



Horizon Europe

THE NEXT EU RESEARCH & INNOVATION PROGRAMME (2021 – 2027)

Horizon Europe
Implementation Strategy

#HorizonEU



Research and
Innovation

Horizon Europe Implementation Strategy

Why an Horizon Europe Implementation Strategy?

A unique opportunity to design how to implement Horizon Europe, while the rules for participation are fixed by the Common understanding (provisional agreement)

The Implementation Strategy will be an essential component for delivering the objectives of Horizon Europe, in practice:

- It will embrace all the processes involved in running calls, selecting proposals and managing projects, with **joined-up systems** and **common principles**
- It will ensure that the new programme is managed according to highest standards, **maximizing the impact** of every Euro spent
- The strategy will build on successful experience to date, but taking account of **lessons learned**, and also **adapted to the new features** of Horizon Europe

Implementation Strategy: a co-design and co-creation process

- **On-line co-design exercise with external and internal stakeholders**
- **Implementation Strategy (1st draft) finalised end 2019**
- **Key milestones:**
 - R&I Days 24-26 September 2019 in Brussels
 - National & Regional Stakeholder consultation events
 - Co-design exercise through web survey, report published [Draft orientations towards the Implementation Strategy](#) have been drafted to accompany the web survey.
 - Member States expert group meetings on Model Grant Agreement in July, October, December 2019, January 2020 + written comments in April 2020 (due to covid-19 situation)

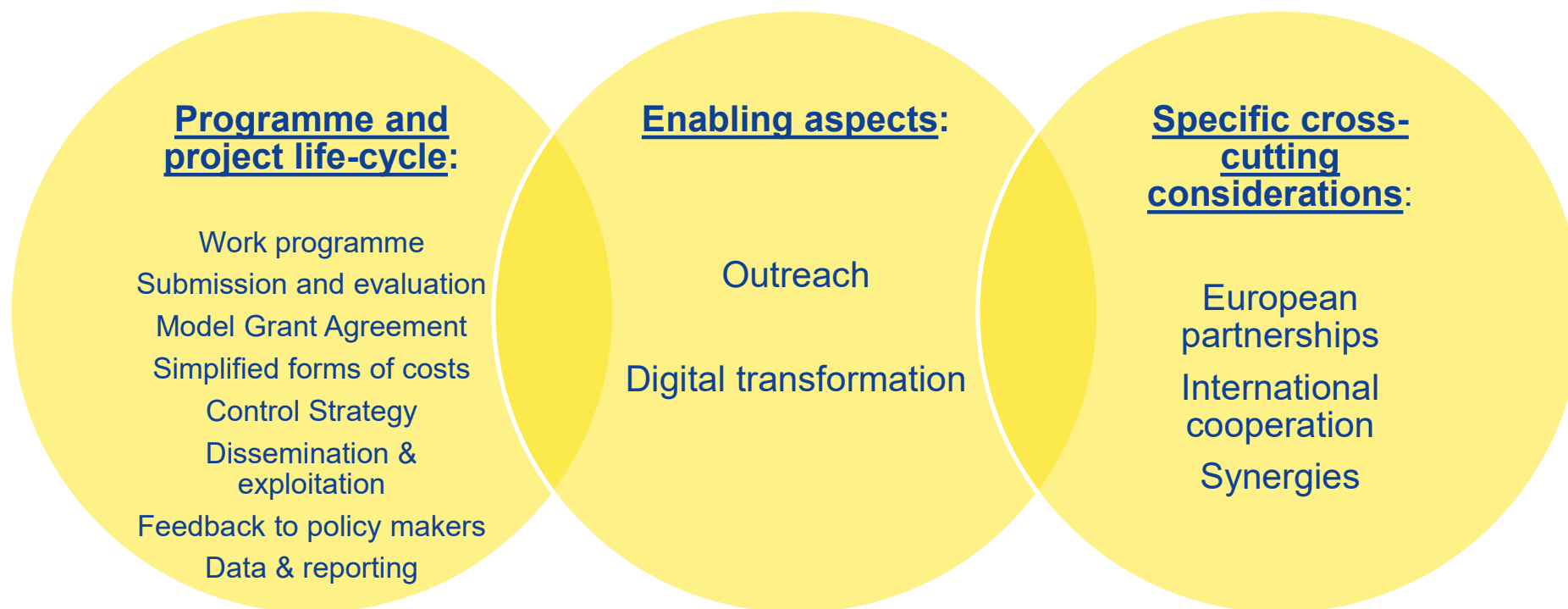
National & Regional Stakeholder Consultation events

- **Consultation events organised by NCPs coordinators (June 2019 – January 2020)**
- **Objective: encouraging the active participation of beneficiaries in the discussion on the implementation of Horizon Europe**
- **20 national/regional events held in MS:**
 - June: DE-AT
 - September: Nordic event (DK, FI, SE, NO, IS & Faroe Island)
 - October: ES, Benelux, FR, IT, CZ-SK, GR
 - November: LT, LV, SI, MT, PT, EE, PL, HU
 - December: IE, CY, HR
 - January: BG-RO

Implementation strategy: Guiding principles

1. Maximising impacts
2. Easing access, greater transparency and further simplification
3. Digital transformation
4. Fostering synergies with other EU spending programmes

Components of the Implementation strategy



Work Programme and calls

- **Key measures**

- **Design a simpler, less complex work programme, less prescriptive / Improved readability**
- **Specify in the topics the expected outcomes and their link to the wider targeted impacts**, in line with the Strategic Research and Innovation Plan. Topics will therefore be open to a range of different pathways to achieve them
- **Consider more frequent use of topics which offer the possibility of submission** for more than one year
- Integrate calls arising from **institutionalized European partnerships and EIT** in the **Funding and Tenders Portal**.

Proposal submission and evaluation

■ Key measures

- **Proposal template:** Less information requested (in line with criteria); reference to external sources where possible (eg. Researchers' ID); substantial reduction in maximum length;
- **Portfolio-based calls (esp. missions, EIC pathfinder):** develop new modalities using provisions of Art.26 (e.g. evaluation of intrinsic quality, then invoke portfolio considerations, to be spelled out in WP);
- **'Right to react' (*rebuttal*) pilot:** greater transparency and more detailed feedback;
- **Anonymised first stage proposals ('blind evaluation'):** one or more pilots in early calls of HE (as per Art 25.3a);
- Other areas for attention include: award criteria (details); use of two-stage; resubmission rules; ethical review; *ex aequo* criteria

Model Grant Agreement

■ Key measures

- **New MGA developed in a corporate context:**
 - One model for all centrally managed programmes
 - With specificities for Horizon Europe regarding the Rules for Participation
 - Drastic reduction of number of models and alignment of provisions
- **Simplification in terms of funding:**
 - Personnel costs: unique simpler corporate mandatory formula to calculate actual personnel costs → No time sheets
 - Project based remuneration: similar rules as in H2020 with further simplification
 - Wider reliance on beneficiaries' usual practices for internal invoicing costs
 - Still the possibility to have full-unit costs based MGA (MSCA) and full-lump sum based MGA

Data and reporting

■ Key measures

- **Linking to external data:** Enriching data captured through the Framework Programme reporting templates with external data sources, in view of completing information on R&I results and reducing administrative burden
- **European Data for R&I Policy Initiative:** Sharing high-quality pan-European data, progressively integrating them in view of strengthening support to ERA priorities, and to national, regional and local policies.
- **Enhancing reporting templates:** Financial and technical reporting templates will be streamlined
- **Implementing the KIP approach** without increasing the burden on beneficiaries as much as possible

Control Strategy

■ Key measures

Design a risk-based overall control strategy (ex-ante and ex-post)

Ex-ante controls

- **Reinforcing early detection of emerging risks of irregularity:** enhancing tools and procedures
- **Enhancing beneficiaries' knowledge** on how to avoid errors and sharing best practice in project, in the framework of outreach events

Ex-post controls

- **Explore the possibility of introducing System and Process Audits (SPAs)** with focus on larger participants in the Programme
- **Initiate a number of pilots SPAs on H2020 legal basis**
- **Explore possibility of enhanced cross-reliance on audits and assessments**

Simplified forms of costs

- **Key measures**

- **Enhancing knowledge sharing on the first lump sum pilots:** through seminars with Member States, NCPs and beneficiaries
- **Developing an assessment framework for entire lump sum project cycle**
- **Reinforcing the harmonised implementation of the lump sum pilots**
- **Developing guidelines to support the decision of using lump sums**

Dissemination and Exploitation

■ Key measures

- **Improved D&E guidance to applicants & beneficiaries**, e.g. through Horizon Europe proposal/reporting templates, etc.
- **Incentives for leading beneficiaries from obligation towards opportunities of exploitation**, e.g. through the Horizon Impact Award contest, public campaigns of successful results, etc.
- **Targeted D&E support services to projects:**
 - Support to develop business plans and go-to-market strategies through the D&E Boosters, or IPR guidance through the IP Boosters
 - the Horizon Results Platform will also link beneficiaries' needs to technical services and advice
- **Synergies and networking:** Pooling FP-produced knowledge into other EU programmes (e.g. ERDF); Facilitating matchmaking through the Horizon Results Platform and by better integrating FP with ERDF data

Digital transformation and outreach

■ Key measures

- **Further development and enhancement of Funding and Tenders Portal:**
 - On-boarding of new programmes (*one stop shop for Horizon Europe and other centrally managed programmes*)
 - Improve functionalities & searchability
 - Introduction multilingual support for the registration process
 - Use further AI solutions
- **Promote outreach and stakeholder engagement as a continues process**
 - Continue organisation of outreach events and trainings in the MS in liaison with NCPs
 - Organise tailored events and info-days such as the Co-ordinator's day using new technologies to multiply impact

Feedback to policy and evidence-based policy

■ Key measures

- **Develop guidance for beneficiaries to improve the report of policy relevant results**
- **Better engagement with policy makers and citizens**
- **Build complementarities with Data Activities:** Enriching of Framework Programme data and the European R&I Data Hub
- **Improved frameworks for tailor-made Feedback to Policy plans**

Synergies

■ Key measures

- **The new Corporate Model Grant Agreement will enable synergies between EU funded programmes:** Improvement of existing synergy schemes and deployment of new ones
- **Revised rules of State aid Global Block Exemption Regulation will benefit Seal of Excellence:** Allowing the uptake of excellent projects not retained due to lack of funding
- **The conditions to allow cumulative funding on the same project will be revised**
- **Conditions for budget transfer mechanism (e.g.: “top up” of HE budget from structural funds) to be defined**

International cooperation

■ Key measures

- **Further clarity in the work programme in particular in the case of mandatory international participation, but also in the terms/specifications of different types of calls** (standard, joint, coordinated) **or twinning activities.**
- **Dedicated guidance for the implementation of joint calls** (e.g. joint procedures for selection and evaluation, appointment of experts, role of observers, review, different co-funding modalities)
- **Improved validation process for international participants** (e.g. addressing difficulties in appointing LEARs, providing documentation)

European Partnerships (including EIT/KICs)

■ Key measures

- Aiming for a **single set of rules for participation and funding for Institutionalised Partnerships (IPs)**, with limited derogations
- **Strong leverage effect for IPs** through increased private contributions
 - reduced funding rates
 - better linking in-kind contributions to additional activities (IKAA) to the objectives of the Partnership
- **Common approach for submission, evaluation & reporting**, including
 - **simplification of reporting** on the basis of eligible costs for IPs
- **Ensuring openness and transparency**
 - **across EIT operations**, including selection of new KICs
 - publication of **open calls**
- **Better communication of funding opportunities** by European partnerships, including accessibility of calls on the F&T Portal
- **Better access to information and results** to boost EU policy-making

Implementation of Missions

#HorizonEU #EUmissions

Mission Board role

Mission Boards will **advise** the European Commission on:

- Identification of one or more missions in the respective mission area, with input from stakeholders and citizens
- Content of work programmes, with input from stakeholders and citizens
- Characteristics of project portfolios for missions
- Adjustment actions, or termination if appropriate
- Selection and briefing of independent expert evaluators, specific evaluation criteria and their weighting;
- Framework conditions which help achieve the objectives of the mission
- Communication
- Policy coordination/synergies
- Key performance indicators

Steps towards Horizon Europe Strategic Plan & Missions in the Work Programme

- Mission Board meetings - from Q2/Q3 2019
- Meeting between Mission Boards Chairs - Q1/Q2 2020
- First mission proposals – Q2 2020
- Refining the proposed missions, through co-design sessions with citizens (2/ mission area) – Q2/Q3 2020
- Missions events at R&I Days incl. missions hub 22-24 Sept
- Handover to the Commission of Mission Boards advice (+EP) – at R&I Days
- Commission Communication on missions – by end 2020
- Horizon Europe Work Programme including missions - Q1 2021

Objectives of mission implementation

- **Flexibility through Portfolio Approach**
 - Coherent sets of projects to achieve the mission goal
 - Portfolios to include all relevant TRLs, also through synergies with Pillar I and Pillar III
 - Monitoring and KPIs to inform portfolio adjustments and steering
 - Member States to be consulted e.g. on portfolio evaluation

- **Co-creation with citizens, stakeholders, Member States**
 - Citizen engagement and citizen science as a strong component of the portfolios

- **Going beyond R&I**
 - Synergies with other MFF and national programmes/policies
 - Mission strategies to leverage private investment

- **Managed by EC agencies, governed by EC**

Thank you!

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<http://ec.europa.eu/horizon-europe>