



NUI Galway
OÉ Gaillimh



Update on Stakeholder Workshop

Shaping How Horizon Europe is Implemented



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Transition from Horizon 2020 to Horizon Europe

Towards Simplification

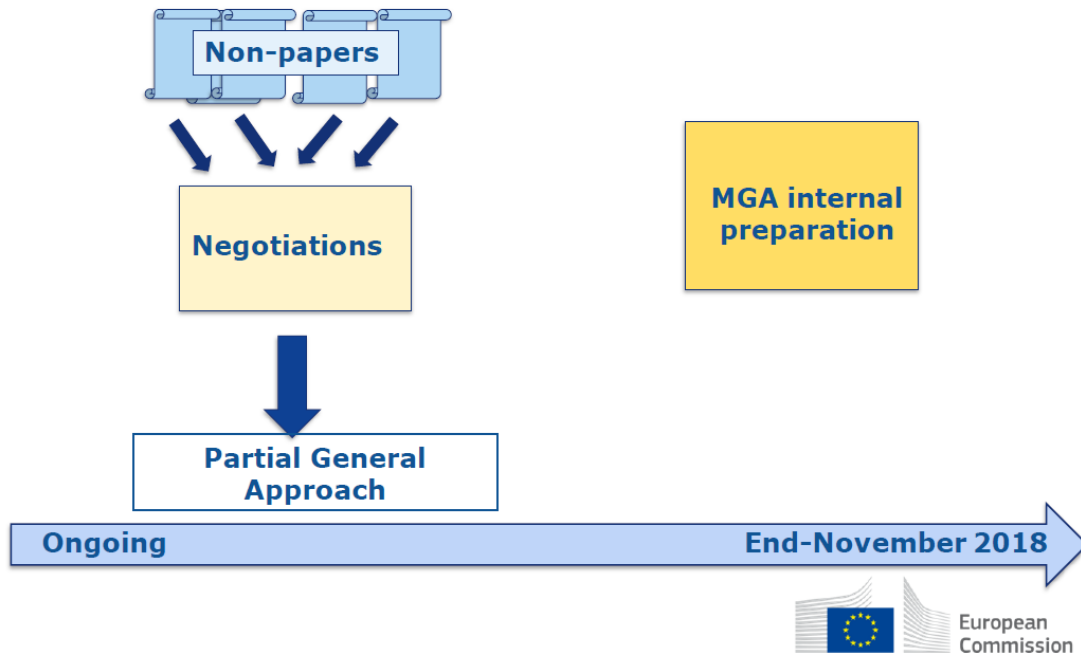
- First full electronic programme with single entry point on Portal
- Revised organisational structure → harmonisation of programme implementation
- Significant reduced *Time to Grant*
- Greater focus on technical scientific content – decreased administrative burden

Driving Principles

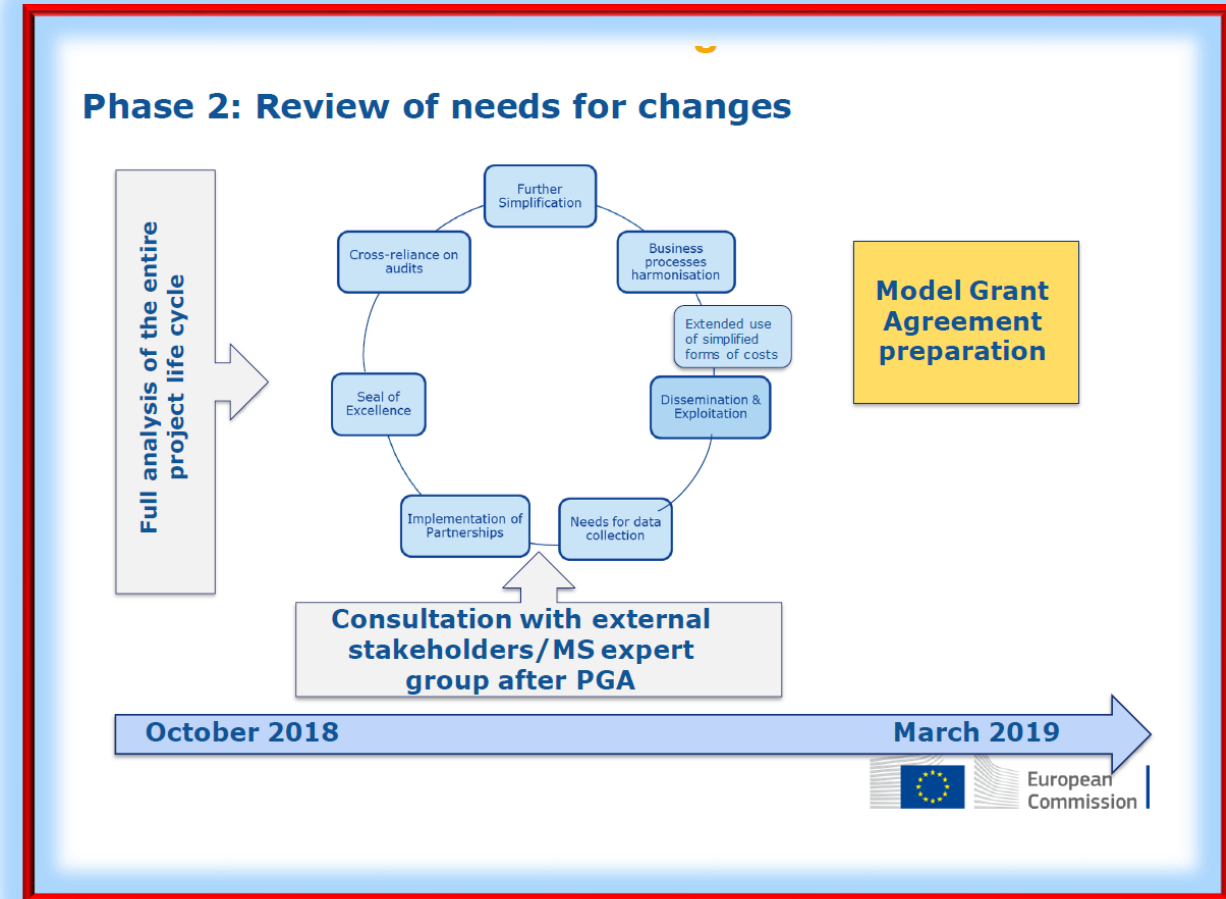
- Stability – keep what works well, avoid frequent modifications
- Continuity, but allow for necessary changes where lessons learnt
- Support Policy objectives with fit-for-purpose implementation modalities
- Innovative approaches
- Simplification and harmonisation
- Synergies with other programmes
- More efficient governance
- Efficient reporting and demonstrating impact

Five-Phase Implementation Strategy

Phase 1: Preparation of input for legislative negotiations



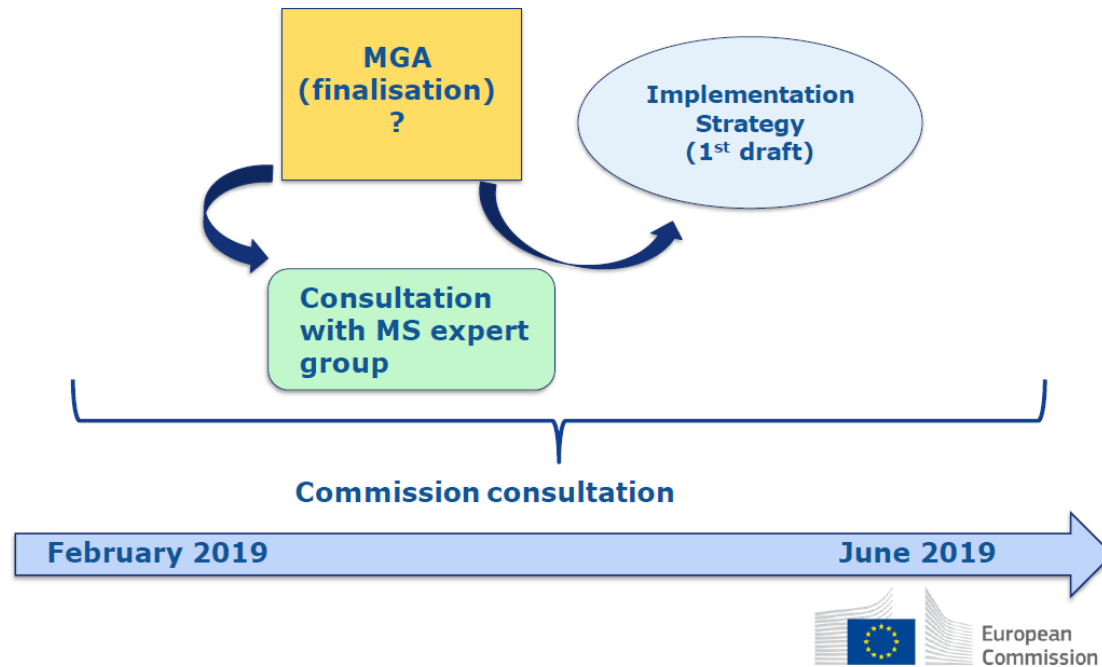
Phase 2: Review of needs for changes



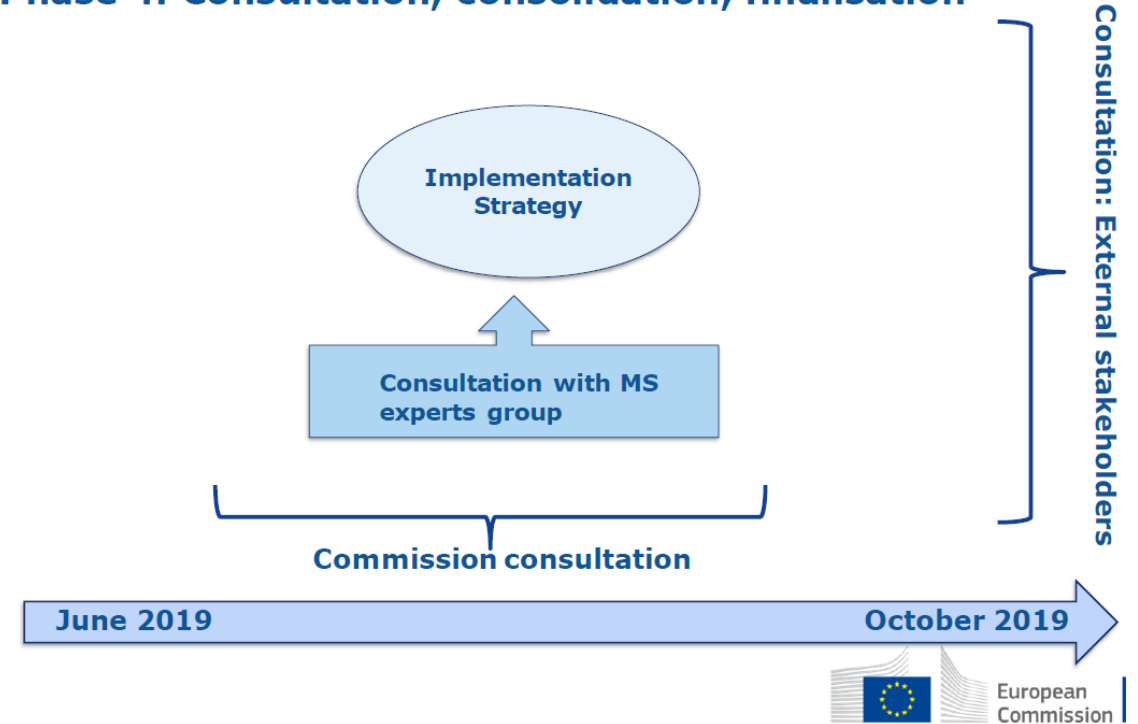
Implementation strategy in process even though all features not defined

Five-Phase Implementation Strategy

Phase 3: Drafting Implementation Strategy

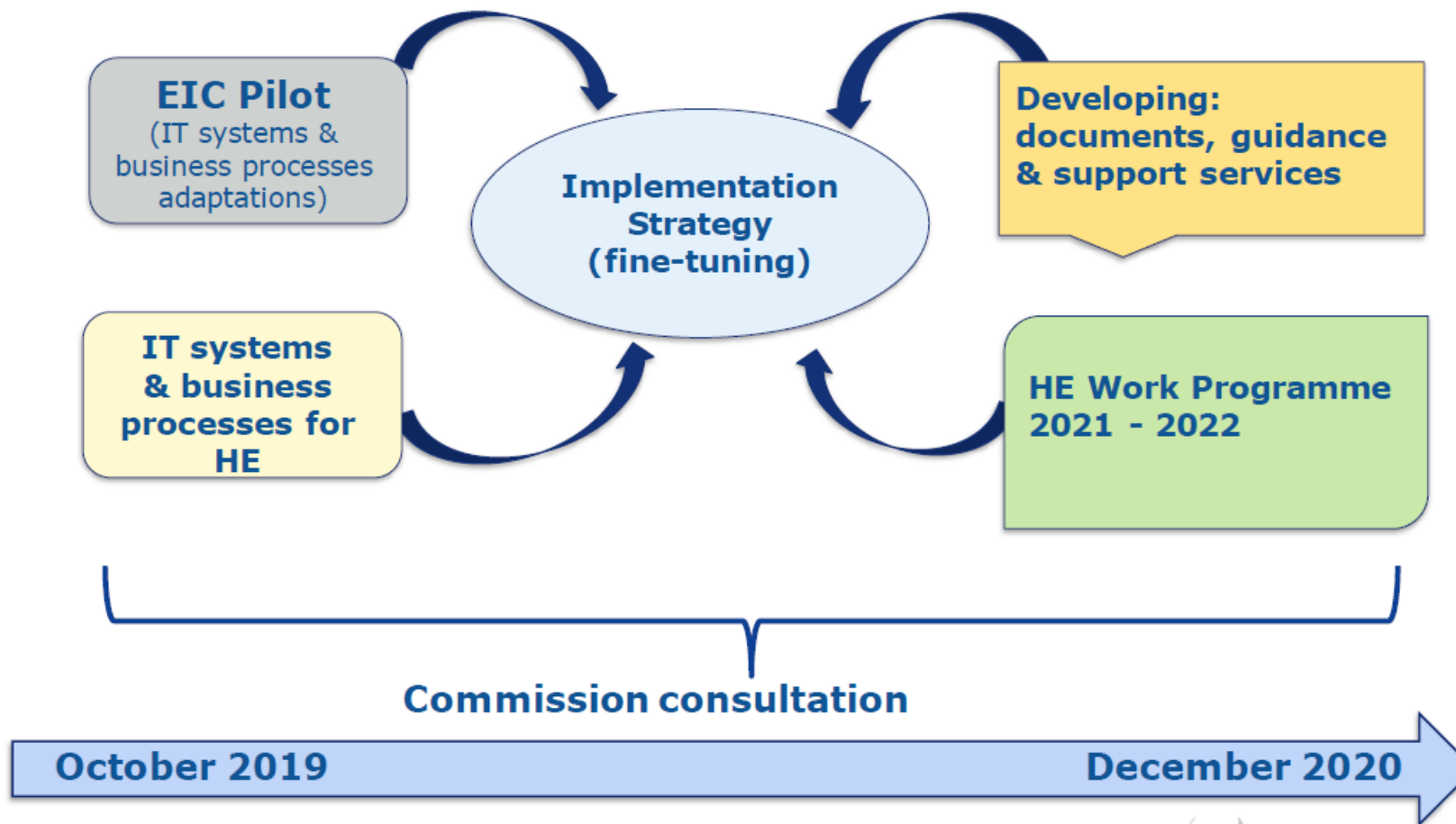


Phase 4: Consultation, consolidation, finalisation



Five-Phase Implementation Strategy

Phase 5: Fine-tuning & Deployment



Horizon Europe Informed by Conclusions of European Court of Auditors Special Report on H2020 Simplification



Special Report No 28/2018

9 Directorates General manage H2020
22 different bodies implement H2020 budget
Demand for simplification
Inform development of HE

Assessed if H2020 Simplification measures have
reduced administrative burden
Broad consultation

Overarching conclusion reflected in title of
report



Recommendations of European Court of Auditors Special Report on H2020 Simplification

1. Better communication with applicants and beneficiaries
2. Intensify testing of lump sums
3. Explore greater use of two-stage proposal evaluations
4. Re-examine remuneration conditions for expert evaluators
5. Increase recognition of the Seal of Excellence
6. Stability for rules and guidance for participants
7. Improve quality of out-sourced ex-post audits
8. Further simplify toll and guidance for SMEs



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Making Horizon Europe Accessible

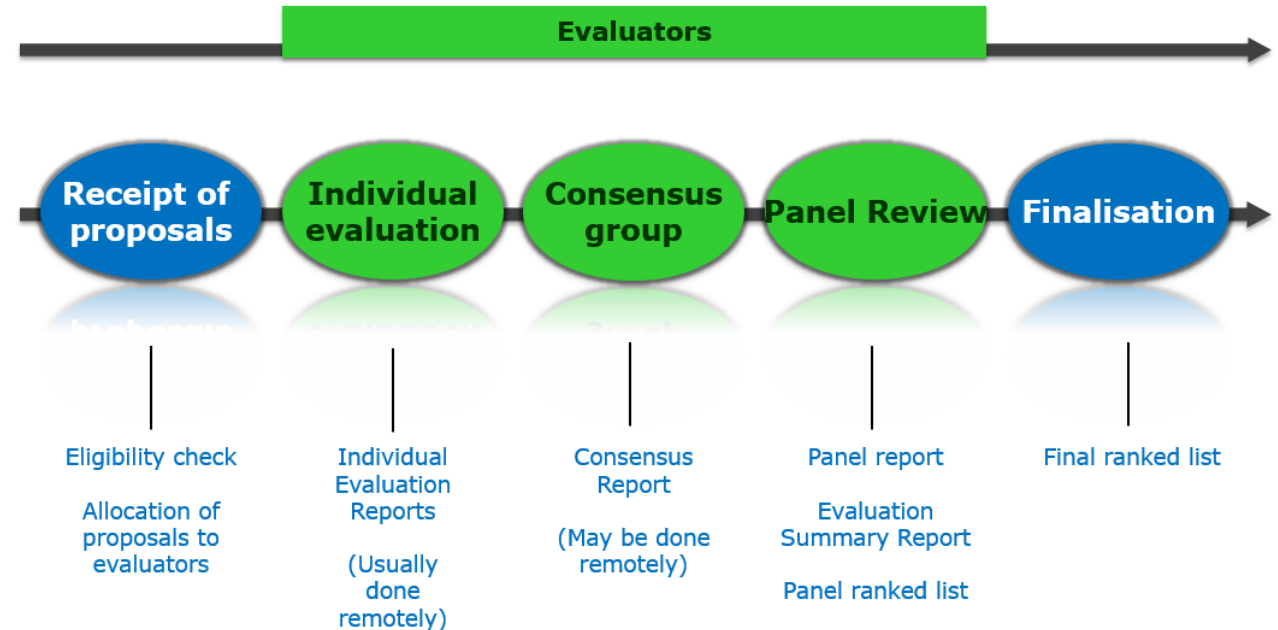
Key features - consensus:

- Excellence
- Impact
- Quality of Implementation
- Evaluation process appreciated – independent experts
- Special arrangements possible for novel features, but what?

Divergent views:

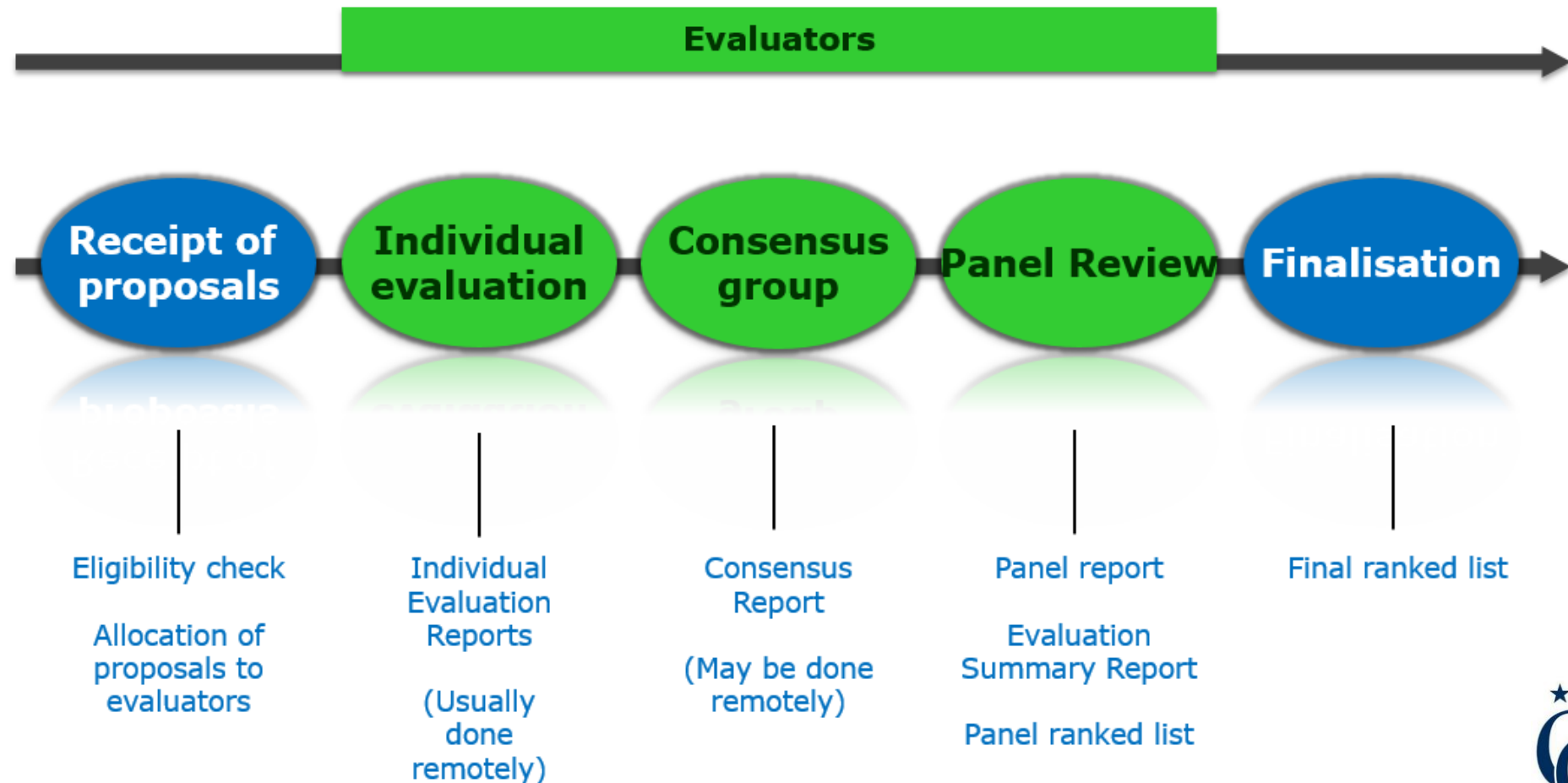
- 1-/2-sage proposals
- Proposal content
- Detailed feedback in ESRs
- Coherence versus flexibility

Overview of the Evaluation Process



Working Session 1 – Submission, Evaluation, Selection

Overview of the Evaluation Process



Working Session 1 – Submission, Evaluation, Selection

Experts

- The best and most appropriate:
 - Reduce the administrative burden in the registration
 - Based on excellence background
- Under-represented profiles:
 - Multidisciplinarity expertise
- Remuneration:
 - Mixed opinions (overall consensus on increasing it)
- Workload:
 - Link with two-step evaluation process and the length and type of proposals

Evaluation sequence

- Overall consensus on the current process
 - Physical consensus meetings necessary
 - Missions – (two-step process) based on excellence firstly, and portfolio considerations secondly
- Advisory Boards to determine potential experts (e.g. ERC)

Working Session 1 – Submission, Evaluation, Selection

Evaluation criteria

- General considerations:
 - Clearer differentiation of criteria between RIA and IA. E.g Removing general comments in the calls and adapting language towards what is really needed
- Impact
 - Pathways to impact to be better highlighted (short, mid and long-term)
 - More flexibility regarding TRLs

Feedback

- More detailed and consistent feedback.
Applicants Vs. ^[No Title]experts:
 - E.g. Clear, assertive, non-contestable language
- Info from individual evaluators (e.g. ERC)
- Redress: when is it appropriate?

Proposals

- Two-stage evaluation vs. Two-stage submission
 - Length: mixed opinions on it (10 vs. 70 pages?)
 - Evaluating Excellence first and implementation after
- Reducing costs of preparing a proposal, or the need to use consultancy services

Working Session 2 – System and process audits

Ex-ante controls

Principles

- ✓ Balance between **trust** and **control**
- ✓ **Minimize burden** on beneficiaries
- ✓ **Equal treatment**



Methodology

- ✓ *Limited information requested ex-ante (Financial statements, use of resources)*
- ✓ *Risk considerations may justify asking the beneficiary for further information and/or evidence.*

Ex-ante controls are **trust-based**, focusing on whether:

- the **work has been done** (as described in the periodic reports);
- the reported effort and use of resources is **reasonable** and in **accordance with the plan**;
- sufficient **explanation** and **justification** are provided for any substantial deviations.

A risk analysis is part of the standard checks. Deeper ex-ante control is carried out for identified risk cases.

Research and Innovation



Working Session 2 – System and process audits

Ex-post controls (1/2)

- ✓ Ex-post controls aim at verifying whether the costs declared in the financial statements have been properly incurred and are eligible costs.
- ✓ They confirm the legality and regularity of the underlying transactions.
- ✓ In depth analysis of the costs claimed by beneficiaries supported by **appropriate reliable and relevant evidence**.
- ✓ Independent from ex-ante controls

Research and Innovation



Ex-post Controls (2/2)

FP6/FP7/H2020/...

- ✓ At Beneficiary level
- ✓ Statistical Sample
- ✓ Risk Based sample
- ✓ Additional Sample (e.g. Joint Undertakings/ERCEA/...)
- ✓ Quality of audits

Research and Innovation



Working Session 2 – System and process audits

Cross-reliance

Simplified audit and control system:

Key features

- Combined reviews
- Single audit principle for joint funding
- Possibility for enhanced cross-reliance

Combined review

Combines system and process audit with an audit of transactions
Optional for certain types of beneficiaries
May lead to less Certificates on Financial Statements

Single audit principle for joint funding

A single audit for actions that receive joint funding from different Union programmes

Possibility for enhanced cross-reliance

Possibility for the Commission to rely on audits on the use of Union contributions carried out by other persons or entities

reduced audit burden for beneficiaries

Working Session 2 – System and process audits

Conclusions

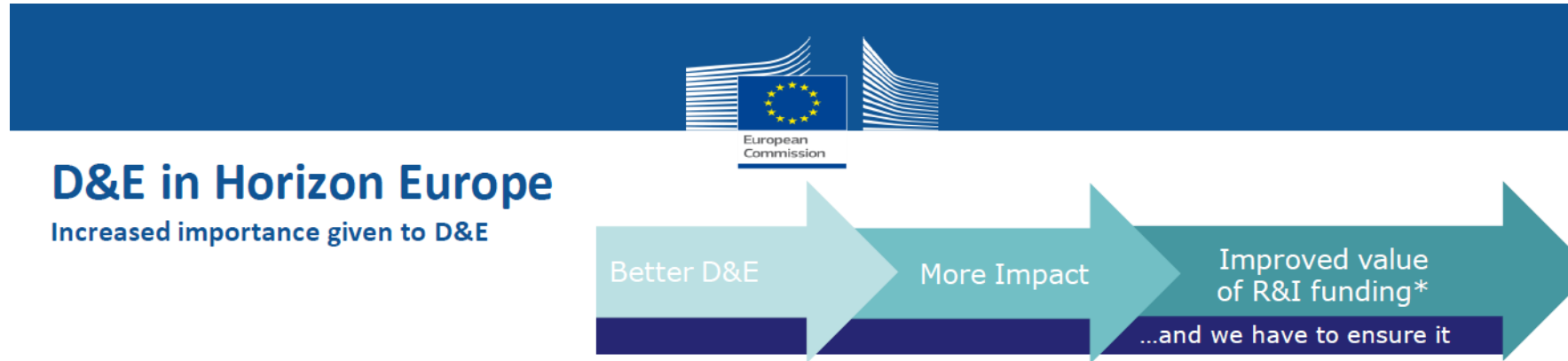
Agreement on the principle of applying SPA and as far as possible cross-reliance, however still some practical considerations:

- **Scope** of the SPA's: test of controls and test of transactions; SPA's: who, where and what?
- **Timing** – as soon as possible provided that transactions are available; could H2020 be already used for this exercise?
- **Advantages** – less CFS and probably less future ex-post audits, or lighter audits?
- **Other factors of success:** CoMUC and LRI lessons learned – cost efficiency;
- **Cross reliance within and among programmes:** challenges and opportunities could be achieved

5 June 2018 | Version 23



Working Session 3 – Capturing Data and Knowledge



- **Dissemination is a specific objective for all measures**
- **D&E in FP**
 - Information, communication, publicity and D&E
 - Calling for a comprehensive D&E strategy
- **FP and SP annexes on D&E**
 - Demonstrate the impact and maximise the European added value of the FP
 - Dissemination of clusters of mature results to EU regions
 - Accelerate exploitation towards market uptake
- **Delivery mechanism**
 - Contractual obligations of beneficiaries for D&E reporting during and after the project
 - Encourage the third party exploitation

Working Session 3 – Capturing Data and Knowledge



Why does it not always happen?

From the side of the project/beneficiaries

- Perceiving D&E as "tick boxes", not important for the "real work" of the project (research)
- Focusing on implementing VS aligning work with the needs of users and stakeholders
- Lack of skills (or interest) to consider or share the value and possible benefits of the results for wider society
- Lack of knowledge of dissemination and exploitation risks and opportunities
- Not (yet) truly part of the project design
- Often interpreted as an activity after the project lifetime

From the side of the Commission

- The current reporting on D&E is not fit for the purpose
- Sketchy and sometimes confusing data collection fields
- No follow up on the project results after the end of the project



Working Session 3 – Capturing Data and Knowledge



Tools for D&E for H2020 results

- ✓ Common Dissemination & Exploitation Booster
- ✓ H2020 Dashboard
- ✓ Projects for Policy (P4P)
- ✓ Innovation Radar (IR)
- ✓ Tracking of research results (TRR)
- ✓ Horizon results platform (coming)

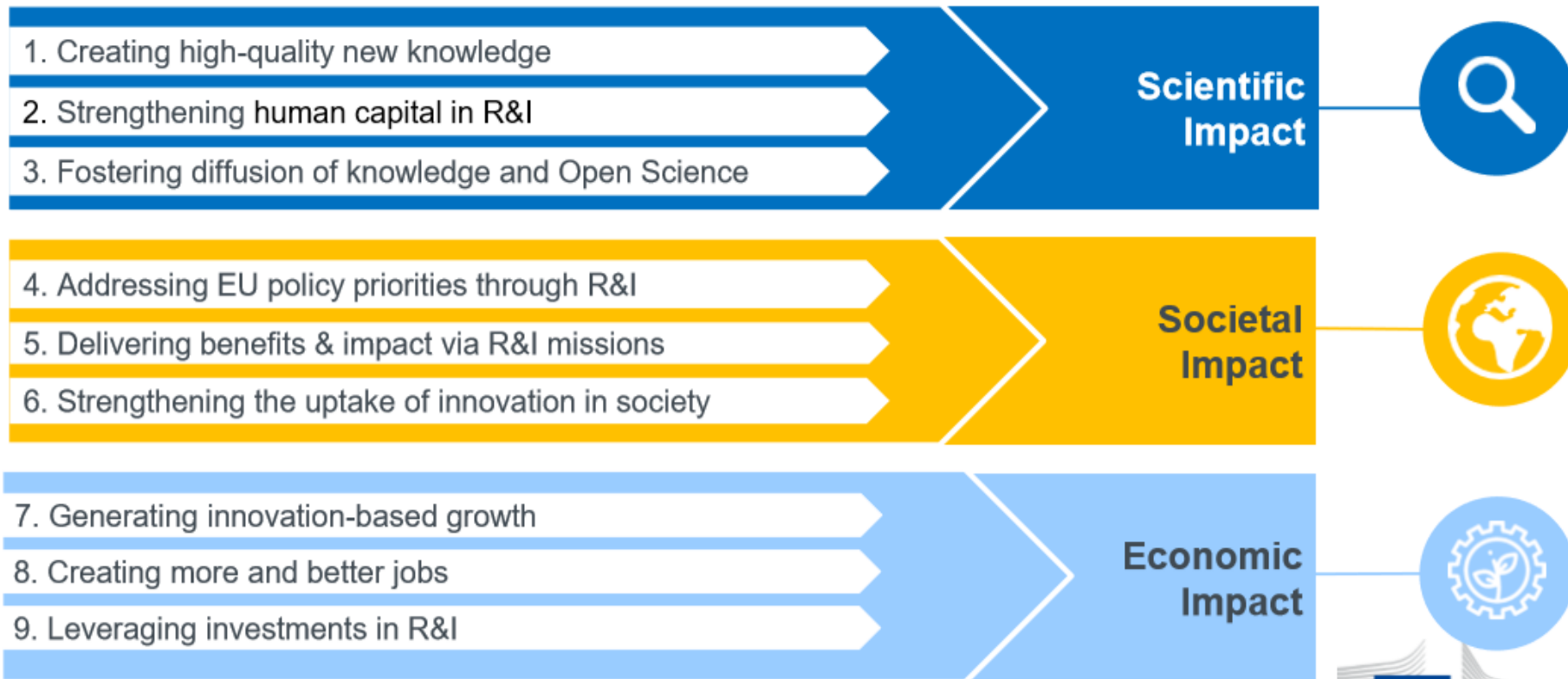


CORDIS

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Working Session 3 – Capturing Data and Knowledge

The Framework – Key Impact Pathways



Working Session 3 – Capturing Data and Knowledge

The Commission would like to modify the reporting requirements on D&E activities. What are your views?

- Data collection happens at the end of the project - it reflects the results, but impact happens after. Currently, that time lap is not taken into consideration.*
- Projects are required to create websites and social media, however, those are **temporary** and not used properly or visited. The audience asked for the creation of a **centralised mechanism/hub** that promotes a community (it will exist in the form of platform for research results for exploitation but nothing foreseen for dissemination). Cordis is a legal obligation but may not sufficient to be the platform.*
- True value comes from aggregation of sources not just one source, we also need to look beyond project to the institutional level.*
- How do we help people to deliver from the results? **lack of translational support** from professionals to help projects in their exploitation.*
- There is an issue between economic metrics being more classical, societal impact can be more intangible (EC working with experts to address this). Request to also have a set of basic/general indicators and then more tailor made indicators that are topic specific. could perhaps include narrative about impact as well as more classic metrics - so think about a much wider range of indicators*

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Working Session 3 – Capturing Data and Knowledge

The Commission would like to introduce a D&E part of the reporting that continues after the end of the project. How can we best implement this?

- *Difficulty to measure 5, 10 years after the end of the project, need to draw the links back to the EU funding, there may be more forms of funding other than EC secured to achieve impact. EC is collecting basic data to draw general trends, need to incentivise people to fill in and provide information after the project conclusion.*
- *One single tool will not deliver what is needed to harvest the information on impact needed – but rather a mixture of many things: prizes, case studies of success, perhaps a proposal submission question asking if you have received funding before and if so what the outcome was, referencing the ID or the project in patenting and licencing deals etc.*
- *The EC already has a pilot working back on historical data TRR (tracking of research results).*

The Commission will facilitate third party exploitation through a pilot, the Horizon results platform, as a place where results can be presented to potential users. How can this novel platform work in the best way?

- *A results platform will be ready on Funding and Tender portal in September 2019. Some discussion as to whether this is driven by user/demand, matchmaking should not be forced. There were some concerns over confidentiality. EC replied that results stay with the beneficiaries, we won't force them.*

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Working Session 3 – Capturing Data and Knowledge

Impact Pathway indicators: What are your views on the use of unique identifiers and how do you believe such a system would best be implemented?

- *Unique persistent identifiers allow to harvest existing databases. ORCID ID or institutional ID are already broadly used at the national level in some member states. For companies the ID could be the VAT number. Nordic countries track the career path of their researchers thanks to unique identifiers. Using IDs avoids using surveys, shows multidisciplinary projects/collaborations. ERC is using the unique identifier. By using such unique identifiers - can trace publications and citations to the ID and to the individual. So don't have to ask the individual.*
- *Some issues were raised as to mapping impact with plan S but impact is not focussed on the journal but on field weighted citations*

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Working Session 4 – Simplified forms of Costs

Lump sum: Why?

- **Significant simplification potential:**
 - Despite all simplification, funding based on reimbursement of incurred costs stays complex and error-prone
 - Lump sum project funding removes all obligations on actual cost reporting and financial ex-post audits – i.e. a major reduction of administrative burden
- **Focus on performance:**
 - Shift from focus on financial management and checking costs to focus on scientific-technical content of the projects

Lump sum: Two options

➤ Option 1

- Fixed lump sum per project defined in call for proposals
- Proposals describe the efforts and resources applicants commit to mobilise for this amount.
- Applicants must provide proposed split of the lump sum per work package and per beneficiary.
- The evaluation – and competition between proposals – ensure that adequate resources are committed

➤ Option 2

- Proposals provide a detailed estimation of costs (stage 2 only)
- Experts assess cost details during evaluation and make recommendations (panel will include expert/s with financial expertise).
- Based on this, the lump sum is fixed during grant preparation

Working Session 4 – Simplified forms of Costs

State of play: Lump sum pilot

- **Option I: “Digital ‘plug and produce’ on-line equipment platforms for manufacturing” (IA)**
 - 2 Grants signed
- **Option II: “New anti-infective agents for prevention or treatment of neglected infectious diseases” (RIA)**
 - GAP: ongoing
- **Shift 2 Rail Pilot**
 - Type of Lump Sum Pilot: "Option II"
 - 7 grants signed
- **ERC Proof of Concept Pilot:**
 - Type of Lump Sum Pilot: "Option I"
 - Work Programme 2019 – 2020 (1st cut-off date 22/01/2019)

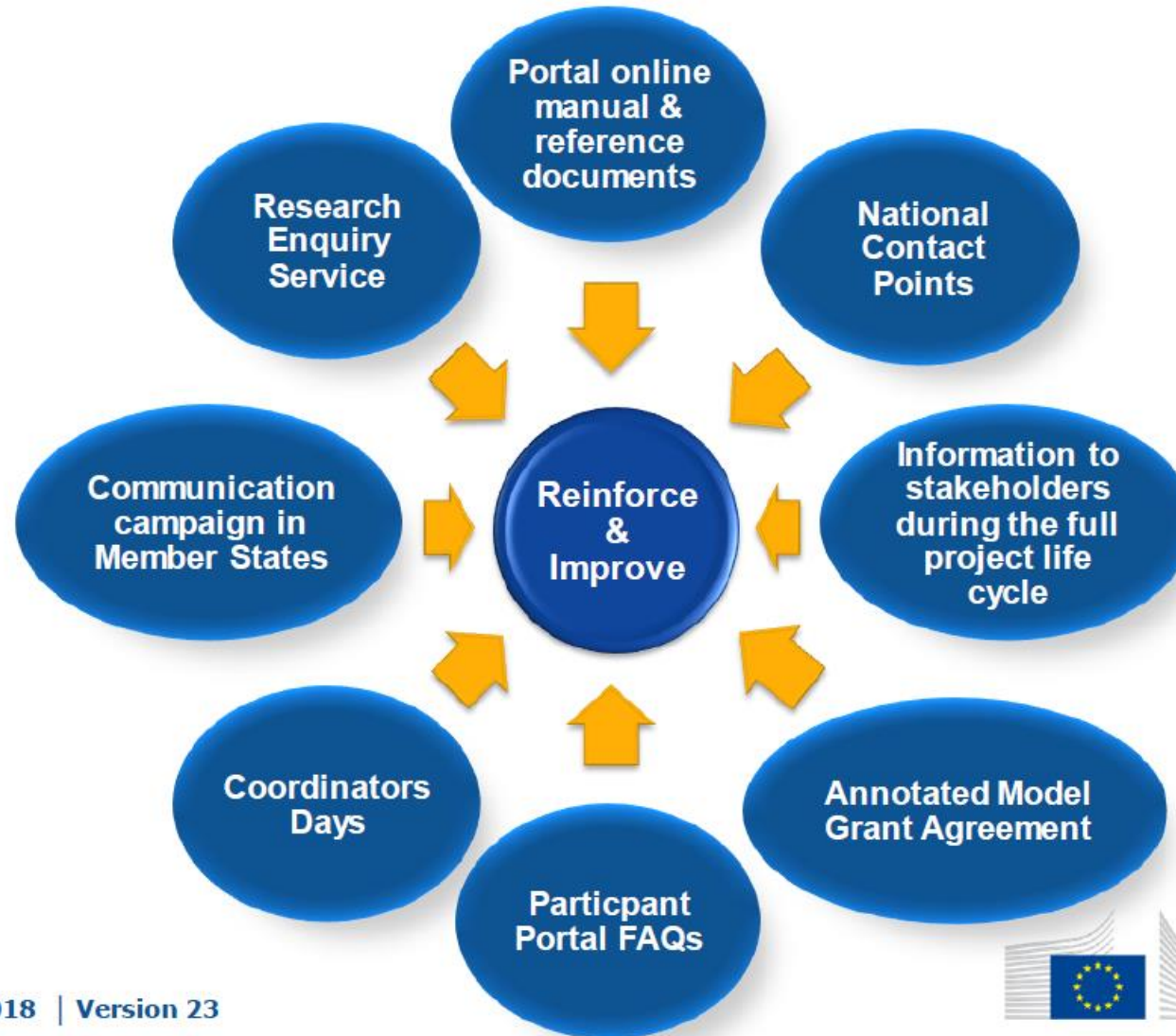


Working Session 4 – Simplified forms of Costs

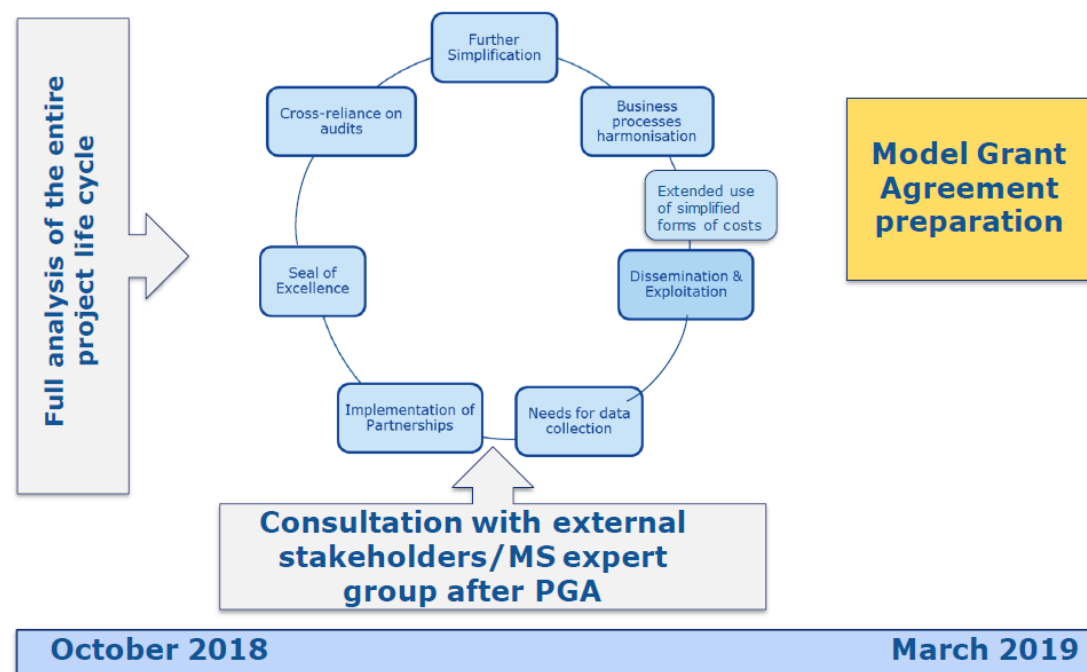
- Overall positive experience and feedback from pilot projects regarding submission and evaluation (with the expected teething problems)
- Acknowledgement that the most tangible benefit will come later on, during pilot projects implementation
- It was also discussed how the lump sum approach may affect the proposal preparation stage and consortium agreements later on (budget split, WPs configuration, consortium agreements, liability aspects...)
 - More experience on lump sum (via new pilots still under H2020) are necessary to assess the viability of this form of cost reimbursement: too early to draw final conclusions
 - May be convenient to see new test pilots with relatively large consortia
 - There is a general openness amongst stakeholders to build on these experiences and also to the possibility of maintaining the coexistence of different types of lump sum (tailored to specific research areas)
 - How other types of simplified costs will be used under Horizon Europe (unit costs) should be further considered, following the conclusion of the legislative process.



Working Session 5 – Reinforcing Communication and Information



Phase 2: Review of needs for changes



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