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## **Horizon 2020**

### **Work Programme 2016 - 2017**

#### *19. Dissemination, Exploitation and Evaluation*

**Important notice on the second Horizon 2020 Work Programme**

**This Work Programme covers 2016 and 2017. The parts of the Work Programme that relate to 2017 are provided at this stage on an indicative basis. Such Work Programme parts will be decided during 2016.**

*(European Commission Decision C (2015)6776 of 13 October 2015)*

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## **Introduction**

Activities to disseminate and exploit results from research and innovation projects, and to evaluate the performance of EU funding and actions are an important and integral part of Horizon 2020. Enhanced dissemination and exploitation are strategic matters for the success of Horizon 2020 and for the achievement by the programme of sizeable economic, social and environmental impacts. The European Commission also implements activities by means of public procurement to provide targeted assistance<sup>1</sup> to projects and consortia to optimise the exploitation and dissemination of results. Evaluation and monitoring of research and innovation activities funded under Horizon 2020 is also instrumental in ensuring that the programme will achieve its objectives, and deliver maximal impacts with an efficient use of resources. Furthermore, the importance of monitoring and evaluation in the strategic programming and policy cycle has been strengthened with the adoption of the Better Regulation Package by the Commission on 19 May 2015.

In this Work Programme part, activities are also envisaged that will support independent experts develop new evaluation methodologies for the interim and ex-post evaluations of Horizon 2020. Another action will support assessments of impact on growth and jobs of EU research and innovation programmes. An action supporting the appointment of evaluators for the evaluation of project proposals for Work Programme 2016 is also foreseen.

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<sup>1</sup> Regulation (EU) 1291/2013 of the European Parliament and the Council, Art 28 (b)

## **DISSEMINATION, EXPLOITATION AND EVALUATION**

In the Horizon 2020 Work Programme (2014-2015), first steps were taken in enhancing the support in the projects' dissemination and exploitation activities. The Commission now continues its policy with the objectives to provide web-based access to information on results from EU funded projects, dedicated support to project consortia to foster their dissemination and exploitation activities, and reporting on programme implementation. This policy covers projects funded under Horizon 2020 and FP7, and ensures continuity with the past Research Framework Programmes.

The Commission will keep the Member States<sup>2</sup> informed of progress towards meeting these objectives. The European Commission will maintain a dialogue with the Member States on related activities, as well as on the role the Member States can play in contributing to meeting these objectives because reporting, dissemination and exploitation activities of EU and national research programmes would benefit from a process that could bring together the policies of Member States and the European Commission.

The dissemination and exploitation activities of research results at EU level are coordinated and monitored by the European Commission. Service providers will support the Commission in implementing its dissemination and exploitation policy, in line with the Commission's Web and Information Technology (IT) rationalisation strategies, by providing the necessary technical and content related services (user-friendly alignment and seamless navigation with other research related Commission websites, editorial harmonisation, technical interoperability, services for content management and needs as defined).

The Publications Office of the European Union (OP) is an identified key service provider to the European Commission for offering dissemination services (CORDIS) and operating the EU Open Data Portal. Other services will be acquired via the public procurements foreseen under the Work Programme 2014-2015 and the Work Programme 2016-2017.

For exploitation and dissemination, the first and foremost responsibility rests with the project consortium in accordance with the Horizon 2020 legal texts. It is the role of the beneficiaries to maximise the impact of their own research and innovation by carrying out work on disseminating and using their project results during (and after) the project's completion.

In addition, the Commission services are expected to support and supplement the dissemination and exploitation activities of the project consortia by enabling a wider dissemination and exploitation of project results to/by potential users<sup>3</sup>. This support ensures easy access to research output and underpins policy development.

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<sup>2</sup> Through appropriate fora such as the NCPs.

<sup>3</sup> General multi-beneficiary model grant agreement for the Horizon 2020 programme (MGA), art. 29 ([http://ec.europa.eu/research/participants/data/ref/h2020/mga/gga/h2020-mga-gga-multi\\_en.pdf](http://ec.europa.eu/research/participants/data/ref/h2020/mga/gga/h2020-mga-gga-multi_en.pdf)).

*HORIZON 2020 - Work Programme 2016 - 2017*  
*Dissemination, Exploitation and Evaluation*

In order to assist the project consortia in their dissemination and exploitation activities, the Commission will fund additional exploitation and dissemination activities from the Work Programmes 2016-2017, and will bring in information technologies methodologies by means of public procurement.

The evaluation of Horizon 2020, its Specific programme and the European Institute for Innovation and Technology (EIT) is foreseen in the Regulation (EU) No 1291/2013 of 11 December 2013 establishing Horizon 2020. The Better Regulation Package requires evaluation to cover five mandatory evaluation criteria: Efficiency, effectiveness, relevance, coherence and EU added value.

The interim evaluation and ex-post evaluation of Horizon 2020 are important instruments for informing the European Parliament, the Council and other EU Institutions as well as Member States, the research community and other stakeholders notably businesses and the general public about the progress of Horizon 2020 towards the achievements of the objectives, the effectiveness of the programme, the relevance of measures and their coherence, the efficiency and use of resources. The interim evaluation will have to demonstrate the European added value of EU funding in research and innovation in line with newly established Commission-wide initiative on EU budget focused on results.

The Better Regulation Package has also reinforced the role of evaluation in policy making, and placed emphasis on assessing the socio-economic impacts of new policy initiatives, in particular in quantitative terms, and their contribution to the new Commission's priorities.

## **Other actions<sup>4</sup>**

### **1. CORDIS services**

CORDIS services, based on cooperation with the Publications Office, remain the cornerstone for dissemination activities beyond 2015 for FP7 and Horizon 2020. This includes the use of the EU Open Data Portal, an enriched set of services supporting dissemination of project results, and access to public service information. These services would target dissemination support and provide possibly an enriched set of services supporting dissemination of project results.

The overall CORDIS activities budgeted, comprise the cost for:

- "*traditional CORDIS service*"<sup>5</sup> (EUR 3.5 million in 2016 and EUR 3.45 million in 2017)
- envisaged development of "*enriched CORDIS services*" such as grouping and presenting the results of related projects for specific target groups ( up to EUR 1.5 million in 2016 and up to EUR 2.0 million in 2017).

Indicative timetable: 2016-2017

Indicative budget: EUR 5.00 million from the 2016 budget and EUR 5.45 million from the 2017 budget

### **2. Support for exploitation of research results**

Thousands of projects funded under the Framework Programmes approach their end in the years to come. Many of them could make an impact on commercial markets but need some assistance in this. The assistance could be needed on issues like mapping exploitation risks and opportunities, business development, protection of intellectual property, and finding suitable financial or commercial partners for investment in follow-up steps.

The Commission intends to select a contractor who is able to provide this kind of service to projects. This service builds upon pilot activities launched under the previous FP7 and Horizon 2020 work programmes. Based on the pilot, the exploitation assistance to project consortia may be extended to all programme areas and may be funded from the thematic parts of the programme.

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<sup>4</sup> The budget amounts for the 2016 budget are subject to the availability of the appropriations provided for in the draft budget for 2016 after the adoption of the budget 2016 by the budgetary authority or, if the budget is not adopted, as provided for in the system of provisional twelfths.

The budget amounts for the 2017 budget are indicative and will be subject to a separate financing decision to cover the amounts to be allocated for 2017.

<sup>5</sup> Traditional CORDIS service are those executed in year 2014 like the dissemination of results of individual projects.

These actions will be implemented through a new framework service contract for a duration of 4 years for a total budget of approx. EUR 15 million funded from the thematic parts of the programme. EUR 1.00 million will be allocated for central support for focus areas. The indicative timetable for the launch of the procedure is the third quarter of 2016. Specific contracts on the above mentioned new framework contract:

Type of Action: Public Procurement - Service Contract

Indicative timetable: From 2nd quarter to 4th quarter of 2017 (several specific contracts)

Indicative budget: EUR 1.00 million from the 2017 budget (additional funding may come from thematic parts of the programme; central support for focus areas)

### **3. Support for dissemination of research results – service and partnership search functionality**

Thousands of projects funded under the Framework Programmes approach their end in the years to come. Many of them can have a wider impact, in particular through better dissemination of results using a wider range of means than publications and web-sites.

The Commission intends to select a contractor who is able to provide services (web services, eLearning and other capacity building services) to participants that help enhancing their dissemination capabilities, including dissemination activities for results that are aggregated from different projects of various EU and national programmes. The support to participants will add to the partnership search functionality on the Participant Portal, so that projects can benefit from partners having enhanced capacities for dissemination activities.

This activity under Work Programme 2016-2017<sup>6</sup> can possibly be extended under further work programmes.

This action will be implemented through a new framework service contract for a duration of 2 years for a total budget of EUR 1.45 million. The indicative timetable for the launch of the procedure is the second quarter of 2016.

Specific contracts on the above mentioned new framework contract:

Type of Action: Public Procurement - Service Contract

Indicative timetable: Fourth quarter of 2016 (2-3 specific contracts)

Indicative budget: EUR 1.45 million from the 2016 budget

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<sup>6</sup> The public procurement 'Other Actions' no.3 planned in the Work Programme 2014-2015: Assistance for partner search and dissemination activities on the participant portal was not carried out.

#### **4. Information technologies for analysing results of EU project portfolios and policymaking**

Activities on information technology methodologies started in Work Programme 2014-2015 will be continued throughout Work Programme 2016-2017. The aim is to roll out, with the help of a High Level Experts Group, modern information and communication technologies for analysing portfolios of project information, including their results, from reporting platforms (CORDA and eCORDA) and dissemination platforms (CORDIS, EU Open Data Portal).

These actions will be implemented through a new framework service contract for a duration of 4 years for a total budget of approx. EUR 2.2 million. The indicative timetable for the launch of the procedure is the second quarter of 2016.

Specific contracts on the above mentioned new framework contract:

Type of Action: Public Procurement - Service Contract

Indicative timetable: Fourth quarter of 2016 and in 2017 (several specific contracts)

Indicative budget: EUR 0.50 million from the 2016 budget and EUR 0.50 million from the 2017 budget

#### **5. High Level Expert Group**

The High Level Experts Group will support the European Commission with advice and expertise in defining the most promising orientation in data analytics and visualisation techniques. Each expert will bring a specific and complementary expertise in the field of data analytics and visualisation.

They will be asked to define the minimum requirements for the implementation of these technologies in the context of publically funded research portfolio analysis.

The Group will be called upon regularly to provide recommendations and elaborate guidelines on the most appropriate analytical methodologies for aggregation of data to achieve the objective of supporting the policy needs of the Research & Innovation Directorate-General. Their contribution will be instrumental in taking these considerations within the environment for addressing the cross-cutting nature of Horizon 2020. The experts will also develop an annual orientation paper related to these matters that will include assessing the strength and weaknesses of the present situation.

The dedicated Expert Group is needed for these tasks, which require the drafting of a complex and articulated set of documents. Experts will be selected from the experts' database produced following the Horizon 2020 call for expression of interest for experts. A special allowance of EUR 450/day will be paid to the experts of the Group, appointed in their personal capacity and acting independently and in the public interest, due to the considerable amount of work and of drafting involved that will entail a level of high level of commitment and a considerable time investment.



Type of Action: Expert Contracts

Indicative timetable: 2016-2017

Indicative budget: EUR 0.05 million from the 2016 budget and EUR 0.05 million from the 2017 budget

## **6. Evaluation methodologies for the interim and ex-post evaluations of Horizon 2020**

As presented in Article 32 of the Regulation (EU) No 1291/2013 of the European Parliament and of the Council of 11 December 2013 establishing Horizon 2020<sup>7</sup>, the Commission shall carry out an interim evaluation of Horizon 2020 with the assistance of independent experts, selected on the basis of a transparent process by 31 December 2017.

Furthermore, after the completion of Horizon 2020, and in compliance with Article 32(4) of the Horizon 2020 Regulation, the Commission shall carry out, with the assistance of independent experts, selected on the basis of a transparent process, an ex-post evaluation of Horizon 2020

The interim evaluation of Horizon 2020 will be a particularly challenging exercise compared to previous interim evaluations of Framework Programmes because of the wide range of topics identified by the co-legislator that should be addressed in this evaluation and the need to provide robust qualitative and quantitative evidence on impacts of projects and initiatives launched under Horizon 2020 and the predecessor programmes. In particular, the need to assess the performance and the socio-economic impacts of Horizon 2020 and the contribution of the programme to high-level policy goals, such as the Europe 2020 Strategy, raises new challenges, in terms of data, methodologies and analysis. This requires a major step-up in the evaluation approach. Evaluating impacts requires improving evaluation methods beyond metrics by building strong analytical models to measure the socio-economic impacts of the programme and to assess the synergies with other EU initiatives and policies. This will also feed into the Commission's work on performance-based budgeting.

In addition to the Better Regulation requirements, the ex-post evaluation of Horizon 2020 shall cover the rationale, implementation and achievements, as well as the longer-term impacts and sustainability of the measures, to inform decisions on future EU actions in the area of research and innovation.

This action will support the use of independent experts to develop new evaluation methodologies to (i) quantify to what extent the specific objectives of the Horizon 2020 societal challenges have been achieved and (ii) to quantify to what the extent FP7 and Horizon 2020 have contributed to addressing the Union's policy goals and the objectives of the Europe 2020 Strategy. The work of this group will feed into the interim and ex-post evaluations of Horizon 2020. The composition of the group will reflect the need for a mix of skills and competences. The experts will be selected on the basis of objective criteria. In view

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<sup>7</sup> [http://ec.europa.eu/research/participants/data/ref/h2020/legal\\_basis/fp/h2020-eu-establact\\_en.pdf](http://ec.europa.eu/research/participants/data/ref/h2020/legal_basis/fp/h2020-eu-establact_en.pdf)

of the intensity of the work and the high level composition of the groups a special allowance of EUR 450/day will be paid to the experts appointed in their personal capacity who act independently and in the public interest.

Type of Action: Expert Contracts

Indicative timetable: First, second, third and fourth quarters of 2016-2017

Indicative budget: EUR 1.00 million from the 2016 budget

## **7. External expertise for the evaluation of Horizon 2020 project proposals**

This action will support the use of appointed independent experts for the evaluation of project proposals throughout this entire work programme for the calls implemented from the 2016 budget. The budget allocated to this action is the total of contributions of all the work programme parts implementing calls.

Type of Action: Expert Contracts

Indicative budget: EUR 54.66 million from the 2016 budget

## **8. Support for Assessments of Impacts of Research and Innovation Programmes**

The recently adopted Better Regulation package has reinforced the role of evaluation in policy making, whilst also continue requesting that strong attention is paid to assessing impacts of new policy initiatives, in particular in quantitative terms. Moreover, the new Commission intents to implement performance based budgeting, requiring a thorough presentation of factual results of short-term and long-term outcomes of EU expenditures, including Horizon 2020.

This line of activity aims at evaluating ex-ante and ex-post at macro-sectoral level the impact on growth and jobs of EU research and innovation (R&I) programmes. The objectives would be to (i) quantify possible impacts of different options for the revision of the Multiannual Financial Framework and for next Framework Programmes; and (ii) quantify jobs and growth impacts of Horizon 2020, when possible linked with the new Commission's priorities.

The results of this tender will feed into the discussions of the Multiannual Financial Framework. This will also contribute to the interim evaluation of Horizon 2020 and in the preparation of the Impact Assessment of the next Framework Programme

The implementation of this activity will contribute to complying with the requirements of better regulation tool-box on research and innovation.

Type of Action: Public Procurement - Service Contract

Indicative timetable: First quarter 2016

Indicative budget: EUR 0.50 million from the 2016 budget

## Budget<sup>8</sup>

	Budget line(s)	2016 Budget (EUR million)	2017 Budget (EUR million)
<b>Calls</b>			
<b>Other actions</b>			
CORDIS services		5.00	5.45
	<i>from 08.020500</i>	5.00	5.45
Expert Contracts		55.71	0.05
	<i>from 08.020500</i>	55.71	0.05
Public Procurement		2.45	1.50
	<i>from 08.020500</i>	2.45	1.50
<b>Estimated total budget</b>		<b>63.16</b>	<b>7.00</b>

<sup>8</sup> The budget figures given in this table are rounded to two decimal places.

The budget amounts for the 2016 budget are subject to the availability of the appropriations provided for in the draft budget for 2016 after the adoption of the budget 2016 by the budgetary authority or, if the budget is not adopted, as provided for in the system of provisional twelfths.

The budget amounts for the 2017 budget are indicative and will be subject to a separate financing decision to cover the amounts to be allocated for 2017.