

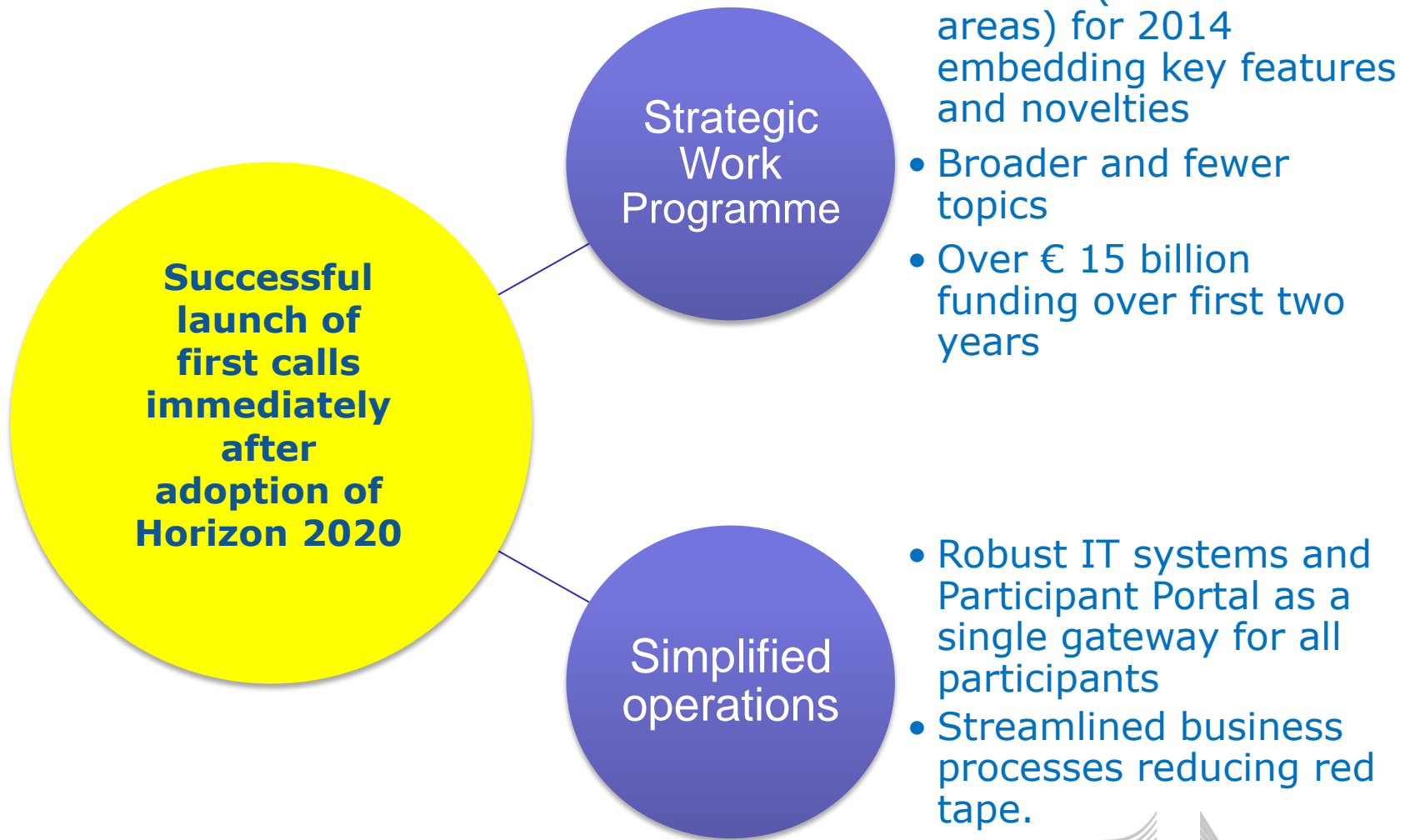


Horizon 2020 - Work Programme lessons and preparing for 2016/17

HORIZON 2020

Research
and
Innovation

Launch of Horizon 2020: A major achievement



Response to Horizon 2020 calls in first 10 months

- More than **2.1 million visits on Participant Portal** in December 2013 and increasing in the following months, **just over 3 million visits** per month
- Ca. **34,500 proposals** submitted
- Nearly **11,000 expert evaluators** contracted (74,000 experts registered)
- Attracted **newcomers** and evidence of **increase in industry participation**
- High oversubscription reflect the **popularity of Horizon 2020**



Lessons Learned from first H2020 calls

Analysis of the experiences with the first calls with the objectives:

- Take-stock
- Prepare (necessary) corrective measures
- Feed into Work Programme cycle for 2016-17

Based on

- **Statistical analysis of 33 concluded calls** (approx. half of calls launched in 2014, but comprising only ca. 5,250 proposals) covering the first six months of operation
- Feedback from **Commission services and Executive Agencies**
- **Observers' reports** from evaluations
- Feedback from some **stakeholders, certain NCPs and some Member States**

Lessons Learned: Work Programme and Information for applicants

Findings: **Participant Portal valued** by R&I community, but **work programme needs to be more visible**

Delays in **handling questions and providing information** to NCPs, applicants etc.

Recommendations:

- ✓ Enhance presentation of calls in Participant Portal
- ✓ Continuous improvement of Horizon 2020's IT system.
- ✓ Reinforce Commission efforts to help NCPs do their job
- ✓ Update regularly Frequently Asked Questions (FAQs)

Lessons Learned: Response to calls

Findings: **Challenge based approach liked** by R&I community

Newcomers attracted and evidence of increase in **industry participation**

Over-subscription (8x available budget, 5x under FP7). However, picture remains largely diverse! Around 1/3 of good proposals (i.e. above threshold) can be funded!

Recommendations:

- ✓ Further analysis necessary
- ✓ Maintain the challenge-based approach, but improve clarity of topic descriptions (impact statements)
- ✓ Adapt call conditions for two-stage evaluations ensuring a 1:3 (budget-wise) success rate in the second phase

Lessons Learned: Proposal Evaluation

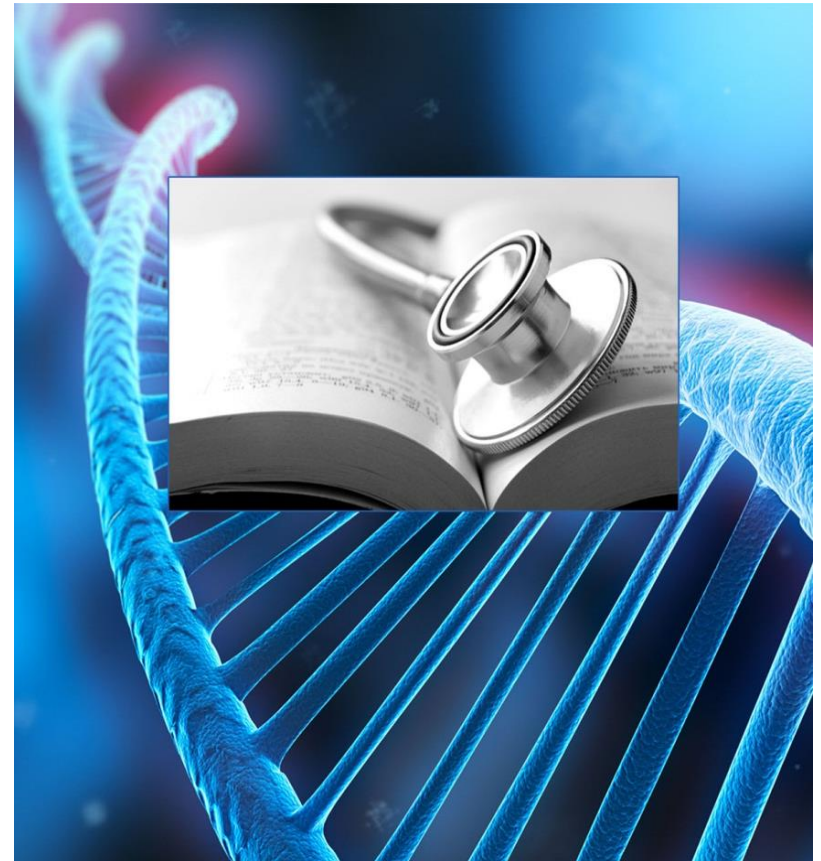
Findings: According to observers' reports **overall excellent quality of evaluations with good mix of experts**.
Some concerns regarding **interpretation of criteria and new concepts** (e.g. innovation management).
Lack of certain expertise in database (women, experts in innovation and business planning)
Difference in level of **feed-back provided** to applicants

Recommendations:

- ✓ Update briefings and guideline documents, including information for applicants, and evaluation process in response to feedback received
- ✓ Reinforce efforts to attract experts
- ✓ Develop a set of minimum standards on feedback

Lessons Learned: Further recommendations

- ✓ Carry out further monitoring of implementation processes (e.g. TTG), particularly when they affect applicants
- ✓ Address **key features and novelties** upstream in the work programme preparation cycle to ensure embedding in priority setting as well as implementation



Key feature: Covering the full research & innovation cycle

Work Programme 2014-2015

- ✓ **More support for innovation, activities close to market and demand side approaches**

€2 billion allocated to 100 topics for Innovation Actions (IA) in Societal Challenges and LEITs; €120+ million for innovation procurement (PCP/PPI); five inducement prices (2015)

- ✓ **Engagement of industry**

€800 million for contractual Public-Private Partnerships; €516 million for SME instrument topics; more than €1.7 billion investment in JTIs; €630 million goes to debt and equity facilities; substantial investment in P2Ps

First calls:

- ✓ Increased industry participation
- ✓ Good uptake of IA, other new innovation instruments to be monitored
- ✓ Need to continue and, where appropriate, reinforce broad approach to innovation (service, social innovation etc.)

Key feature: SMEs

Work Programme 2014-2015

- ✓ **SME opportunities across the whole work programme**, notably in Societal Challenges and LEITs (20% budgetary target) plus measures to enhance SME innovation capacity and debt and equity financial instruments (in addition Eurostars Joint Programme)
- ✓ **SME instrument**: around €512 million through 13 open topics of Societal Challenges and LEITs

First calls:

- ✓ Around 18% of funding for SMEs, but full impact of SME instrument still to kick in
- ✓ Successful launch of SME instrument with high demand: 94% single company applications at first cut-off date for Phase 1 (feasibility assessment); low success rate (6%), but every other 'good' proposal funded (i.e. 49% of applications above threshold)



Key feature: Social Sciences and Humanities

Work Programme 2014-2015

SSH aspects embedded in calls and lines of activity of all WP parts, including through addressing end-user perspectives

- ✓ **199 SSH-flagged topics** (37% of the topics) in Work Programme representing a budget share of 5.3 % (considerably larger than FP7)
- ✓ Significant opportunities in **Marie Skłodowska-Curie** actions (about 11 % of budget to SSH) and in **ERC** (17 % to SSH; from 2015 no pre-defined budget envelope for scientific domains)

First calls:

- ✓ SSH expertise well represented in evaluation panels for SSH-flagged topics
- ✓ SSH coverage in proposals can be enhanced by, for example, improving wording of WP topic descriptions and evaluator briefing

Key feature: Gender

Work Programme 2014-2015

Explicitly integrated in all the sections of Work Programme

- ✓ Total of **99 gendered topics** (16% of total in Work Programme)
- ✓ **Specific call** under Science with and for Society (€ 9.5 million)
- ✓ **Topics are flagged** to ease access for applicants

First calls:

- ✓ Still room to improve gender balance in evaluation panels
- ✓ Gender issues more frequent in flagged topics
- ✓ Continued efforts needed to address gender dimension in preparation and implementation of work programme

Key feature: International cooperation

Work Programme 2014-2015

General openness to international participants & targeted activities in all relevant WP parts

- ✓ Topics with **international participation as a recommendation (20% of topics)**
- ✓ Relying more on **topics with critical mass and multi-lateral approaches (e.g. Health, Resource Efficiency)**

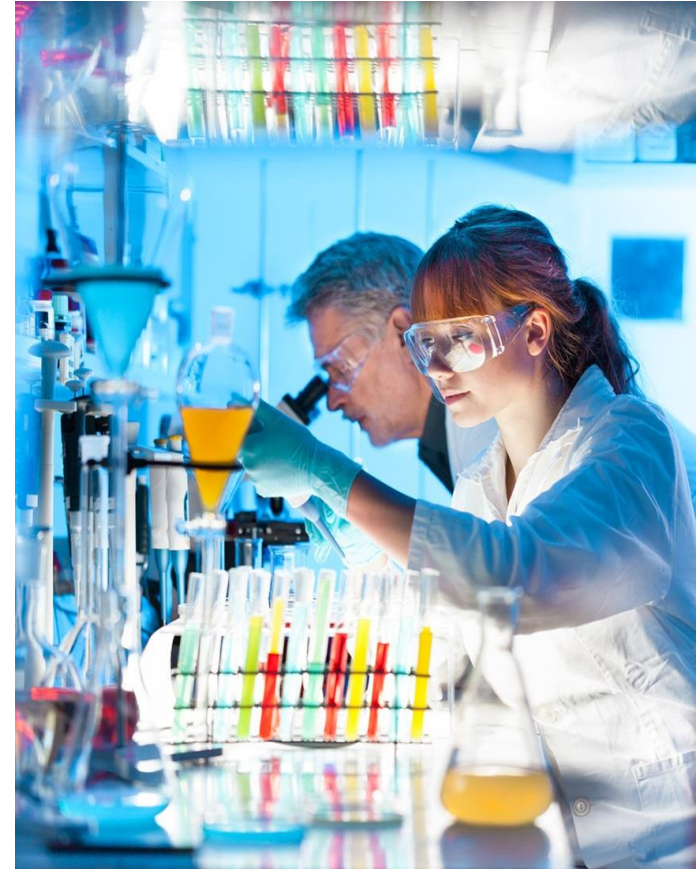
First calls:

- ✓ Significant drop in participation of international partners (no automatic funding for emerging economies – BRIC & Mexico)
- ✓ Continued good level in ERC and MSCA.
- ✓ Need to increase international cooperation activities (flagship initiatives together with accompanying actions)



Lessons Learned – Next Steps

- ❑ Tackle **issues that can be adapted in the short term**
- ❑ **Further in-depth analysis and feedback** - wider audience, notably applicants
- ❑ Take full account of 'Lessons Learned' in the **preparation of the work programme 2016-2017**



Horizon 2020 Work Programme: a strategic approach

- **Following Article 5 in the Horizon 2020 Specific Programme**
 - The specific programme shall be implemented by WPs (calls for proposals);
 - The WPs shall take account of the state of science, technology and innovation and of relevant policy, market and societal developments;
 - The WPs shall set out the objectives pursued, the expected results, the method of implementation and their total amount;
 - The WPs shall contain a multi-annual approach and strategic orientations for the following years of implementation.

Strategic programming 2016-2017

- **Paving the way for the second H2020 work programme**
- **Building on experience of 2014/15 exercise**
- **Content based on Specific Programme**
- **Full alignment with the political guidelines for the new Commission**
- **Input on priorities from Member States**

Embedding of key features and novelties

- **Innovation** and close-to-market activities using the whole toolbox of funding instruments, including inducement prizes;
- **SMEs** (SME instrument etc.);
- **Social Sciences and Humanities** (quality of description of SSH aspects etc.);
- **Gender issues** (more gender-related topics, topic descriptions, female researchers' careers etc.);
- **International Cooperation**, notably support to flagship initiatives, together with accompanying actions.

Full account of the 'lessons learned'

Process

2014

16 Oct

Discussion with PC strategic configuration on overarching strategic document

From 17 Oct until
start Dec

Discussions with PC thematic configurations

2015

Jan-July

Preparation of detailed work programme 2016/17 content

Summer

Opinions of Programme Committee configurations

Third quarter

Adoption of work programme; publication of calls for 2016