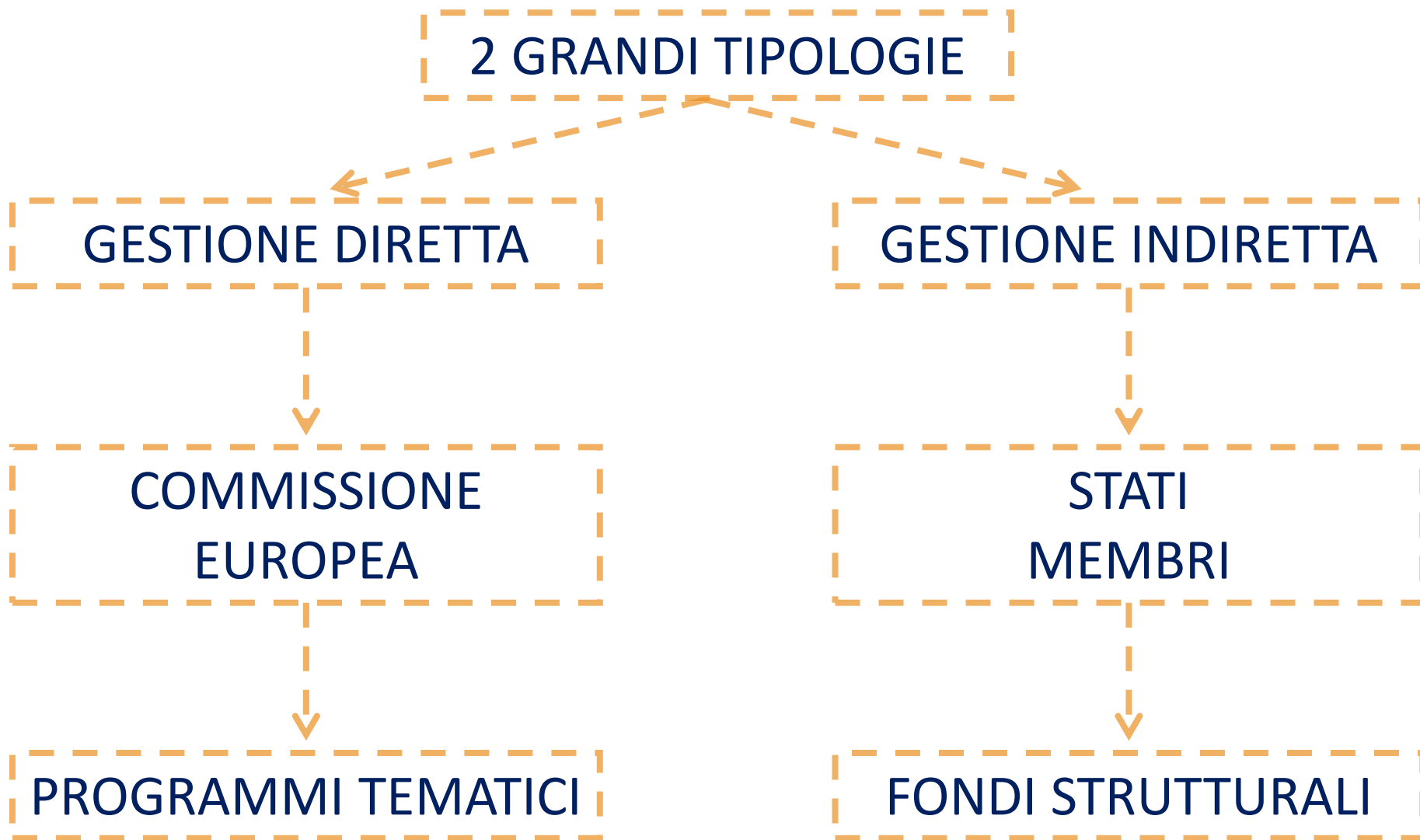
CHRISTIAN VIOLI

Torino – 13 Ottobre 2014

SOMMARIO

- Introduzione
- Chi valuta?
- Cosa valuta?
- Come valuta?

INTRODUZIONE



I FONDI A GESTIONE DIRETTA

- Horizon 2020
- Creative Europe
- LIFE +
- Civil protection fund
- Erasmus +
- Europe for citizens
- Employment and Social Innovation
- COSME
- Justice / Home Affairs
- Health / Consumers

I FONDI A GESTIONE INDIRECTA

● Fondo Europeo di Sviluppo Regionale (FESR)

- Cooperazione territoriale
 - Transfrontaliera
 - Italia-Svizzera
 - Italia-Francia
 - Transnazionale
 - Mediterraneo
 - Spazio Alpino
 - Europa Centrale
 - Interregionale
 - Interreg Europe
 - Urbact III
 - Espon

● Fondo Sociale Europeo (FSE)

«CICLO DI VITA»

- Bando
- Presentazione (progetti)
- Valutazione
- Realizzazione

- Commissione / Segretariati tecnici → Valutazione amministrativa
- Esperti esterni → Valutazione scientifica / di merito
- Funzionari EU + Esperti esterni → Decisione finale

- Programmi diversi adottano criteri di valutazione diversi, ma si possono identificare delle linee comuni
- In ogni caso c'è sempre una valutazione amministrativa che precede la valutazione di merito

VALUTAZIONE AMMINISTRATIVA

- Deadline (la proposta è arrivata in tempo?)
- Completezza informazioni (sono presenti tutte le informazioni richieste?)
- Completezza documentazione (sono presenti tutti i documenti richiesti?)
- Partecipanti (tutti i partecipanti sono eleggibili?)
- Partenariato (c'è il numero minimo di partner?)
- Coinvolgimento paesi (c'è il numero minimo di paesi partecipanti?)
- Budget (la richiesta di contributo è entro i limiti?)
- Co-finanziamento (è raggiunta la percentuale minima di co-finanziamento?)

VALUTAZIONE DI MERITO

- Conformità (la proposta è in tema con il bando?)
- Qualità (la proposta presenta un elevato grado di qualità scientifica / tecnica?)
- Impatto (che impatto avrà il progetto sugli obiettivi del programma / dell'EU?)
- Valore aggiunto europeo (la proposta affronta un tema comune a diverse aree dell'UE? Coinvolge diverse aree?)
- Partenariato (i partner hanno esperienze precedenti? Hanno la necessaria capacità scientifica / tecnica?)
- Organizzazione (la struttura e le modalità di gestione del progetto sono adeguate?)
- Diffusione (il piano di diffusione dei risultati è adeguato?)
- Value for money (il budget è coerente con le attività del progetto?)

ESEMPI

(a)	Conformity. Projects will be assessed on the extent to which they match priority areas identified in section 3 above and in the relevant EU strategic documents and/or action plans. Projects should demonstrate that their objectives reflect a clearly identified need for action according to the EU's policy priorities in the field of CIPS.	10
(b)	Quality of the proposed action regarding its conception, organisation, presentation, methodology, expertise, expected results and strategy for their dissemination. In particular, the ability of the project to attain the desired objective(s) will be assessed.	20
(c)	Value for money. Amount requested for financial support and its appropriateness as to the expected results will be assessed in terms of: consistency between the work programme and the budget; adequacy of budgetary resources (personnel, equipment, travel, etc.) for carrying out the action; demonstration of overall cost effectiveness and value for money. Larger projects, in terms of scope of the planned activities, number of participants, economies of scale and cost effectiveness will be favoured.	25
(d)	Impact of the expected results on the general objectives of the Programme and on measures taken in the different domains as specified in Articles 7 (4) (d) of the basic act.	25
(e)	European added value includes geographical coverage of a project but, most of all, analysis and experimentation that lead to recommendations for common models, protocols, guidelines, structures, mechanisms, policies and processes. In practice, it implies that - in addition to running the project in a number of Member States and building multinational partnerships - applicants must look beyond the framework of the project to find the broader European relevance of the issues, the actions and the output of the project. Every project should end, if possible, with a clear indication of how the project can be further developed at EU level, and with a statement of its potential for European debate and action.	20
	TOTAL	100 points

DG HOME – CIPS / ISEC

<p>1. Excellence</p> <p><i>Note: The following aspects will be taken into account, to the extent that the proposed work corresponds to the topic description in the work programme:</i></p> <ul style="list-style-type: none"> • Clarity and pertinence of the objectives; • Credibility of the proposed approach; • Soundness of the concept, including trans-disciplinary considerations, where relevant; • Extent that proposed work is ambitious, has innovation potential, and is beyond the state of the art (e.g. ground-breaking objectives, novel concepts and approaches). <p><u>Comments:</u></p>	<p>Score 1: Threshold 3/5</p>
<p>2. Impact</p> <p><i>Note: The following aspects will be taken into account, to the extent to which the outputs of the project should contribute at the European and/or International level:</i></p> <ul style="list-style-type: none"> • The expected impacts listed in the work programme under the relevant topic; • Enhancing innovation capacity and integration of new knowledge; • Strengthening the competitiveness and growth of companies by developing innovations meeting the needs of European and global markets, and where relevant, by delivering such innovations to the markets; • Any other environmental and socially important impacts; • Effectiveness of the proposed measures to exploit and disseminate the project results (including management of IPR), to communicate the project, and to manage research data where relevant. <p><u>Comments:</u></p>	<p>Score 2: Threshold 3/5</p>
<p>3. Quality and efficiency of the implementation*</p> <p><i>Note: The following aspects will be taken into account:</i></p> <ul style="list-style-type: none"> • Coherence and effectiveness of the work plan, including appropriateness of the allocation of tasks and resources; • Complementarity of the participants within the consortium (when relevant); • Appropriateness of the management structures and procedures, including risk and innovation management. <p><u>Comments:</u></p>	<p>Score 3: Threshold 3/5</p>

Total score (1+2+3)
Threshold 10/15

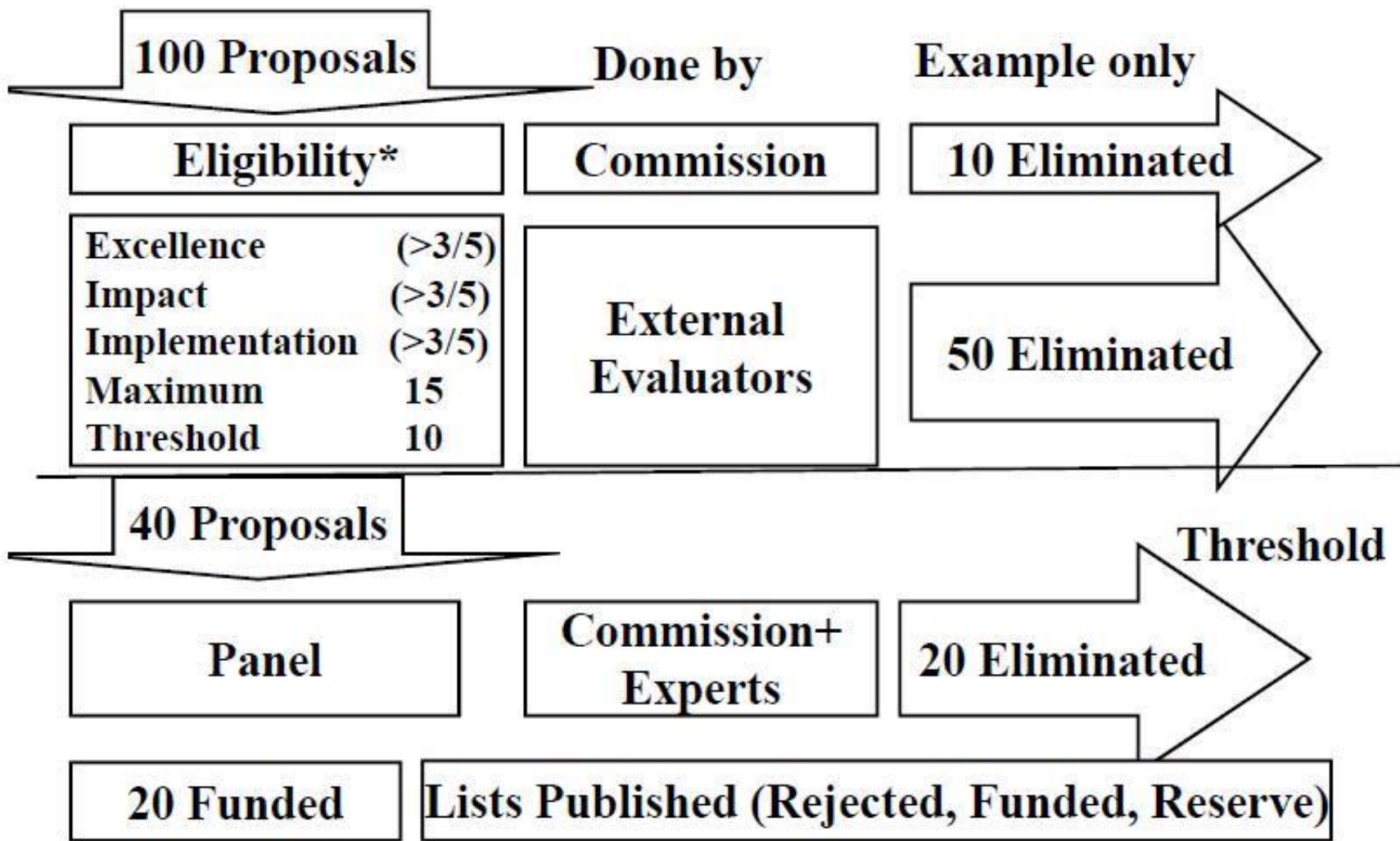


ESEMPI

Section	Note	Balance	Balanced note
I. Coherence of the project with the strategy of the Med programme and European, national and regional policies		10.00	
II. Coherence of the project with European cross-cutting policies		5.00	
III. Transnational dimension of the project		15.00	
IV. Quality of the project		30.00	
V. Quality of the partnership		20.00	
VI. Financing		20.00	
Total			

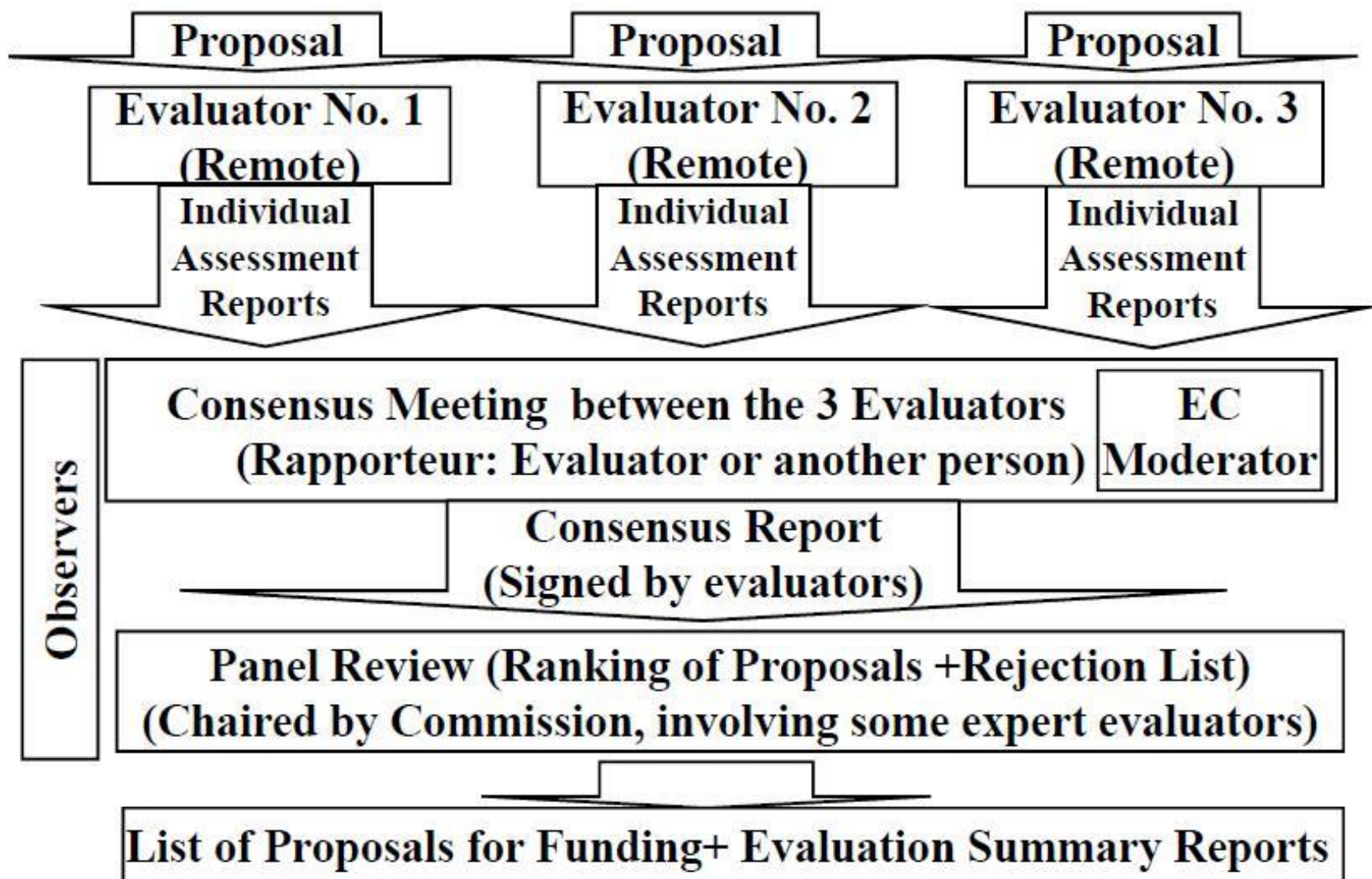
MED

COME VALUTA



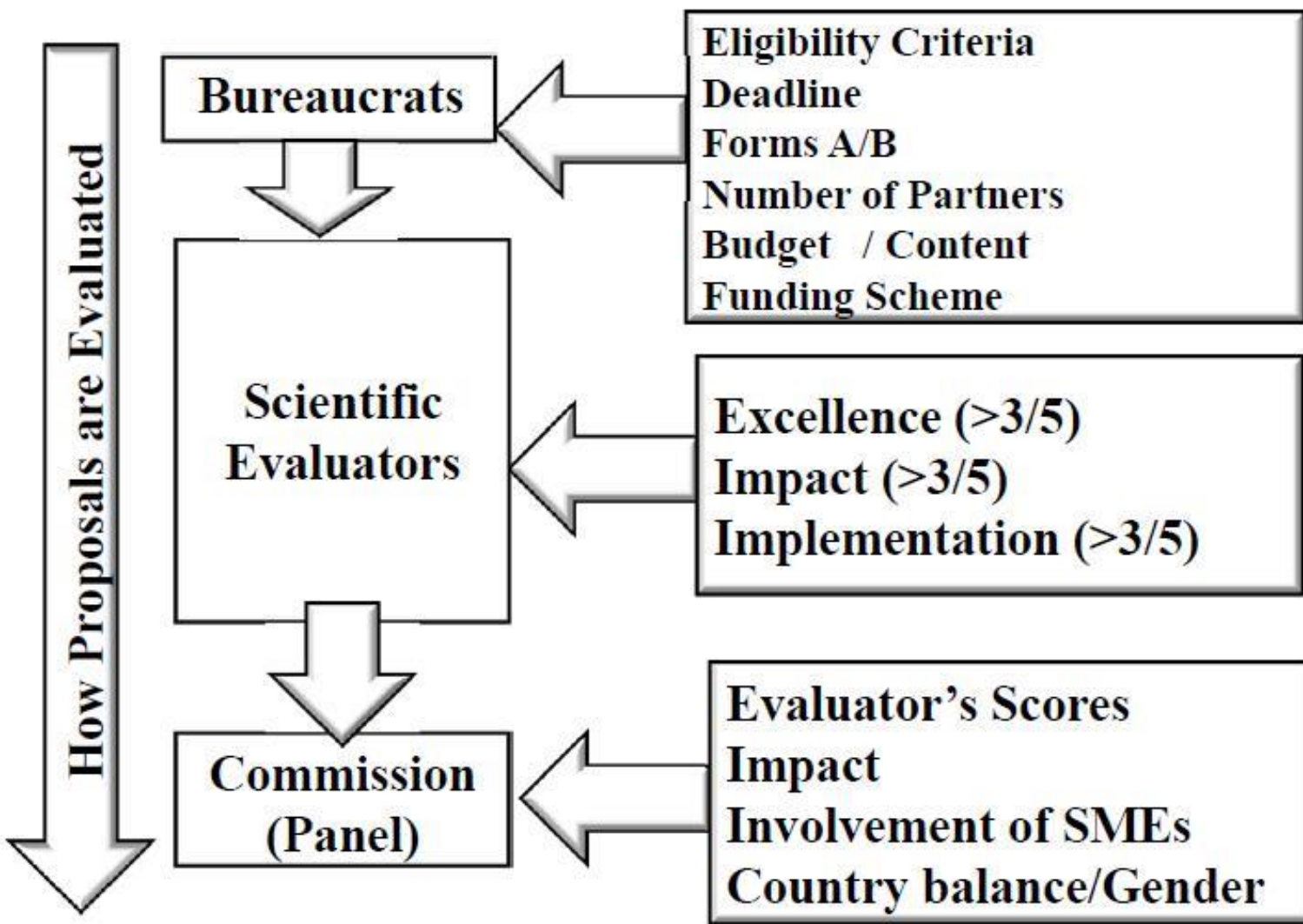
Fonte: Hyperion, 2013

COME VALUTA



Fonte: Hyperion, 2013

COME VALUTA



Fonte: Hyperion, 2013

ESEMPI

CONCLUSION: AWARDED

TOTAL SCORE: 73,5

REASONS:

The project has fairly good conceptual framework focussed around the formal approach to specifying safety and security standards. Establishing high quality standards for critical infrastructures is of great importance for achieving expected result no.1 from the CIPS Call for proposals, point 3.2., namely - development of methods, techniques and instruments for operational or training use. However, the deliverables and outputs could be described in more concrete terms. For example, the outline of security standard for ICT critical infrastructure protection could be given. The innovative aspects of the proposal against past and current projects are described. However, the proposal does not explain in detail an important connection with another related project which was awarded under CIPS-2011 to the same applicant. This is project Ref. No. HOME/2011/CIPS/AG/2112 - Emerging Security Standards to the EU Power Network Controls. As the subject matter of the two projects is very similar the applicant should have explained the link and possible duplication / or complementarity between them. The project has a well-developed methodology with four main phases which come logically one after the other: survey, case studies, impact analysis and final evaluation. Overall the methodology is appropriate to achieve the desired objectives. The Timetable and the List of project activities demonstrates good planning and organizational capabilities of the consortium. Although it is only a 18-months project, the time frame is realistic in order to obtain the desired objectives. The planning and preparation of the activities is sufficient. The likely impact on the CIPS general objectives on medium and long term

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Strengths:

- The application of the formal approach to specifying safety and security standards.
- Establishment of high quality standards for CIP
- Development of methods, techniques and instruments for operational or training use.
- Well-developed methodology

Weaknesses:

The project's impact on medium and long term.

Grant awarded after budget review: 373.955,27 €

DG HOME – CIPS

CONCLUSION: Recommended for RESERVE LIST

REASONS:

1. Overall conclusions:

The aim of project TIER is to focus on the development of an integrated strategy for threat identification and emergency response in case of use of Chemical, Biological, Radiological and Nuclear materials, as well as Explosives. The proposal, although not innovative, could lead to improvement in the area of effectiveness of the activities "first responders" on terrorist attack. The project's objectives are relevant and clearly identified. The project will rely on background developed by the partners in previous projects, with regard to training needs and activities in emergency situations (DITAC; EMDM; WORKPAD), threat identification (TIDES), risk assessment related to chemical and nuclear sector (TRIAL; NoMiracle; DECOTESc1). This project is in line with CBRN-E priority defined by General Call. The methodology is clear and systematic, results are relevant. The dissemination strategy seems to be very effective and adequate to scope and outcome of this project. Target groups and beneficiaries have been addressed accurately. They are first of all "first responders", such as members of the rescue services, security forces and health professionals, as well as the public authorities. A downside of the project is the fact that law enforcement services are not involved. Also impact indicators and the risk –mitigation strategy could have been better formulated.

2. What are the *strengths* of the proposal:

- Awareness of the needs of the development protection against CBRN in EU
- Relevant expected impact
- Experience and know – how of the consortium in the area CBRN substances and related procedures.
- Well-defined objectives

3. What are the *weaknesses* of the proposal:

- Lack of LEA involvement
- Lack of explanation about planned action related to explosives – in contradiction to relatively detailed data concerning CBRN substances.
- Lack of innovative element
- Vague indicators to evaluate the impact of the project.
- High staff costs

4. Value for Money:

Costs in the budget reflect relatively well the activities listed in the project; however in some points estimations are not elaborated clearly enough.

In particular the selection process of subcontractors is not explained – a procurement process will have to be carried out regardless of the fact that companies mentioned in the proposal participated in other projects.

In addition to the above, the amount of hours allocated to staff seems to need to be reduced.

ESR- Evaluation Summary Report Collaborative project

SCORING

Scores must be in the range 0-5. Half marks may be given.

For each criterion under examination, score values are interpreted as follows:

0- The proposal fails to address the criterion under examination or cannot be judged due to missing or incomplete information.

1- Poor. The criterion is addressed in an inadequate manner, or there are serious inherent weaknesses.

2- Fair. While the proposal broadly addresses the criterion, there are significant weaknesses.

3- Good. The proposal addresses the criterion well, although improvements would be necessary.

4- Very good. The proposal addresses the criterion very well, although certain improvements are still possible.

5- Excellent. The proposal successfully addresses all relevant aspects of the criterion in question. Any shortcoming are minor.

IMPORTANT

We believe this proposal is relevant ("in scope") because it addresses, fully or partially, a topic that is open in the call: It conforms to any special conditions set out in those parts of the relevant work programme, and it corresponds to an eligible funding scheme:

IF YES. The consensus scores and comments are given below under each criterion.

IF NO. This proposal is "out of scope" because:

Yes

1. S/T QUALITY

"Scientific and/or technological excellence (relevant to the topics addressed by the call)"

- Soundness of concept, and quality of objectives
- Progress beyond the state-of-the-art
- Quality and effectiveness of the S/T methodology and associated work plan

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The proposal's concept is sound and it addresses real problems.

The objectives are clearly expressed and worthwhile, in particular in relation to the incremental evaluation of security systems. However, the proposal has a strong focus on security functions of non-security products, rather than on security products more generally and their evaluation and certification. Also, the proposal looks at specific application areas, whose appropriateness for the chosen approach is not justified, rather than taking a broader approach. It is thus only partially in line with the terms of the call.

The current state of the art in the field of the proposed work is described well, with appropriate reference to existing relevant EU research projects.

There is potential for progress beyond the current state of the art in combining common criteria with functional safety standards, and in incremental certification.

The technical approach is in general appropriate. However, it does not always adequately support the progress beyond the state of the art claimed in section 1.2 of the proposal, for example in the integration of biometric functional and security evaluation requirements. Ethical and privacy issues are not adequately addressed.

The work plan is in general well designed. Tasks and deliverables are appropriate.

Overall score (Threshold: 3.00/5.00, Weight: 1.00) **3.00**

2. IMPLEMENTATION

"Quality and efficiency of the implementation and the management"

- Appropriateness of the management structure and procedures
- Quality and relevant experience of the individual participants
- Quality of the consortium as a whole (including complementarity, balance)
- Appropriateness of the allocation and justification of the resources to be committed (staff, equipment...)

The management structure is good and management procedures, including for conflict resolution, are appropriate. Project management risks and contingency plans are described in detail and are appropriate. The inclusion of an advisory board is beneficial, but very few bodies have expressed commitment to joining it, and its exact role and function are not sufficiently clearly described. Its value in the proposed work is thus not clear.

The individual participants are of good quality and bring relevant expertise to the proposed work.

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The consortium as a whole is in general balanced and the participants complement each other well. However, there is inadequate representation of data protection authorities either directly or indirectly.

Resource allocation is described in sufficient detail. However, effort allocation is excessive: in particular management effort is overestimated by some 50% in view of the relatively small number of participants in the consortium.

Overall score (Threshold: 3.00/5.00, Weight: 1.00) **3.00**

3. IMPACT

"Potential impact through the development, dissemination and use of project results"

- Contribution, at the European (and/or international) level, to the expected impacts listed in the work programme under the relevant topic/activity
- Appropriateness of measures for the dissemination and/or exploitation of project results, and management of intellectual property.

The proposed work has the potential for impact at the European level in line with the expected impacts listed in the work programme, as well as in the assessment and certification of security functions of complex and integrated systems consisting of security and non-security products. Much of the discussion of impact is generic in nature, for example discussing the impact of certification in general rather than the specific impact of the proposed work. Insufficient attention is paid to categorising security products in Europe and therefore the resulting certification methods are not expected to have an appropriate European dimension.

A dissemination plan is provided which includes a list of targeted end users and appropriate metrics for success. However, the plan lacks an appropriate list of proposed dissemination events.

Exploitation plans are described for individual participants, but they are generic in nature rather than being tailored to the proposed work. Exploitation beyond the consortium is less convincingly described. The standardisation plan does not adequately address European standardisation bodies.

The management of intellectual property rights is only briefly addressed.

Overall score (Threshold: 3.00/5.00, Weight: 1.00) **3.00**

TOTAL

Total score (Threshold: 10.00/15.00, Weight: 1.00) **9.00**

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Christian Violi
13 OTTOBRE 2014

violi@novareckon.it