



Horizon 2020 - midterm evaluation

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Research and
Innovation

EU programming cycle

Basic principles

**Relevance – Effectiveness – Efficiency –
Coherence – EU added value**

- Apply to R&I framework programmes (but also to all other funding programmes and legislation)
- Ex-ante impact assessment (options)
- Yearly monitoring reports
- Mid-term evaluation
- Ex-post evaluation

Interim evaluation – EU policy cycle

- *Ex-ante Impact Assessment of Horizon 2020*
- *Ex-Post Evaluation of FP7*
- *Review of EIT*
- *Mid-term evaluations of JTI and the Art. 185s*
- *Monitoring Report 2015*

**Horizon 2020 Interim
Evaluation**

MFF proposal
Ex-Ante Impact Assessment
of the next EU FP
Ex-Post Evaluation of Horizon
2020

EU programming cycle (R&I FPs) **Timeline (mismatch/delay...)**

- Horizon 2020 (2014-2020) legal basis Commission proposals adopted **11/2011**
- Horizon 2020 final version of legal basis adopted by Council and EP **12/2013**
- FP7 (2007-2013) ex-post evaluation: adopted **January 2016**
- Horizon 2020 mid-term evaluation: preparations have started, first draft expected in mid 2017, final adoption planned **end 2017**
- 'FP9' preparation will have to start in **2017** in order to have final versions by end of 2020

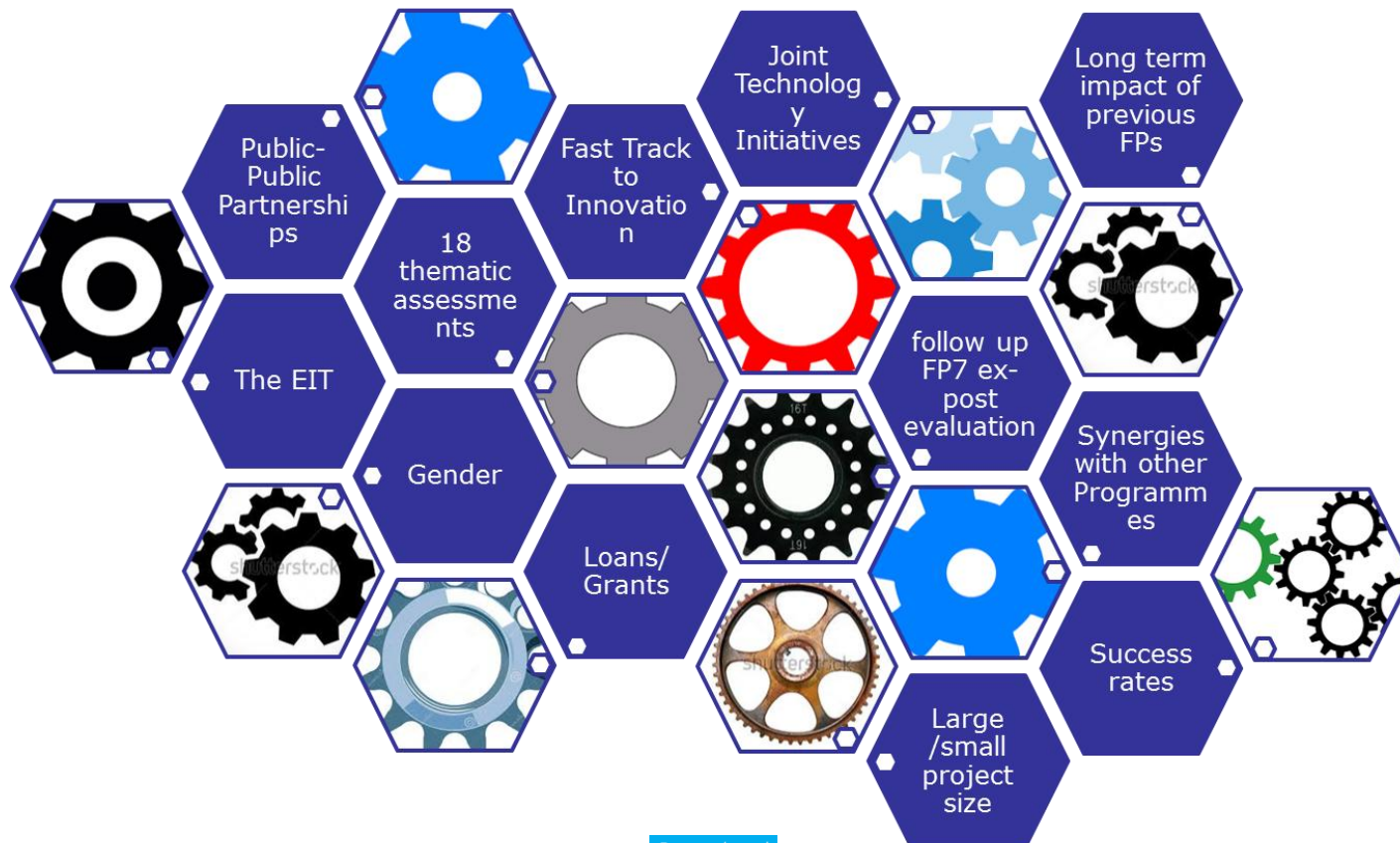
Interim evaluation – main drivers

- Political context:
 - **Pressure on EU budget and need to show strong EU added value**
 - **Juncker Commission priorities**
 - **Open Science, Open Innovation, Open to the World**
- Legal requirements:
 - **Article 32 of the Horizon 2020 Regulation**
- The 5 criteria of the Better Regulation Guidelines:
 - **Effectiveness, Efficiency, Relevance, Coherence, EU added-value**

Interim evaluation - timeline

2016	
December	High Level Group in the context of the Interim Evaluation (chair: Pascal Lamy)
20/10-15/01	Public stakeholder consultation
2017	
May	Publication of EC Staff Working Document (evidence base)
June	Publication of HLG report (vision for maximising impact of FPs) Stakeholder conference on Horizon 2020 Interim Evaluation
October	Publication of Commission Communication
2018	
	Impact Assessment and proposal for successor Programme

Interim evaluation - coverage



Horizon 2020 – two years in

- More than 109 000 eligible proposals submitted
- More than 10 800 proposals retained for funding - requested EU contribution of €20.3 billion
- Overall success rate below 13% (compared with ~20% for FP7)
- ~90% of grant agreements were signed within the target of 8 months
- More than 25% additional proposals (~9 000) were submitted in 2015 vs 2014
- Only one in four high quality proposals is funded
 - **EUR 41.6 billion more would be necessary to fund all high quality proposals**
- EU-13 funding increased from 4.3% in 2014 to 4.7% in 2015.
- Third country participations increased from 2.1% in 2014 to 2.8% in 2015 (but still lower than in FP7)

*Data 2014 and 2015 with cut-off-date of 1 September 2016

Horizon 2020 SC1 – two years in

- More than 5 600 eligible proposals submitted
- 530 proposals retained for funding - requested EU contribution of €1.6 billion
- Overall success rate below 10% (compared with ~20% for FP7-Health)
- ~90% of grant agreements were signed within the target of 8 months
- More than 33% additional proposals (~600) were submitted in 2015 vs 2014
- Only one in three high quality proposals is funded
 - **EUR 3.23 billion more would be necessary to fund all high quality proposals**
- EU-13 funding remained stable at 3,6% in 2014 and 2015.
- Third country participations remained stable at 3,4% in 2014 and 2015 (but still lower than in FP7-Health)

*Data 2014 and 2015 with cut-off-date of 1 October 2016

From evaluation to strategy

Caveats/Limits

- What can be measured?
- Measuring only against previously established objectives?
- Time-lag between research and impact in health research
- What can we change/influence in the future? (other boundary conditions: budget, legal framework/financial regulation, EU competence, human resources)?
- Political process: Commission only proposes, EP and Council co-legislate, political considerations...
- Legal basis vs. work programmes – what matters more...?

From evaluation to strategy

Other influences on strategy (beyond evaluation of previous programmes)

- New/unexpected scientific, economic, political, societal developments (not relevant for previous programmes)
- New practices/benchmarks developed by other funding organisations
- Changing political priorities
- Input from Scientific Panel for Health (other Advisory Groups)



HORIZON 2020

**Thank you
for your attention**

H2020 mid-term evaluation **Planning/State-of-play**

- Extensive Commission input being prepared:
 - **Reports from Horizon 2020 thematic and horizontal evaluation studies and ad hoc analyses**
 - **Statistics on implementation, publications (bibliometric analysis), IPR**
 - **Assessment of impact on ERA, collaborative dimension, output, innovation, industrial/SME participation, impact on (e.g. public health) policy**
- High Level Group (Chair: Pascal Lamy) of experts ('to advise on maximising the impact of the EU's investment into research and innovation') being established, final report mid-2017