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LA STATALE

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LE
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Incontro Codau GDL Ricerca- Sotto gruppo Progetti EU e internazionali
Politecnico di Torino - 21 novembre 2016



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RESEARCH & INNOVATION

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Title

Public stakeholder consultation – interim evaluation of Horizon 2020.

Policy field(s)

Research and Innovation.

Target group(s)

All citizens and organisations are welcome to contribute to this consultation. Contributions are particularly sought from researchers, entrepreneurs, innovators and all types of organisations that have participated in Horizon 2020.

Period of consultation

From 20.10.2016 to 15.01.2017

dal 20 ottobre
2016
al 15 gennaio
2017



Incontro Codau GDL Ricerca- Sotto gruppo Progetti EU e internazionali



PUSHING
THE FRONTIERS
OF INNOVATIVE
RESEARCH

LERU was founded in 2002 as an association of research-intensive universities sharing the values of high-quality teaching in an environment of internationally competitive research.

The League is committed to:

- education through an awareness of the frontiers of human understanding;
- the creation of new knowledge through basic research, which is the ultimate source of innovation in society;
- the promotion of research across a broad front, which creates a unique capacity to reconfigure activities in response to new opportunities and problems.

The purpose of the League is to advocate these values, to influence policy in Europe and to develop best practice through mutual exchange of experience.

University of Amsterdam

Universitat de Barcelona

University of Cambridge

University of Edinburgh

University of Freiburg

Université de Genève

Universität Heidelberg

University of Helsinki

Universiteit Leiden

KU Leuven

Imperial College London

University College London

Lund University

University of Milan

Ludwig-Maximilians-Universität München

University of Oxford

Université Paris-Sud 11

Pierre & Marie Curie University

Université de Strasbourg

Utrecht University

University of Zurich



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LERU expands its membership

18 November 2016



University of Copenhagen and Trinity College Dublin join Europe's leading network of research-intensive universities

The University of Copenhagen and Trinity College Dublin will join the League of European Research Universities (LERU) on 1 January 2017 following a decision taken earlier today. This will expand LERU's membership from 21 to 23 members. The decision was reached at the autumn meeting of the LERU Rectors' Assembly in Heidelberg, Germany.

LERU was founded in 2002 as an association of 12 research-intensive universities with common viewpoints on higher education and research. Today, it acts as a powerful advocate for Europe's research-intensive universities, speaking up on many issues related to European research, innovation and education policies, such as ERA, Horizon 2020, Open Science, Open Innovation, Erasmus+, etc. Over the past 15 years, LERU





LERU's Interim Evaluation of Horizon 2020

20 October 2016



Today the European Commission opens its online consultation on the Horizon 2020 interim evaluation. The '[LERU's Interim Evaluation of Horizon 2020](#)' paper that will be officially launched in Brussels tomorrow is LERU's response to this consultation and makes recommendations to a wide range of aspects related to Horizon 2020.

LERU and its members are staunch supporters of Horizon 2020, the most important pan-European programme for research, not only in size, but also in terms of leveraging excellence, international, intersectoral and interdisciplinary collaboration. The LERU member universities are amongst the institutions that participate the most in H2020. Based on their huge amount of expertise, LERU already evaluated Horizon 2020 in October 2015 ([KISS Horizon 2020](#)) and has repeated that thoroughly in light of the interim evaluation, the result of which is published today.

Investing in research and innovation is key to a competitive Europe. It is time that finance ministers recognise



http://www.leru.org/files/publications/LERUs_interim_evaluation_of_Horizon_2020_final.pdf

Incontro Codau GDL Ricerca- Sotto gruppo Progetti EU e internazionali – 21 novembre 2016



A. What is Horizon 2020's added value for Europe? Why is it relevant for the Union?

- EU on the global map \Leftrightarrow **competition for excellence**
- Structuring effects, introducing new policies
- Talents and ideas: MSCA and ERC!
- Collaboration!
- Facilitator in getting results to society and economy



B. Implementation state of play (I)

B.1. What is the state of the budget implementation?

- Previous H2020 budget cuts should be undone
- European Fund for Strategic Investments (EFSI) 2.0 should not influence H2020's budget

B. Implementation state of play (II)

B.2.1. Oversubscription

Oversubscription threatens H2020's reputation

Other organisations have suggested the narrowing of call topics.

To continue to foster creativity, flexibility
and choice of consortium setup,

LERU would rather see the narrowing of the expected impact.

B. Implementation state of play (III)

B.2.2. Crossing the innovation divide

- **H2020 is not the solution**, merely the driving force
- Member States: start investing in **talents**

Financial incentives should **not come from Horizon 2020** budgets but from the Structural Funds.

Teaming and twinning

In the long run, we are however not convinced that the current schemes are the most effective way to address the low participation of EU13 beneficiaries in H2020.



B. Implementation state of play (IV)

B.2.3. The use of (financial) instruments

The EC should investigate using loans complementary to grants.

The use of loans vs. grants should also depend on the type of beneficiary.

LERU emphasises that universities must always be able to work with grants in Horizon 2020, irrespective of the TRL level of the project in which they are participating.



C. Relevance

C.1 Do the objectives still correspond to the needs of the EU, the Europe 2020 Strategy and the European Research Area?

A) OPEN ACCESS: Given the divergence and large number of OA policies across Europe (currently 4664), the EC should take **amore active role in aligning the different, and occasionally conflicting, open access policies.**

B) RRI: Future Horizon 2020 grant agreements could reasonably require recipient organisations to have developed their **own research integrity code or adopted a national or other recognised code**

C) GENDER: We urge the EC to step up its efforts to recruit **more gender experts** for evaluating project proposals.

D) MATERNITY LEAVE: Whilst H2020 allows for the costs of such leave to be charged to the grant, it does not provide **any additional funding to recruit a cover post or to extend the research period, in collaborative projects.**



D. Effectiveness (I)

D.1.1. Horizon 2020's focus on innovation

Impacts must be realistic, measurable and clear.

LERU also recommends the EC provides **clear guidance** on what is meant by impact so that all involved have the same interpretation to hand.



D. Effectiveness (II)

D.1.1. Horizon 2020's focus on innovation

At present there is a lack of fundamental research opportunities for collaborative research.

LERU strongly recommends the EC takes a more balanced approach and to spread its funding for collaborative research over all stages of the innovation pipeline and fund them accordingly.



D. Effectiveness (III)

D.1.1. Horizon 2020's focus on innovation

More funding is required for projects at lower TRL levels, especially in the societal challenges.

Although we refer to TRL levels in this paper, we wish to emphasise that **LERU** is not in favour of maintaining TRL levels to categorise research and innovation projects.



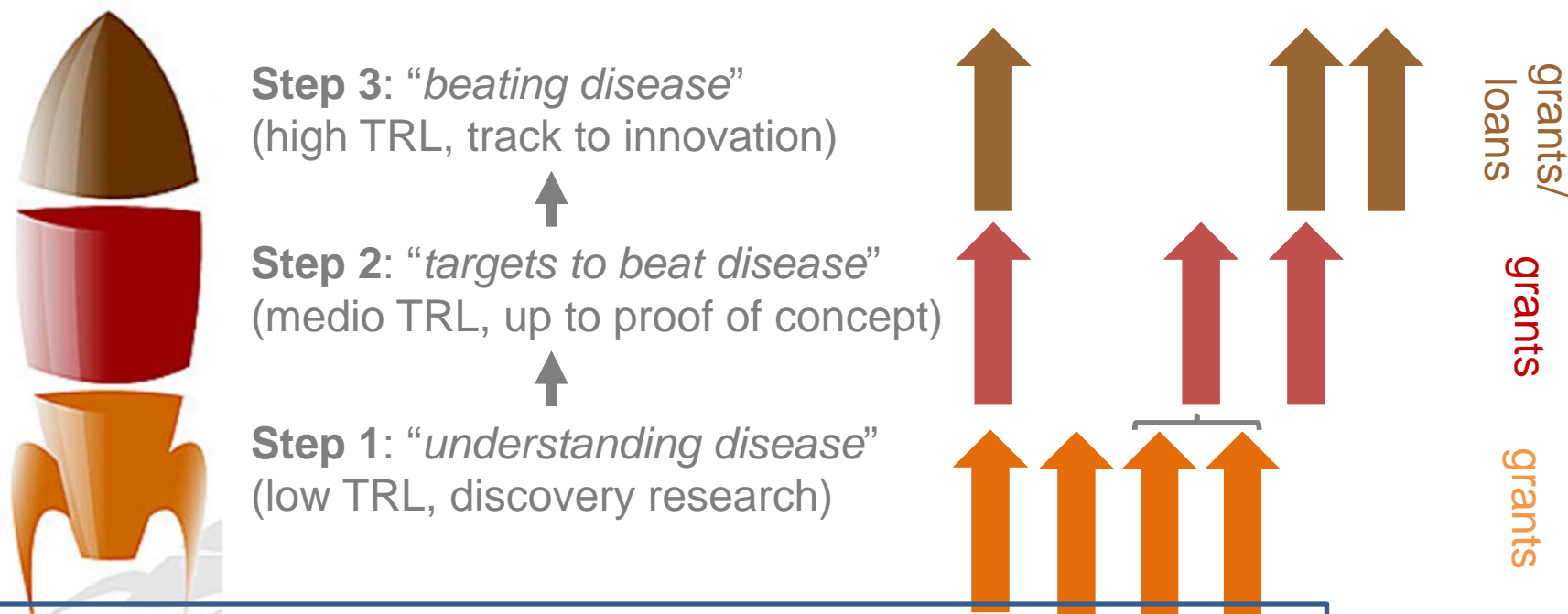
D. Effectiveness (IV)

D.1.1. Horizon 2020's focus on innovation

A concrete suggestion already made by LERU is for the EC to offer funding at the different stages of the innovation chain by introducing broad, challenge-based topics that “harvest” projects at different TRL levels at the same time.

Three-stage rocket

- Recurrent calls (hence predictable), broad and open ‘topics’
- Harvesting results at different steps, allowing continuation to a next step, as well as embarking at all steps
- *Long-term ‘topics’ (areas), e.g. “Fighting chronic disease”*





D. Effectiveness (V)

D.1.1. Horizon 2020's focus on innovation

Other forms of innovation such as **social innovation** are not given sufficient emphasis in the calls, despite these being vital to innovation in society.

As stated above there certainly needs to be a clearer acknowledgement of the need for **'innovative research'** and not just **'innovation as market exploitation'**.



D. Effectiveness (VI)

D.1.1. Horizon 2020's focus on innovation

Applicants feel under pressure to promise unrealistic impacts to improve their chances of success and are selected on the basis of those promises.

LERU recommends the EC delivers work programmes and topics with more realistic expected impacts, designed for the real life-time of a project.



D. Effectiveness (VII)

D.1.2. Increasing impact of H2020 funding

We believe one of the measures which could increase the impact of Horizon 2020 projects **is the better tracking of funded projects.**

We suggest the **EC goes further and investigates how to best organise cross-project networking, making it the norm rather than the exception in the future.**



D. Effectiveness (VIII)

D.1.2. Increasing impact of H2020 funding

LERU also suggests the EC look into the option of providing follow-up funding for collaborative projects.

The follow-up funding should be short term, for example 6 to 18 months, and specifically aimed at bringing the project's output to the next stage in the innovation pipeline or, more generally, allow the project to achieve a much better output or higher impact.

D. Effectiveness (IX)

D.2. What balance between top down programming and bottom up action?

We recommend maintaining the challenge-based, non-prescriptive approach.

LERU is convinced that Horizon2020 needs more early stage collaborative research opportunities.

It is however important that calls for **earlier stage projects are also sufficiently bottom-up**, to allow for the brightest ideas and the best consortium to get funded.



D. Effectiveness (X)

D.2. What balance between top down programming and bottom up action?

Bottom-up initiatives are however not only important in earlier stage projects.

LERU believes it is also important to provide bottom-up funding for close to market activities.



D. Effectiveness (XI)

D.3. Interdisciplinary Cooperation

Addressing today's global challenges needs the involvement of a wide variety of scientific disciplines, including those that investigate humans, their culture, history and behaviour.

It is not enough to try to engage researchers from Social Sciences and Humanities (SSH) once a challenge has been identified by others.

SSH researchers should be engaged from the very beginning of the development in collaboration with researchers from the natural and life sciences.

D. Effectiveness (XII)

D.3. Interdisciplinary Cooperation

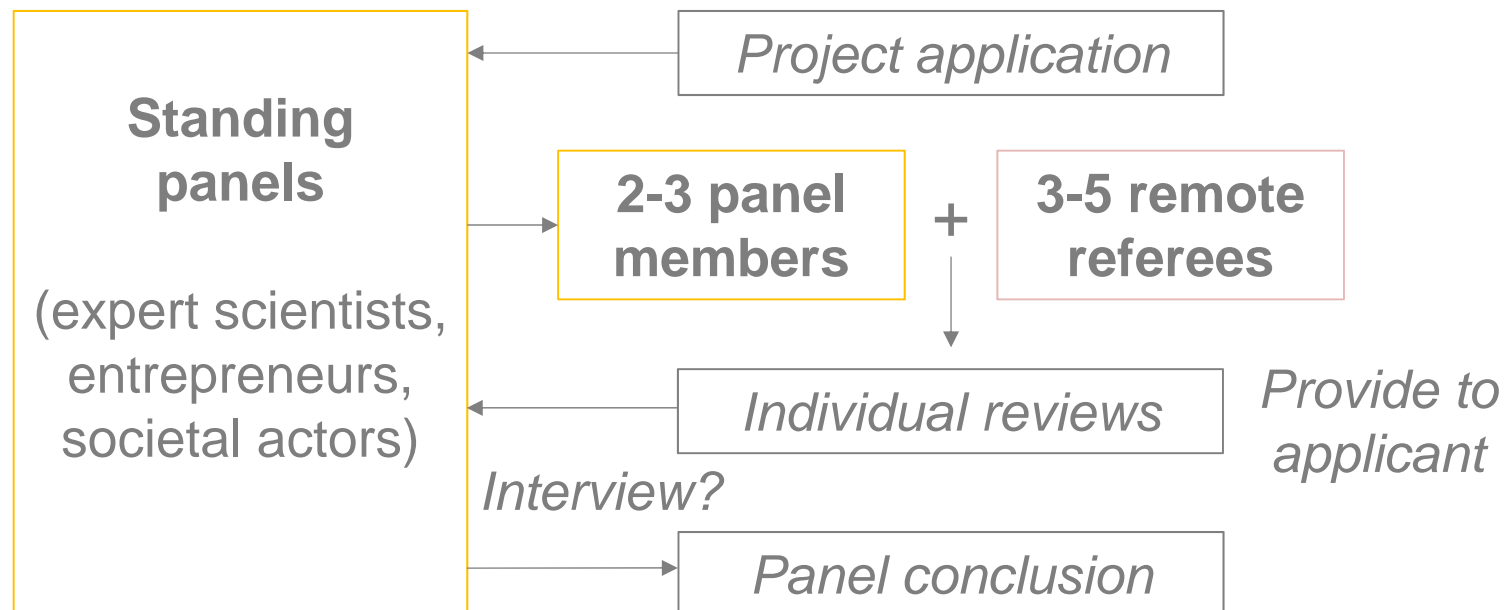
SSH researchers themselves need to put in genuine effort to **link up to other sciences**, to get to know their way around Horizon 2020 and to create more and better opportunities for themselves.

But unfortunately **this is difficult if SSH research is limited to identifying legal boundaries, developing or assessing business plans and market opportunities or to investigating if a certain technology would be acceptable to consumers.**

In the interest of all of science, SSH cannot and should not be limited to an incidental role.

E. Efficiency and use of resources (I)

- Perhaps rethink H2020's evaluation procedure
 - **Make it an honor again to be FP evaluator** (cfr. ERC)





E. Efficiency and use of resources (II)

- **Simplification:** job well-done (but continue efforts !)
- **Issues requiring urgent attention**
 - Clarification for the monthly hourly rates
 - Eligibility of internally invoiced costs
 - Full capacity for calculation of equipment costs
- **Clear guidelines for auditors**
 - Consistency and transparency are key
- Avoid new red tape
 - Built-in proportionality checks for e.g. ethical screenings

F. Coherence

- **Internal H2020 coherence**
 - PPPs, JTIs: more transparency (at all levels) and better interaction with H2020
 - JPIs: introduce harmonised procedures
 - Don't establish new actions; discontinue ineffective ones
- **Coherence with external programmes**
 - Introduce common set of rules for research across DGs
 - Solve pending issues regarding 'synergies' with SF

Grazie

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Università degli Studi di Milano
LERU's ERP Community**