Horizon 2020 - midterm evaluation

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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 JTIs 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 final version of legal basis adopted by Council and EP 12/2013
- 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

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