



# HORIZON 2020

Work Programme lessons and preparing for 2016/17



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# Launch of Horizon 2020: A major achievement

**Successful launch of first calls immediately after adoption of Horizon 2020**

**Strategic Work Programme**

- 65 calls (12 focus areas) for 2014 embedding key features and novelties
- Broader and fewer topics
- Over € 15 billion funding over first two years

**Simplified operations**

- Robust IT systems and Participant Portal as a single gateway for all participants
- Streamlined business processes reducing red tape.

# 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 reflects 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** (6x 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

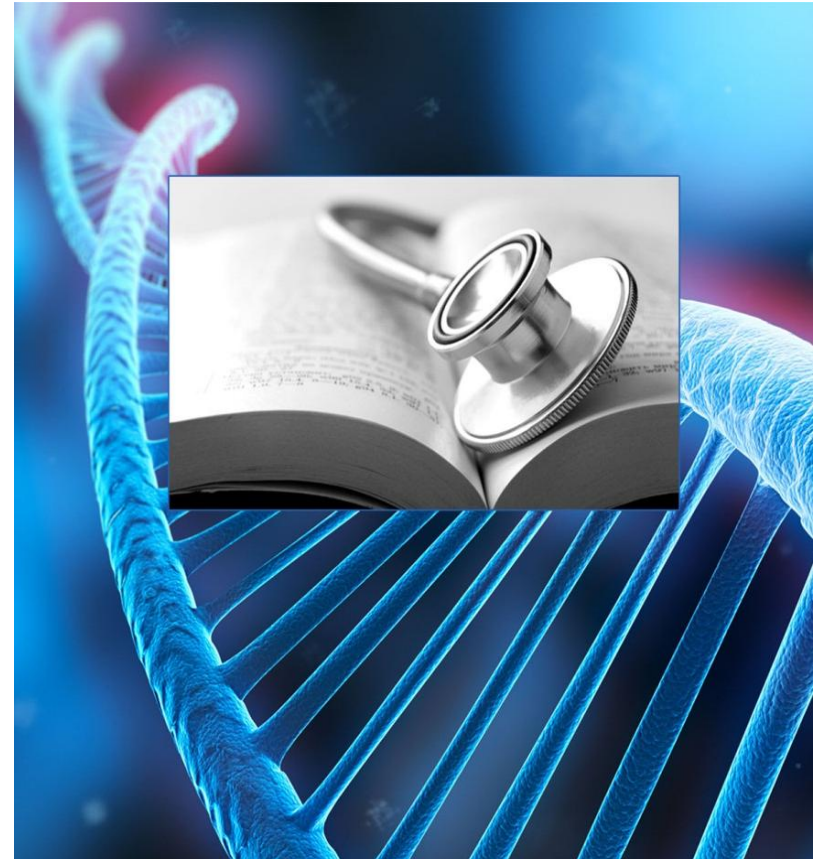
**Findings:** According to observers' reports **overall excellent quality of evaluations with good mix of experts.** Some concerns regarding **interpretation of criteria and new concepts** (e.g. innovation management). **Lack of certain expertise** in database (women, experts in innovation and business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





# **Feedback from Umbrella Stakeholders and Roundtable of Observers**



# **Umbrella Stakeholder Organisations (16/1/2015)**

## **Very positive mood; constructive feedback**

- Broad challenge-based topics generally appreciated
  - Although certain industrial sectors preferred narrow approach
  - Clarity of topics is most important
- Concerns (from some) over embedding of SSH, and trans-disciplinarity in general
- On ESRs, welcomed Commission's minimum standards, and enhancements (for Health stage 1 and SME phase 1).
- Mixed views on suitability of two-stage calls (industry less keen) but welcomed the Commission's intention to aim for a 1/3 success rate at stage two.



# Round-table of Independent Observers (20/1/2015)

## Generally very positive feedback

- Criteria, scoring etc about right, although fine-tuning of "impact" possible
- Good evaluation procedure, but guidelines for applicants and evaluators can be streamlined.
- Underlined importance of good moderators
- Concern over trans-disciplinarity (and embedding of SSH)
- Mixed views on merits of two-stage calls





# Summary:

## **1. Preparation of Work programme 2016/17**

- Continue challenge-based approach in delivering topics while improving their clarity (esp. impact requirements);
- Address key features (international cooperation, SSH, gender etc.) upstream in work programme preparation;
- Adapt call conditions for two-stage evaluations ensuring a 1:3 success rate in the second phase;
- Better use of whole toolbox of funding instruments such as pre-commercial procurement (PCP) or public procurement of innovative solutions (PPI) co-fund actions.



# Summary:

## **2. Implementation of work programme**

- Improve presentation of calls on Participant Portal (better reflection of work programme);
- Reinforce Commission efforts to help NCPs do their job, including with regard to embedding cross-cutting priorities such as SSH and gender dimension in research;
- Apply immediately a set of minimum standards on ESR and further align practices;
- Update briefings and guideline documents, including information for applicants, and evaluation process in response to feedback received
- Continue monitoring.

# Horizon 2020 Work Programme: a strategic approach

# 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.

# Horizon 2020 Work Programme: a strategic approach

## Following Article 12 of the Horizon 2020 Regulation on 'external advice and societal engagement':

- Advice and inputs by independent advisory groups
- Other inputs and consultations of stakeholders
- Consultation of Member State bodies (e.g. Enterprise Policy Group-EPG)

## Broad stakeholder consultation by means of

- Consulting existing thematic groupings like European Innovation Partnerships, European Technology Platforms etc.
- Specific targeted consultations (e.g. SC 2, SC 5)
- Open public consultation (SWAFS)
- Ad hoc meetings, workshops etc. (e.g. Widening)
- Findings and recommendations from CSAs and similar activities (e.g. FP7 VOICES project)

## **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**



## For further information

- **Participant Portal**

<http://ec.europa.eu/research/participants/portal/desktop/en/home.html>

- **Helpdesk**

<http://ec.europa.eu/research/enquiries>

- **Expert evaluators needed!**

<http://ec.europa.eu/research/participants/portal/desktop/en/experts/index.html>

- **Learn more about Horizon 2020**

<http://ec.europa.eu/horizon2020>

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**Thank you for your attention!**