

# WEBINAR HORIZONTE EUROPA 2021-2027



Jueves 30 de abril



12:00 – 13:00

## I+D+i en el 2021-2027: Programa HORIZONTE EUROPA – Estrategia de Implementación y novedades prácticas

**Gobierno  
de Navarra**



**Sr. Mikel Irujo**  
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# Navarra en Europa / Nafarroa European Foros Permanentes de Encuentro / Topagune Iraunkorrak



*Mikel Irujo, Director General de Acción Exterior*

# Foros Permanentes de Encuentro

Encuentra a los Foros en:  
<http://www.forosnavarra-europa.eu/>

1. Generar valor a través de la **gestión de la información y recursos actualmente existentes, a nivel europeo**, ofreciéndola de una manera filtrada, elaborada, ordenada y clasificada para los **4 sectores prioritarios de la S3 Navarra**.
2. Creación de **redes navarras** empresariales temáticas.
3. Aumento de la **actividad de los miembros de la red** en el **ámbito europeo**, entre sí e individualmente, en especial en su participación en redes y en proyectos europeos.
4. Facilitar la participación de las empresas en otros programas vinculados al **Plan de Acción de la UE** (potencial la visibilidad y el posicionamiento de las entidades navarras hacia el exterior e identificar las empresas que puedan actuar como tractoras en el acceso a fondos europeos)



# Horizon Europe

Implementation strategy

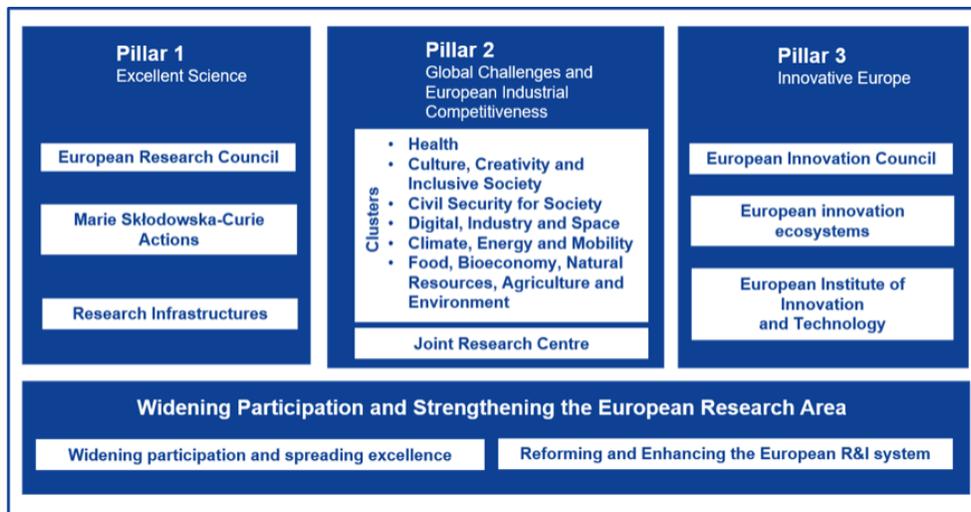
Building on experience and new challenges



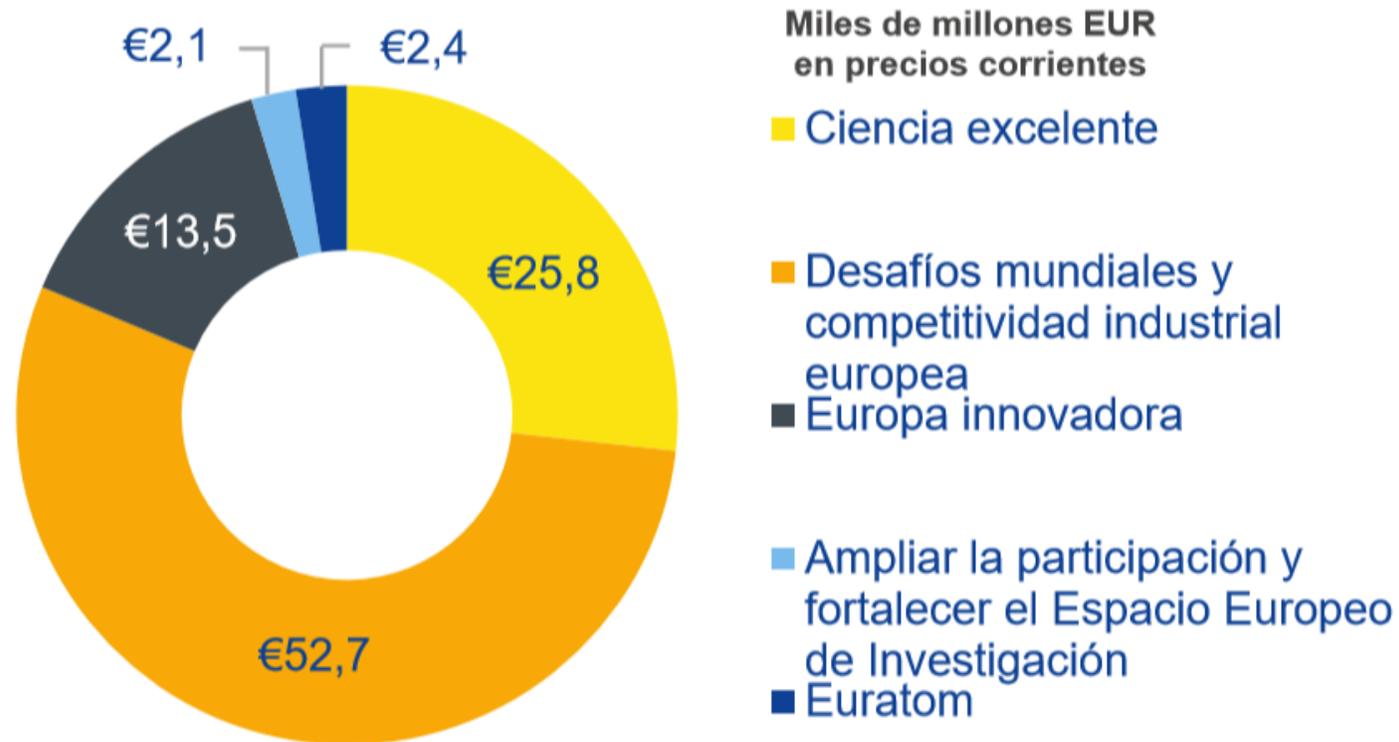
*Isabel Vergara, RTD.B3*

# Horizon Europe

- Horizon Europe is the next EU research and innovation framework programme that will run from 2021 to 2027.
- Final adoption expected in 2020, once the EU's long-term budget (multiannual financial framework - MFF) is agreed.



# Propuesta de presupuesto de la Comisión: 100 000 millones EUR\* (2021-2027)



\*Esta dotación incluye 3 500 millones EUR asignados en el marco del Fondo InvestEU.

# Consejo Europeo de Innovación

Apoyo a las innovaciones de vanguardia o disruptivas y con potencial de expansión que resulten demasiado arriesgadas para los inversores privados (**70 % del presupuesto previsto para las pymes**)

**Consejo Europeo de Innovación: una ventanilla única**

Ayudar a los innovadores a crear los mercados del futuro, a hacer uso de la financiación privada y a expandir sus empresas.

Una gestión y seguimiento de tipo ágil y proactivo, que asuman riesgos y estén centrados en la innovación.

Dos instrumentos complementarios que acortan la distancia entre la idea y el proyecto en el que se pueda invertir.

**Explorador:** subvenciones (desde la fase temprana de la tecnología hasta la fase precomercial).

**Acelerador:** subvenciones y financiación combinada (desde la fase precomercial hasta las fases de mercado y expansión).

# Misiones de investigación e innovación

## Misiones de investigación e innovación

Relacionar mejor la investigación e innovación de la UE con las necesidades de la sociedad y la ciudadanía, con una gran visibilidad e impacto.

Una misión es una cartera de acciones transdisciplinares con un plazo determinado destinada a alcanzar **una meta audaz e inspiradora, a la vez que cuantificable**, que tiene un **impacto** en la sociedad y la formulación de políticas y es pertinente para una parte importante de la población europea y un amplio espectro de ciudadanos europeos.

Horizonte Europa define las características de la misión y los elementos de la gobernanza, así como cinco ámbitos de misión.

Las misiones específicas estarán programadas dentro del pilar «Desafíos mundiales y competitividad industrial europea» (a partir de las aportaciones de otros pilares).

- Adaptación al cambio climático, incluida la transformación social
- Cáncer
- Ciudades inteligentes y climáticamente neutras
- Salud de océanos, mares y aguas costeras y continentales
- Salud del suelo y alimentos

# HE Implementation strategy

- This Strategy focuses on how the new programme will achieve those objectives in practice.
- It will provide the framework for carefully designed rules and efficient processes, across the entire programme and project life cycle, allowing the programme to deliver its impacts in a way that is as efficient and user-friendly as possible.

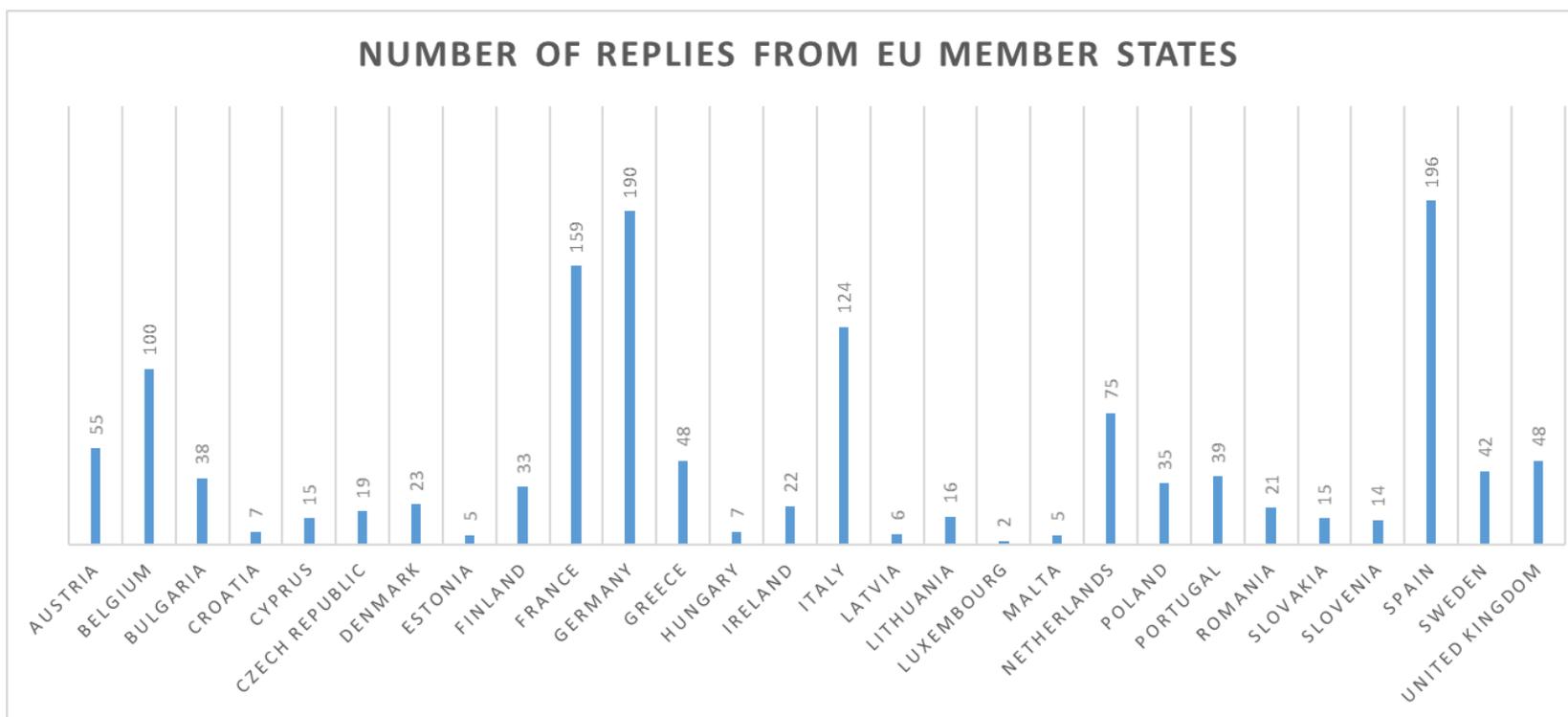
It runs in parallel to the '**Strategic Planning**' process to prepare the content of the work programmes and calls for proposal for the first 4 years of Horizon Europe.

It will focus on the Global Challenges and European Industrial Competitiveness pillar of Horizon Europe and the Widening Participation and Strengthening the European Research Area parts of the programme as well as relevant activities in other pillars.

# Implementation strategy

- 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 and November 2019

# On-line consultation



From June 19 to January 20, we have organized 20 national events held in Member States.

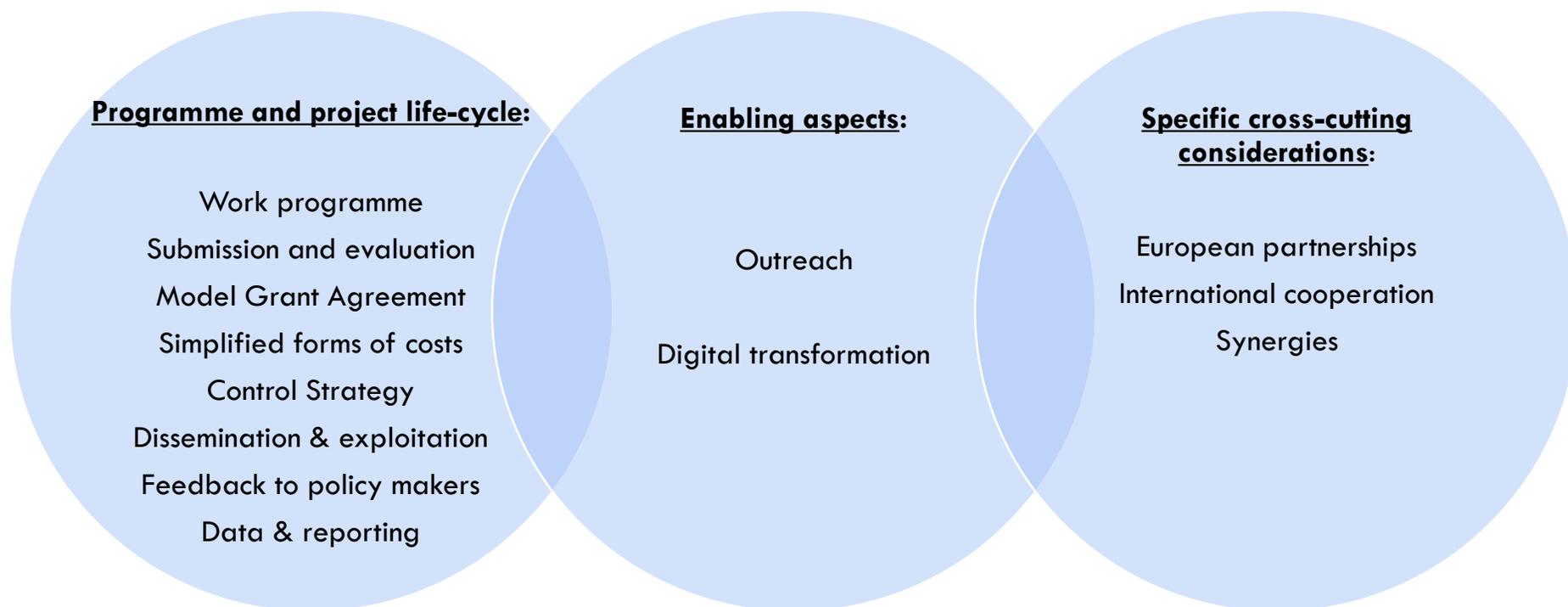
(Madrid - October 2019)

[Report on the results of the online consultation and the European R&I Days event](#)

# Guiding principles

- Maximising impacts
- Easing access, greater transparency and further simplification
- Digital transformation
- Fostering synergies with other EU spending programmes

# Components of the implementation strategy



# Work Programmes and calls

- 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
- Further enhancement of the publication of calls on the Funding and Tenders Portal (including institutionalised partnerships and EIT)

# Model grant agreement

- 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
  - Further deployment of simplified forms of funding (e.g.: unit costs and lump sums)

# Data and reporting

- **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
- **Creating a R&I data hub:** Sharing high-quality pan-European data, progressively integrating them in a European R&I Data Hub that will strengthen 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

# Simplified forms of costs

- **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**

# Proposal submission and evaluation in **Horizon Europe**

*Pending final decisions on Horizon Europe, there seems to be consensus on certain key points. For example:*

- **Continuity:** It is based on H2020 evaluation process. Three evaluation criteria retained (Excellence, Impact, Quality of Implementation); Excellence only under the ERC;
- **Transparency:** It remains a transparent approach, based on an evaluation made by external experts with a final decision taken by the Commission, fully and transparently justified.
- **Adapted to new features:** Special arrangements possible, especially for missions and EIC (e.g. portfolio considerations when ranking; changes to proposals)

# Proposal submission and evaluation

- **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 (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;

# Draft orientations for Horizon Europe

*Areas where system can be improved based on lessons-learned, and how novel features can be accommodated:*

- Evaluation criteria (interpretation)
- Evaluation modalities
- Interaction with applicants
- Proposal template
- Missions and EIC

# Evaluation criteria – Orientations

The draft Horizon Europe rules set the same three award criteria we have in Horizon 2020: ‘*Excellence*’, ‘*Impact*’ and ‘*Quality and efficiency of the implementation*’. **Excellence** only for ERC,

These need to be spelled out, taking into account the lessons learnt:

- Simplify and reduce the number of ‘aspects to be taken into account’, where possible, ensuring that the same aspect is not assessed twice;
- New approach to impact: Key Impacts Pathways (KIPs)
- Include an assessment of the quality of applicants under ‘implementation’, rather than as a separate binary assessment of operational capacity;
- Simplify or remove assessment of management structures.

# Evaluation criteria – New approach to impact

Discussions on-going

*How impact will be evaluated hinges in part on the way topics are presented in work programme. Current thinking:*

- **Targeted impacts** (from the strategic plan) will be set out for a call, or a group of topics;
- The topic text will set out **expected outcomes**, and their link to the wider targeted impacts (topics will therefore be open to a range of different pathways to achieve them).
  - Topics will also specify the scope (e.g. may delimit the range of possible pathways, or otherwise constrain the type of proposal requested)
- Proposals will put forward **outputs**, that can contribute to the expected outcomes, and over eventually to the targeted impacts.

# Evaluation modalities

Discussions on-going

*Much experience but need **better rationale** for the use of one or other approach; and **further simplification**, where possible:*

## **Two-stages:**

- Reduce aspects evaluated at first stage; abolish ‘substantial change’ rule for second stage proposals (or at least define it with a very low bar); abolish first stage ESR for successful first stage applicants (while maintaining system of generalized feedback);
- **Blind-evaluation** (in first stage of two-stages evaluations)
  - Organise a pilot for at least two calls in HE (re draft legislation);
- **Review rules for ex-aequo** (re draft legislation)

# Interaction with applicants

Discussions on-going

*Can increase the robustness and credibility of the system but comes with a cost in terms of time and resources.*

*Experience under H2020 (ERC & EIC pilot), and in national programmes.*

- **Interviews** should form part of the process where appropriate, while ensuring equal treatment for all eligible competing applicants;
- **‘Right-to-react’ or ‘Rebuttal’ approach**
  - Inform coordinator of (anonymous) IERs for his/her proposal. Given [5] days to react.
  - Experts in consensus phase must take into account reactions, to the extent that they aim to refute statements in the IER
  - Pilot in at least two calls
  - Rebuttal arrangements announced time of call opening
  - Experts briefed that IERs will be published
  - IERs screened for sufficiency of content, clarity...

# Proposal template

Discussions on-going

*There seems to be no need for drastic changes at this stage. But improvements to be identified. For example:*

- Where feasible, capture information needed to assess the quality of applicants in a structured form (different approach may apply to the ERC);
- **Reduce the maximum length** of the proposal (e.g. 50 pages);
- Budget table is adapted to Model Grant Agreement
- Questions on indicators for KIPs

*Distinct templates will continue to be required for ERC, MSCA and EIC calls, although the aim should be for as much coherence as possible.*

# Missions and EIC

Discussions on-going

*Special arrangements will be needed for the parts of the Programme where it is important to establish a **consistent portfolio of projects** (esp. EIC, missions). For example:*

- Intrinsic quality of a proposal is determined first, and the portfolio considerations (spelled out clearly in the work programme) in a second phase;
- The approach adopted will largely depend on the design of a mission call, and may need to vary from mission to mission;
- Evaluation under the EIC is the subject of an ongoing pilot (EIC accelerator). It currently consists of a two-step process with a face-to-face interview at the second stage.

# Other areas for attention include:

Discussions on-going

- **Resubmissions rules**
- **Ethics review**
  - A new streamlined approach is proposed that will put more weight, where relevant, on compliance with national regulations harmonised across the EU (e.g. on clinical trials, data protection);
  - Applicants will be expected to supply more comprehensive information on such compliance (although they may not be penalized if incomplete at proposal stage).
  - Focus of resources on problematic cases.
- **Security scrutiny**
  - Implement a similar process as for ethics review based on a questionnaire in proposal
- **Redress ('Evaluation review')**

# Thank you

#HorizonEU



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