

Procedures for Proposing and Evaluating IODE Projects and Activities *(2nd revised edition)*

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UNESCO

IOC Manuals and Guides 81

March 2021

English only

For bibliographic purposes this document should be cited as follows:

Paris. Intergovernmental Oceanographic Commission of UNESCO. 2021. *Procedures for Proposing and Evaluating IODE Projects and Activities (2nd Revised edition)*. (IOC Manuals and Guides, 81, 2nd rev. ed.) 20pp. (English) (IOC/2021/MG/81)

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1. BACKGROUND

At its 24th session (2017) the IODE Committee approved the *Report of the Inter-sessional Working Group to Propose a Re-structuring of IODE* which recommended revising the current structure, projects and activities of IODE and decided that the relation between projects (e.g. data flow) should be better communicated within the IODE community but also to the user communities. The Committee agreed that both existing and new IODE projects and activities will benefit from a more effective tracking and oversight process to help ensure that they meet IODE strategic goals and objectives. The Committee adopted Decision IODE-XXIV.3 IODE (Project and Activity Performance Evaluation). These procedures apply to both existing and new projects and activities.

This revised edition includes changes requested by the IODE Management Group to address the following issues: *(i) all projects should develop work plans that have clear performance indicators and measurable deliverables, and (ii) the project reporting template should align with the work plan and which would allow for more straightforward evaluation by the IODE Management Group.*

2. TERMINOLOGY

The following terminology is used to describe IODE project and activities:

- **IODE Pilot Project:** An exploratory effort with limited duration (e.g., 1-2 years) requiring complete or partial direct IODE financial funding as well as project office management in-kind support. A pilot project cannot be extended/renewed: if successful then a proposal can be submitted for an IODE project.
- **IODE Project:** A temporary effort with limited duration (e.g., 1-2 years) requiring complete or partial direct IODE financial funding as well as project office management in-kind support. Projects can be renewed using a new proposal application process at the discretion of the IODE-MG Executive (IODE Management Group Executive members).
- **IODE Activity:** A temporary effort with limited duration (e.g., 1-2 years) that can be extended as decided by the IODE-MG Executive) requiring only IODE project office management in-kind support with defined objectives or purpose (no funding). Activities can be in the form of institutional endorsements that draw favourable attention to IODE as an organization and help IODE to explain how it contributes to IOC objectives.
- **IODE persistent project:** A long-term effort (requiring complete or partial direct IODE financial funding as well as project office management in-kind support) or activity. Such long-term efforts need to be reviewed by the IODE Management Group at the same frequency as other projects and activities. Current examples include OBIS, WOD, GTSPP, GOSUD, OceanDocs, OceanExpert etc.
- **Outcome:** the event, occurrence, or change in conditions, behaviour, or attitudes that indicate progress toward a project's goals.
- **Performance indicator:** a critical indicator of progress toward an intended result of the project.

- **Milestone/deliverable:** a specific point in time within a project lifecycle used to measure the progress of a project toward its ultimate goal.

3. PROPOSING NEW PROJECTS AND ACTIVITIES

It is essential that all IODE projects and activities carry out tasks that serve the objectives of the IODE Programme¹ and IOC High Level Objectives².

Projects or activities that serve only the needs of a sub-community of IODE and are not linked to the main objectives and strategic goals of IODE and IOC are not sustainable. Every project or activity, either a proposal for a new or an existing project or activity will therefore need to justify its resourcing from IODE by explaining how it meets these objectives.

Proposals for new projects and activities are considered by the IODE Committee and included in the IODE work plan and budget. The IODE Committee must balance the work plan with available financial and human resources. As the demand for resources is likely to be higher than available resources it is important to “score” submitted proposals so they can be ranked in accordance with their score.

New proposals must address the questions presented in the *New Project/Activity Template*. Project proposals should also include additional documentation to support the submission and must include a SWOT analysis. A SWOT analysis is used to evaluate the Strengths, Weaknesses, Opportunities and Threats involved in the project and to identify the internal and external factors that will influence the ability to achieve the project objectives. Only proposals up to 5 pages long will be evaluated.

The IODE Committee sessions are held every two years, usually around February/March, and all working documents must be available to Committee members on 1st January of the year in which the Committee meeting is held. This includes all project or activity proposals requiring funding. The deadline for submission of proposals for new projects and activities should start no later than 1st September of the year preceding the IODE Committee Session.

3.1 PROCESS FOR PROPOSING NEW PROJECTS AND ACTIVITIES

The process for proposing projects and activities will include the following:

1. All project and activity proposals will be submitted to the IOC Project Office for IODE using the *New Project/Activity Form (Annex I)*. The template should be completed in English. Additional documentation, including a SWOT analysis, to support the proposal should also be attached.
2. The Project Office will check all submitted proposals for compliance with the template. Proposals that do not comply will be returned to the submitter with a note explaining

¹ https://www.iode.org/index.php?option=com_content&view=article&id=375&Itemid=100091

² <https://ioc.unesco.org/about/mission-vision>

what is missing. Submitters have 10 working days to re-submit. Failure to re-submit within that period will result in rejection of the proposal.

3. Re-submitted proposals are checked for compliance with the template. Proposals that were re-submitted but still do not comply are rejected. The submitters will be informed of this by email.
4. All proposals that comply with the proposal template are sent to the IODE-MG Executive by email, with a request to review and score the proposals, not later than a given deadline.
5. IODE-MG Executive will review and evaluate proposals using the proposal evaluation criteria. IODE-MG Executive may select a pool of independent or subject matter experts from the IODE community to provide peer-review comments regarding proposed projects and activities.
6. The IODE Co-chairs will review the evaluations for all proposals and calculate the average score for each proposal, rank the proposals by their average score, and prepare a summary table according to descending scores including title, score and evaluation comments.
7. The IODE Co-chairs will provide a summary table to the IODE-MG Executive requesting approval.
8. The IODE-MG Executive will review the summary table and inform the IODE Co-chairs of their approval. If a submission is unsuccessful, the IODE-MG Executive will inform the Head of the Project Office who will notify the proposer of the outcome.
9. The IODE Co-chairs will prepare a working document for the upcoming IODE Committee Session including the reviewed proposals, the summary table with scores and evaluation comments.
10. The IODE Co-chairs will submit the working document to the Head of the IOC Project Office for IODE, who will post the document on the web site for the upcoming IODE Committee Session.

Based upon the above, the total process will require approximately four months. Taking into account the deadline for submission of working documents this means that step 1 should start no later than 1st September of the year preceding the IODE Committee Session.

This process is mapped in the diagram in [Annex V](#).

4. EVALUATING NEW PROJECT AND ACTIVITY PROPOSALS

The IODE-MG Executive will act as the evaluation panel to assess each proposal within the context of IODE and IOC objectives. Each member of the evaluation panel will issue an overall evaluation results based on their individual evaluation. Assessments from all panel members will be added and a project must not receive 'not approved' to be considered for recommendation by the IODE-MG Executive to the IODE committee.

Members of the IODE-MG Executive may choose to serve on the evaluation panel or may nominate expert(s) to carry out the evaluation on their behalf. No evaluation panel member may provide an evaluation of a project or activity in which they are involved. Once the evaluation is completed, a written report of results will be made available to IODE-MG

Executive no later than two months after the annual reports are received. Results of the evaluation will be anonymized and shared with proponents.

4.1 CRITERIA FOR EVALUATING NEW PROJECT AND ACTIVITY PROPOSALS

The following evaluation criteria will be used:

1. The IODE Management Group concluded that the new project/activity targets IODE/IOC objectives:
 - a. Completely
 - b. Partially
 - c. Absent
2. The IODE Management Group concluded that the new project/activity's governance model (e.g., Steering Group) is:
 - a. Satisfactory, Approved without the need for modifications
 - b. Satisfactory, Approved with the need for minor modifications
 - c. Satisfactory, Approved with the need for major modifications
 - d. Not satisfactory, Rejected
3. The IODE Management Group concluded that the new project/activity's outcomes and PIs are:
 - a. Satisfactory, Approved without the need for modifications
 - b. Satisfactory, Approved with the need for minor modifications
 - c. Satisfactory, Approved with the need for major modifications
 - d. Not satisfactory, Rejected
4. The IODE Management Group concluded that the proposed workplan and budget is:
 - a. Satisfactory, Approved without the need for modifications
 - b. Satisfactory, Approved with the need for minor modifications
 - c. Satisfactory, Approved with the need for major modifications
 - d. Not satisfactory, Rejected

Overall evaluation result:

- Approved
- Approved with minor remarks
- Approved with major remarks
- Not approved

The Evaluation Sheet in [Annex III](#) is to be used for new IODE project and activity proposals.

5. EVALUATING EXISTING IODE PROJECTS, ACTIVITIES AND PERSISTENT PROJECTS

All approved IODE projects, activities and persistent projects, whether ongoing or ending, must meet the evaluation criteria defined by the IODE-MG Executive and will be evaluated annually based on the report provided. The annual report will describe the results achieved to date and future proposed work.

Members of the IODE-MG Executive may choose to serve on the evaluation panel or may nominate expert(s) to carry out the evaluation on their behalf. No evaluation panel member may provide an evaluation of a project or activity in which they are involved. Once the evaluation is completed, a written report of results will be made available to IODE-MG Executive no later than two months after the annual reports are received. Results of the evaluation will be anonymized and shared with proponents.

If projects and activities do not provide a final report or if progress is less than satisfactory with respect to deliverables, then they will not be considered for another funding cycle unless clear actionable remedies are put in place. For example, if a project or activity did not meet stated deliverables or objectives for which funding and support was made available then this could be considered as a reason for not recommending further support or endorsement.

All approved IODE projects, activities and persistent projects must complete the *IODE Annual Project Report Form* ([Annex II](#)). This report is to be submitted annually for evaluation by the IODE-MG Executive and to the IODE Committee at its session. The sections concerning reporting to the IODE Committee session (draft text for summary report and work plan and budget) are to be completed only for the annual report submitted prior to the IODE Committee session.

5.1 CRITERIA FOR EVALUATING EXISTING PROJECTS, ACTIVITIES AND PERSISTENT PROJECTS

The following evaluation criteria will be used to evaluate ongoing project and activity performance:

1. The IODE Management Group concluded that the level of performance of the project/activity is:
 - a. Satisfactory and should continue
 - b. Satisfactory and agree with the suggestion to close the project/activity
 - c. Not satisfactory and recommend closing the project/activity. A proposal for a new project/activity can be submitted
2. The IODE Management Group concluded that the proposed workplan and budget is:
 - a. Satisfactory, without the need for modification
 - b. Satisfactory, with the need for minor modifications
 - c. Satisfactory, with the need for major modifications
 - d. Not satisfactory (closure or resubmission of a workplan and budget is recommended)

Overall evaluation result:

- Satisfactory
- Not satisfactory

The Evaluation Score Sheet in [Annex IV](#) is to be used for existing IODE projects and activities.

6. IODE MANAGEMENT GROUP ACTIONS

Proposals for new projects that do not receive a positive evaluation will be rejected and the project proposal submitter will be notified of the reason for rejection. Rejected proposals may be resubmitted.

Ongoing projects that do not receive a positive evaluation (“Not satisfactory or satisfactory with modifications requested”) will be notified of what actions need to be taken to improve performance and given an appropriate time frame for improvement.

Projects that receive a negative evaluation (“not satisfactory”) may have IODE endorsement withdrawn at the discretion of the IODE-MG Executive. The project may not continue to operate nor funds expended unless an approved workplan and budget is developed and approved by the IODE-MG Executive. The project proponents may propose a new project request for funding.

ANNEX I. NEW PROJECT/ACTIVITY FORM

This form is to be completed for all **new** IODE project and activities and submitted as a separate document to info@iode.org (with *IODE Projects* in the subject line). Attach any additional project documentation and SWOT analysis to support the project/activity.

1. Title of project/activity and acronym

2. Detailed description

3. Does the project/activity enhance IODE activities and have endorsement or support from the IOC/IODE community or other national, regional, or international programmes? (provide references)

4. Describe the commitments from IODE stakeholders for the project deliverables

5. Expected duration

Start date:

End date:

6. Name and email of project leader and project team

Project leader:

Project team members:

7. Workplan and Budget

Project Outcomes			
O1.			
Performance Indicators (2-5 maximum)			
PI1.			
PI2.			
Workplan and Budget			
Milestone/deliverable/work package			
M1/D1/WP1:			
Activities (include start-end date if applicable)	Responsible	Budget (requested from IODE) USD	
		20xx	20xx
A1.1:			
A1.2:			
A1.3:			

Assumptions and risks			
Milestone/deliverable/work package			
M2/D2/WP2:			
Activities (include start-end date if applicable)	Responsible	Budget (requested from IODE) USD	
		20xx	20xx
A2.1:			
A2.2:			
A2.3:			
Assumptions and risks			
Total budget (requested from IODE)			
Other resource contributions identified (financial or in-kind including staff): Expected IODE project office management staff time requested during the next biennium (person-months): Provide additional details as annex to the table if required.			

8. Explain how the project/activity will target one or more IODE or IOC objectives

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9. Describe the governance model for the project/activity (e.g. working group, advisory group)

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Signed by Project Leader.
Date.

For IODE use only.
Date received:

ANNEX II. ANNUAL PROJECT REPORT FORM

This form is to be completed for all **approved** IODE projects and activities. Project reports are to be submitted annually to info@iode.org (with *IODE Projects* in the subject line). Attach any additional project documentation. **Note: Sections 7 and 8 are to be completed only for the annual project report submitted prior to the IODE session.**

1. *Title of project/activity and acronym*

2. *Project established by (provide reference to IODE Committee session and Decision)*

3. *Annual report submitted by [name] on [date]*

4. *General overview of the project status/ Executive summary*

5. *Assumptions and risks*

6. *Annex II Part A. Report on the status of the implementation of the workplan*

Project Outcomes	
O1.	
Performance Indicators (2-5 maximum)	Status (empty for new projects)
PI1.	
PI2.	
Status of Workplan Implementation	
Milestone/deliverable/work package	
M1:	
Activities	Status (completed, in progress, postponed, cancelled)
A1.1:	
A1.2:	
A1.3:	
Report on status of activities. Problems experienced and measures taken:	
Milestone/deliverable/work package	

M1:	
Activities	Status (completed, in progress, postponed, cancelled)
A2.1:	
A2.2:	
A2.3:	
Report on status of activities. Problems experienced and measures taken	

-----THE FOLLOWING SECTIONS ARE TO BE COMPLETED FOR THE ANNUAL REPORT PRIOR TO IODE SESSION-----

7. *Annex II Part B. Submission of new workplan and budget for the next intersessional period.*

Project Outcomes			
O1.			
Performance Indicators (2-5 maximum)			
PI1.			
PI2			
Workplan & Budget			
Milestone/deliverable/work package			
M1/D1/WP1:			
Activities (include start-end date if applicable)	Responsible	Budget (requested from IODE) USD	
		20xx	20xx
A1.1:			
A1.2:			
A1.3:			
Assumptions and risks			
Milestone/deliverable/work package			
M2/D2/WP2:			

Activities (include start-end date if applicable)	Responsible	Budget (requested from IODE), USD	
		20xx	20xx
A2.1:			
A2.2:			
A2.3:			
Assumptions and risks			
Total budget (requested from IODE)			

8. Draft text for the annotated agenda and summary report (TO BE USED FOR REPORTING TO THE IODE SESSION)

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Signed by Project Leader.

Date.

For IODE use only.

Date received:

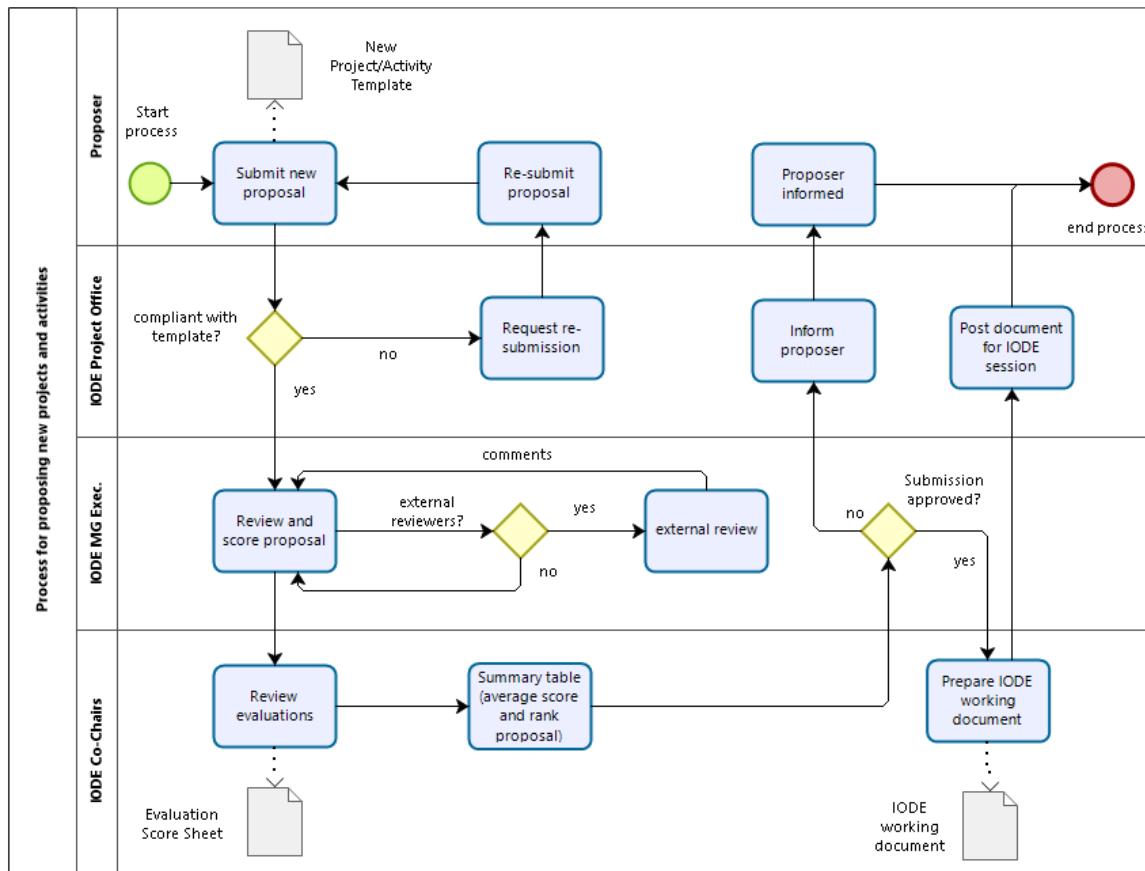
ANNEX III. EVALUATION SCORE SHEET. NEW IODE PROJECTS/ACTIVITIES

New IODE projects and activities. Evaluation score sheet.	
Name of Project:	Score
1. The IODE Management Group concluded that the new project/activity targets IODE/IOC objectives:	
a. Completely	
b. Partially	
c. Absent	
2. The IODE Management Group concluded that the new project/activity governance model (e.g. Steering Group) is:	
a. Satisfactory. Approved without the need for modifications	
b. Satisfactory. Approved with the need for minor modifications	
c. Satisfactory. Approved with the need for major modifications	
d. Not satisfactory. Rejected	
3. The IODE Management Group concluded that the new project/activity's outcomes and PIs are:	
a. Satisfactory. Approved without the need for modifications	
b. Satisfactory. Approved with the need for minor modifications	
c. Satisfactory. Approved with the need for major modifications	
d. Not satisfactory. Rejected	
4. The IODE Management Group concluded that the proposed workplan and budget is	
a. Satisfactory. Approved without the need for modifications	
b. Satisfactory. Approved with the need for minor modifications	
c. Satisfactory. Approved with the need for major modifications	
d. Not satisfactory. Rejected	
Overall evaluation result	
Approved	
Approved with minor remarks	
Approved with major remarks	
Not approved	
Summary of evaluation	

ANNEX IV. EVALUATION SCORE SHEET. EXISTING IODE PROJECTS/ACTIVITIES

Existing IODE projects and activities. Evaluation score sheet.	
Name of Project:	Score
1. The IODE Management Group concluded that the level of performance of the project/activity is:	
<i>a. Satisfactory and should continue</i>	
<i>b. Satisfactory and agree with the suggestion to close the project/activity</i>	
<i>c. Not satisfactory and recommend closing the project/activity. A proposal for a new project/activity can be submitted</i>	
2. The IODE Management Group concluded that the proposed workplan and budget is:	
<i>a. Satisfactory. Without the need for modifications</i>	
<i>b. Satisfactory. With the need for minor modifications</i>	
<i>c. Satisfactory. With the need for major modifications</i>	
<i>d. Not satisfactory. Closure or resubmission of a workplan and budget is recommended</i>	
Overall evaluation result	
<i>Satisfactory</i>	
<i>Not satisfactory</i>	
Summary of evaluation	

ANNEX V. PROCESS DIAGRAM FOR PROPOSING NEW PROJECTS/ACTIVITIES



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