

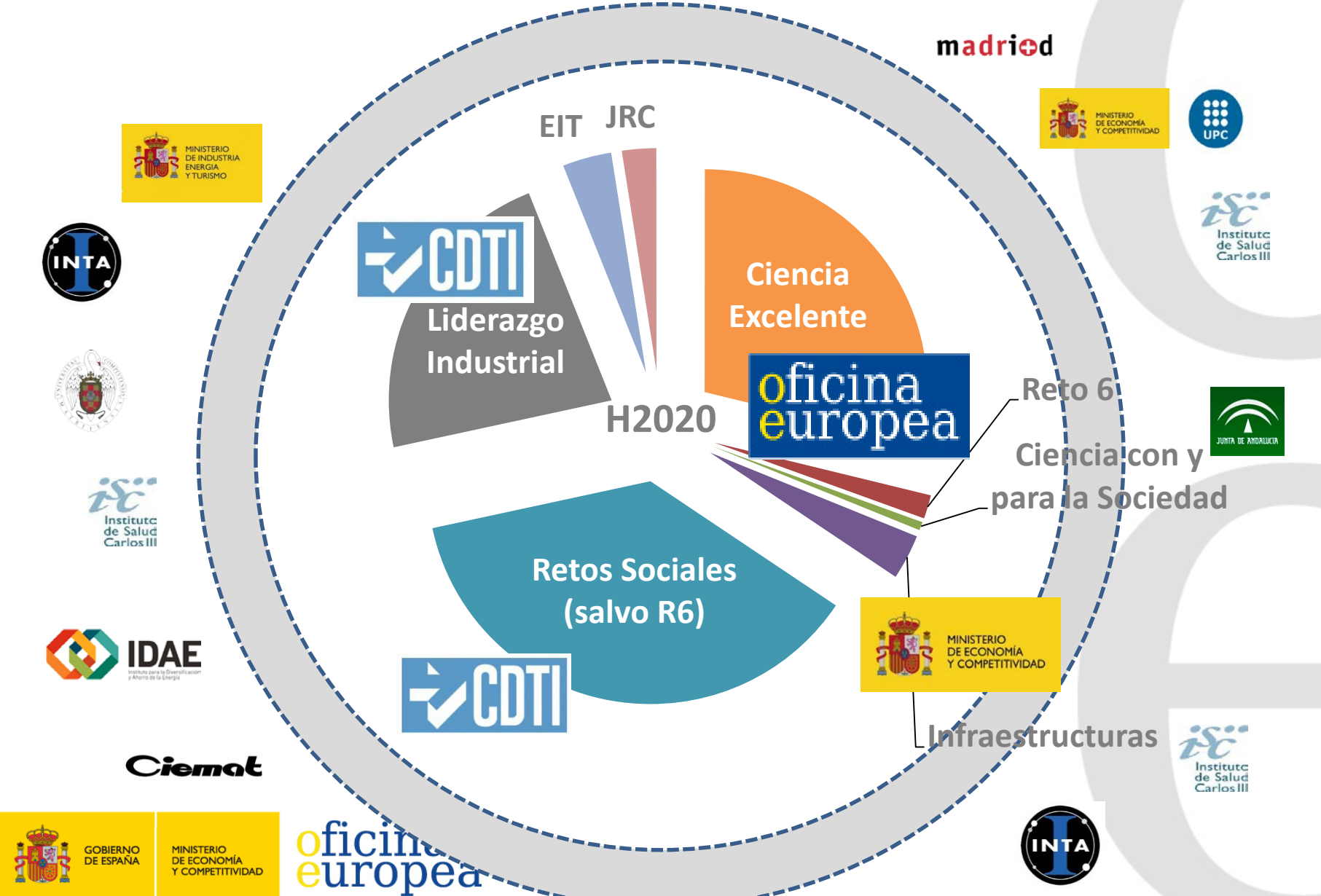
La participación de las universidades españolas en H2020

*Conferencia Red Otri, Madrid
31 de mayo de 2016*



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Estructuras de apoyo



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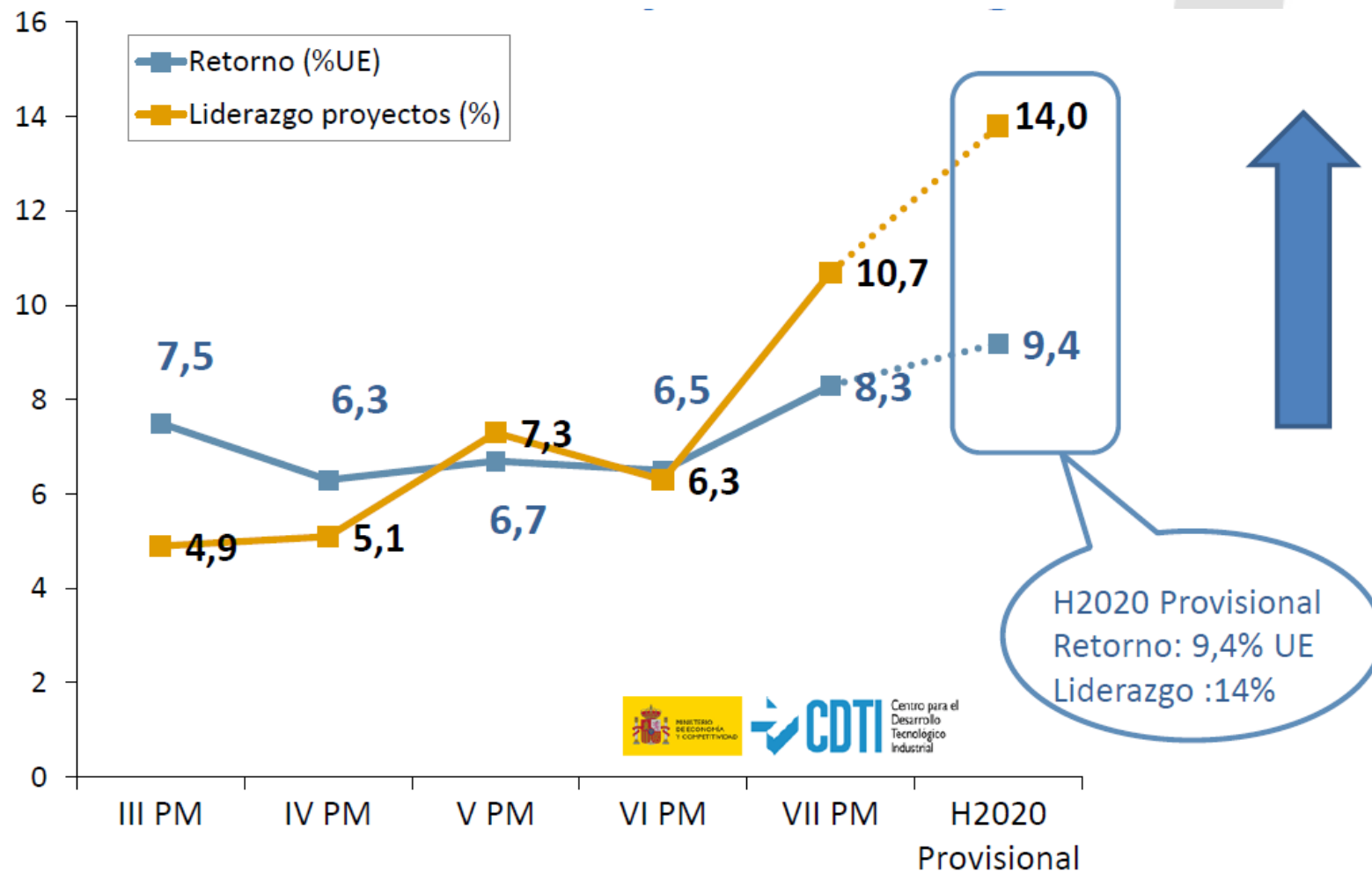
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1. La participación de las universidades españolas en H2020

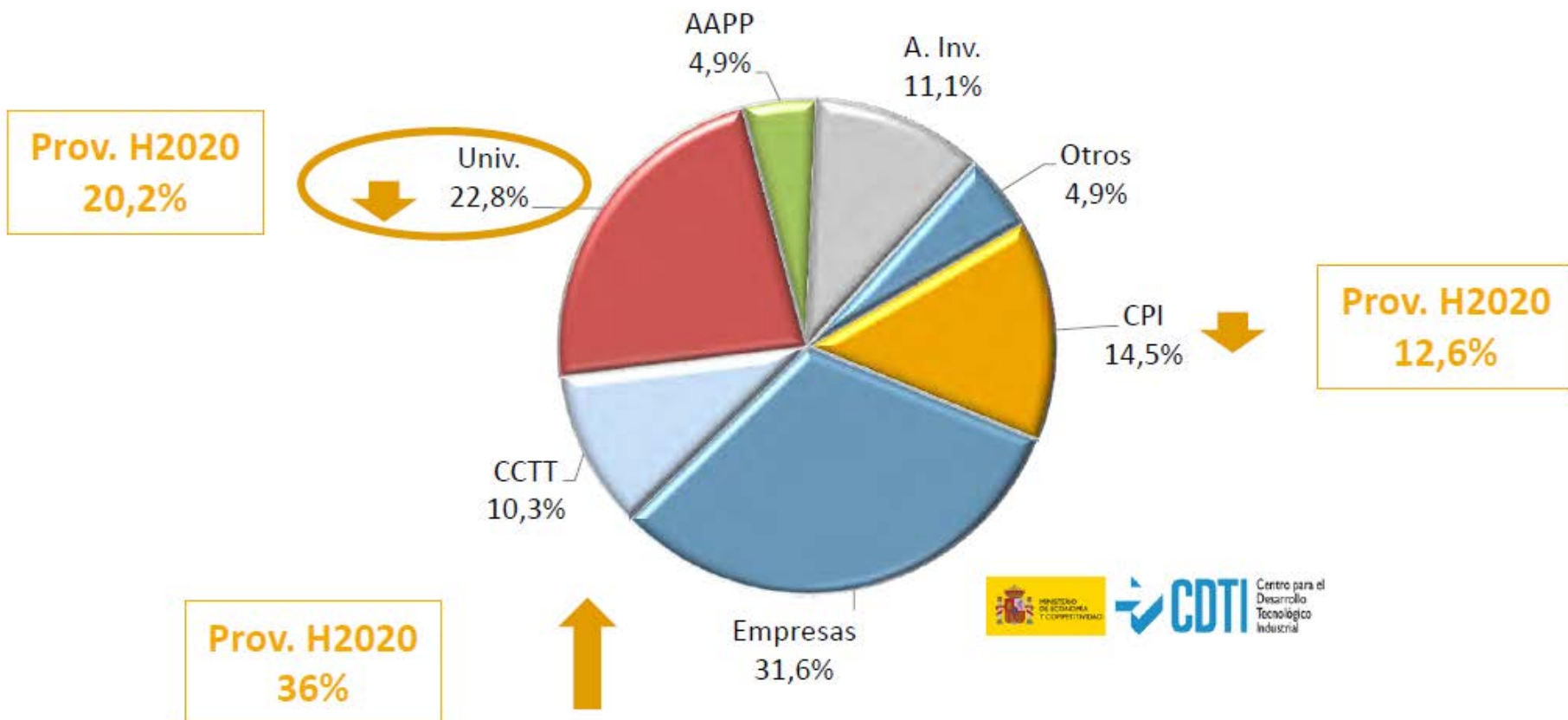


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Evolución de retorno y liderazgo en los Programas Marco



Participación por tipo de entidad – H2020 respecto a FP7



Las universidades en H2020 por áreas

| Horizonte 2020: Universidades | Propuestas | | Actividades Financiadas | | | Tasa éxito | |
|----------------------------------|------------|---------|-------------------------|---------|------|------------|--------|
| | Nº | Lideres | Nº | Lideres | M€ | Univ. ES | España |
| Salud ¹ | 240 | 26 | 22 | 3 | 10,5 | 9% | 12% |
| Bioeconomía ² | 92 | 10 | 20 | 2 | 8,4 | 22% | 21% |
| Energía ³ | 124 | 17 | 21 | 3 | 7,3 | 17% | 16% |
| Transporte ⁴ | 57 | 9 | 12 | 1 | 3,2 | 21% | 24% |
| Medio Ambiente | 66 | 10 | 10 | 2 | 4,6 | 15% | 24% |
| Sociedades | 147 | 29 | 6 | 1 | 1,4 | 4% | 6% |
| Seguridad | 82 | 17 | 6 | 2 | 2,3 | 7% | 11% |
| ICT ⁵ | 340 | 88 | 44 | 15 | 22,0 | 13% | 14% |
| NMBP ⁶ | 176 | 32 | 19 | 2 | 9,2 | 11% | 14% |
| Espacio | 82 | 13 | 13 | 0 | 3,0 | 16% | 17% |
| ERC | 310 | 299 | 24 | 24 | 37,9 | 8% | 12% |
| FET | 36 | 9 | 6 | 1 | 1,7 | 17% | 14% |
| Acciones Marie S. Curie | 792 | 496 | 105 | 60 | 26,1 | 13% | 15% |
| Infraestructuras | 91 | 10 | 13 | 0 | 4,0 | 14% | 24% |
| Widening | 7 | 0 | 0 | 0 | 0 | 0% | 12% |
| Ciencia con y para la Sociedad | 53 | 8 | 4 | 2 | 1,1 | 8% | 12% |



2. Mirando hacia el futuro: Qué viene ahora en H2020



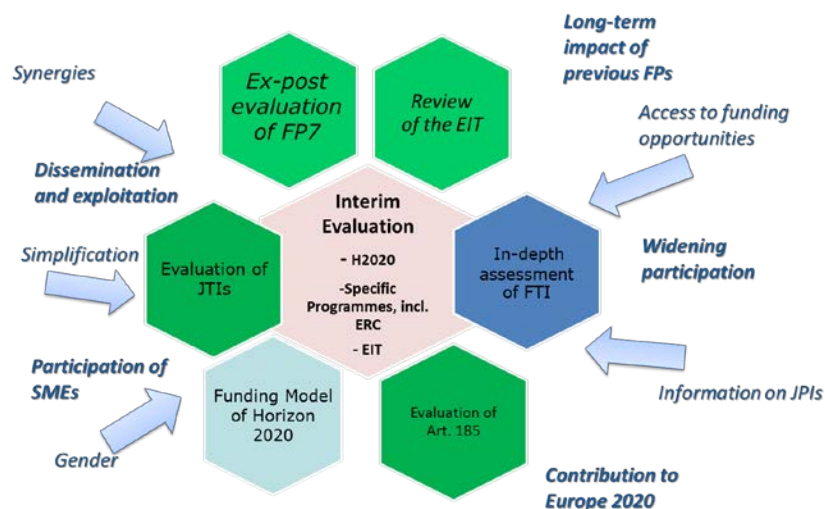
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Siguientes pasos H2020: Interim Evaluation

- Evaluación intermedia del H2020 → expresión de opinión como colectivo

**Apoyo
Oficina Europea + CDTI**

Evaluación intermedia de H2020



- Oportunidad para poner en evidencia las necesidades y áreas de mejora para la participación de universidades españolas.
- Calendario:
 - Primera mitad 2016: Discusión en el Comité de Programa los términos de referencia de la evaluación.
 - 4º trimestre 2016: Consulta pública a los grupos de interés (3 meses).

Marco – Legal

The legal basis, 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, indicates that the Commission shall carry out an interim evaluation of Horizon 2020 by 31 December 2017, with the assistance of independent experts, selected on the basis of a transparent process.

Article 32

Evaluation

1. Evaluations shall be carried out in a sufficiently timely manner to feed into the decision-making process.

http://ec.europa.eu/research/participants/data/ref/h2020/legal_basis/fp/h2020-eu-establact_en.pdf



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Marco – Legal



*Review of
the EIT*

2. By 31 December 2017, the Commission shall carry out, with the assistance of independent experts selected on the basis of a transparent process, a review of the EIT, taking into account the evaluation provided for in Article 16 of Regulation (EC) No 294/2008. The KIC call in 2018 shall be launched subject to a positive outcome of that review. The review shall assess the progress of the EIT against all of the following:

- (a) the level of consumption and the efficiency in the use of the funds allocated according to Article 6(3) of this Regulation, differentiating between the amount used for the development of the first wave of KICs and the effect of the seed money for the subsequent waves, and the ability of the EIT to attract funds from the partners in the KICs and especially from the private sector, as set out in Regulation (EC) No 294/2008;
- (b) the contribution of the EIT and the KICs to the priority "Societal challenges" and the specific objective "Leadership in enabling and industrial technologies" and the performance assessed on the basis of the indicators defined in Annex I;
- (c) the contribution of the EIT and the KICs to the integration of higher education, research and innovation;
- (d) the ability of the KICs to integrate relevant new partners where they can provide added value.



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Interim Evaluation

- H2020
- Specific Programmes, incl. ERC
- EIT

The interim evaluation shall assess the progress of the different parts of Horizon 2020 against all of the following:

- the achievements (at the level of results and progress towards achieving an impact, based, where applicable, on the indicators outlined in Annex II of the specific programme) of the objectives of Horizon 2020 and continued relevance of all related measures;
- the efficiency and use of resources, with particular attention to cross-cutting issues and other elements referred to in Article 14(1); and
- Union added value.



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Interim Evaluation

- H2020
- Specific Programmes, incl. ERC
- EIT

Performance Indicators Annex II

ANNEX II

PERFORMANCE INDICATORS

The following table specifies a number of key indicators for assessing the results and impacts of the specific objectives of Horizon 2020. These key indicators may be refined during the implementation of Horizon 2020.

1. PART I. PRIORITY 'EXCELLENT' SCIENCE'

Indicators for the specific objectives:

- European Research Council (ERC)
 - Share of publications from ERC-funded projects which are among the top 1 % highly cited per field of science
- Future and Emerging Technologies (FET)
 - Publications in peer-reviewed high impact journals
 - Patent applications and patents awarded in Future and Emerging Technologies
- Marie Skłodowska-Curie actions
 - Cross-sector and cross-country circulation of researchers, including PhD candidates

http://ec.europa.eu/research/participants/data/ref/h2020/legal_basis/sp/h2020-sp_en.pdf

Marco – Legal

Interim Evaluation

- H2020
- Specific
Programmes, incl.
ERC
- EIT

Art 14.1 Annex III Monitoring

The Commission will monitor the implementation of Horizon 2020 and in particular the following:

1. Contribution to the realisation of the ERA
2. Widening participation
3. SMEs' participation
4. Social sciences and humanities
5. Science and society
6. Gender
7. International cooperation
8. Sustainable development and climate change, including information on climate change related expenditure
9. Bridging from discovery to market application
10. Digital Agenda
11. Private sector participation
12. Funding for public-private and public-public partnerships
13. Communication and dissemination
14. Participation patterns of independent experts




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Framework – Legal



Funding Model
of Horizon
2020

As part of the interim evaluation, the **funding model of Horizon 2020** shall be thoroughly assessed against, inter alia, the following indicators:

- the participation of **participants** that have at their disposal **high-end research infrastructures** or have a history of using full-costing in the Seventh Framework Programme;
- the **simplification for participants** that have at their disposal **high-end research infrastructures** or have a history of using full-costing in the Seventh Framework Programme;
- the acceptance of the **usual accounting practices of beneficiaries**;
- extent of use of the **additional remuneration** to personnel as referred to in Article 27 of Regulation (EU) No 1290/2013.



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Framework – Legal

Synergies



**Dissemination
and exploitation**

Simplification



**Participation of
SMEs**



Gender

**Long-term
impact of
previous FPs**

The interim evaluation shall take into consideration aspects relating to the dissemination and exploitation of research results.

The interim evaluation shall also take into consideration the scope for further simplification and aspects relating to access to funding opportunities for participants in all regions and for the private sector, notably SMEs, as well as the scope for promoting gender balance. It shall additionally take into account the contribution of the measures to the objectives of the Europe 2020 strategy, results as regards the long-term impact of the predecessor measures, and the degree of synergy and interaction with other Union funding programmes, including the ESI Funds.

*Access to funding
opportunities*



**Widening
participation**

**Contribution to
Europe 2020**

Framework – Legal

In-depth assessment of FTI

As part of the interim evaluation, FTI shall be subject to an in-depth assessment which shall include an assessment of inter alia its contribution to innovation, industry participation, participation of new applicants, operational effectiveness and financing, and leverage of private investment. Further implementation of the FTI shall be determined on the basis of the evaluation results, and may be adjusted or expanded accordingly.

Evaluation of JTIs

As part of the interim evaluation both existing and new public-private partnerships, including the JTIs, shall be subject to an in-depth assessment, which shall include, inter alia, analysis of their openness, transparency and effectiveness. That assessment shall take into consideration the evaluation of the EIT as provided for in Article 16 of Regulation (EC) No 294/2008 so as to allow for an assessment based on common principles.



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Information on JPIs



Evaluation of
Art. 185

The interim evaluation shall also take into consideration, where appropriate, information on coordination with research and innovation activities carried out by Member States, including in areas where there are **Joint Programming Initiatives**.

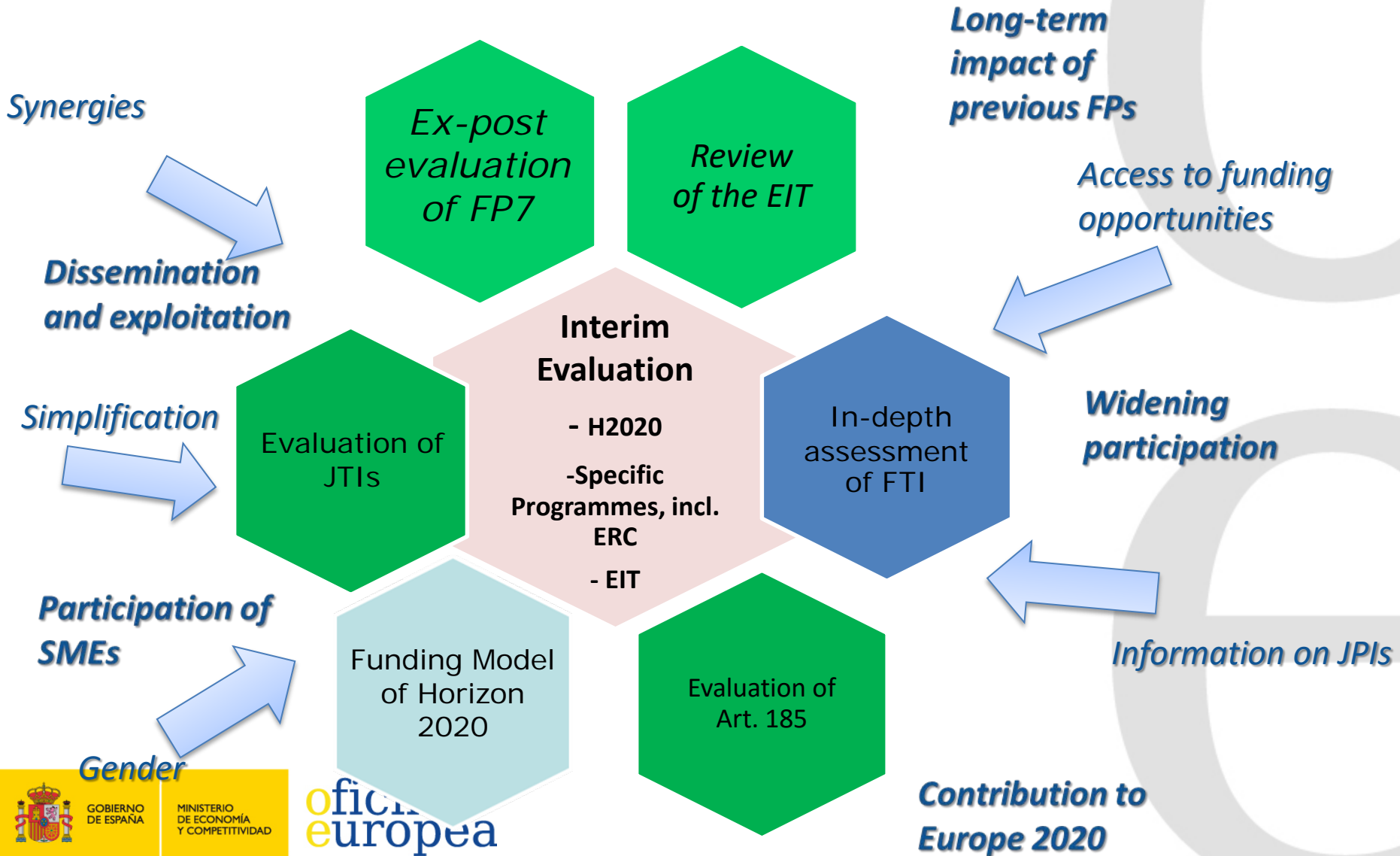


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Framework – Legal



Framework – Methodology

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Better Regulation

European
Commission

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- ▶ **[Guidelines](#)**
 - [Better Regulation Guidelines](#)
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Better Regulation "Toolbox"

- ▶ **I. GENERAL PRINCIPLES OF BETTER REGULATION**
 - ▶ [Tool #1: Principles of Better Regulation](#)
 - ▶ [Tool #2: Evidence Based Better Regulation](#)
 - ▶ [Tool #3: Legal basis, Subsidiarity and Proportionality](#)
- ▶ **II. HOW TO CARRY OUT AN IMPACT ASSESSMENT**
- ▶ **III. HOW TO IDENTIFY IMPACTS IN IMPACT ASSESSMENTS, EVALUATIONS AND FITNESS CHECKS**
- ▶ **IV. IMPLEMENTATION, TRANSPOSITION & PREPARING PROPOSALS**
- ▶ **V. MONITORING THE APPLICATION OF AN INTERVENTION**
- ▶ **VI. EVALUATIONS AND FITNESS CHECKS**
- ▶ **VII. STAKEHOLDER CONSULTATION**
- ▶ **VIII. METHODS, MODELS AND COSTS AND BENEFITS**

[Better Regulation "Toolbox"](#)

Stakeholders

- Better Regulation and type of stakeholder

http://ec.europa.eu/smart-regulation/guidelines/tool_50_en.htm

Stakeholders categories (non-exhaustive list):

Citizen/individual

Industry, business or workers' organisations

Multi-national/global
National
Small and Medium-sized Enterprises
Business organisation
Trade Union
Chamber of commerce

EU platform, network, or association

Representing for-profit interests
Representing not-for-profit interests
Representing professions/crafts

Organisation or association

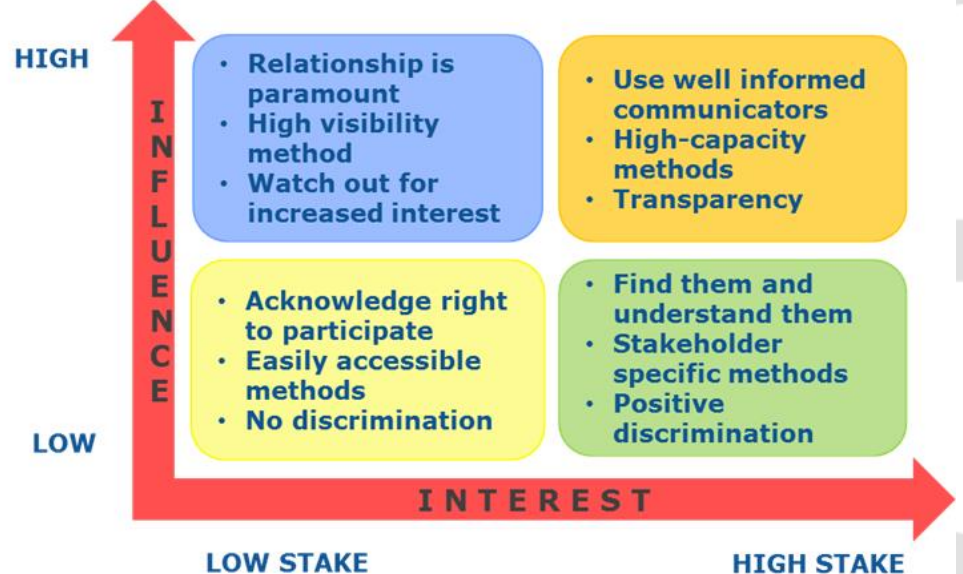
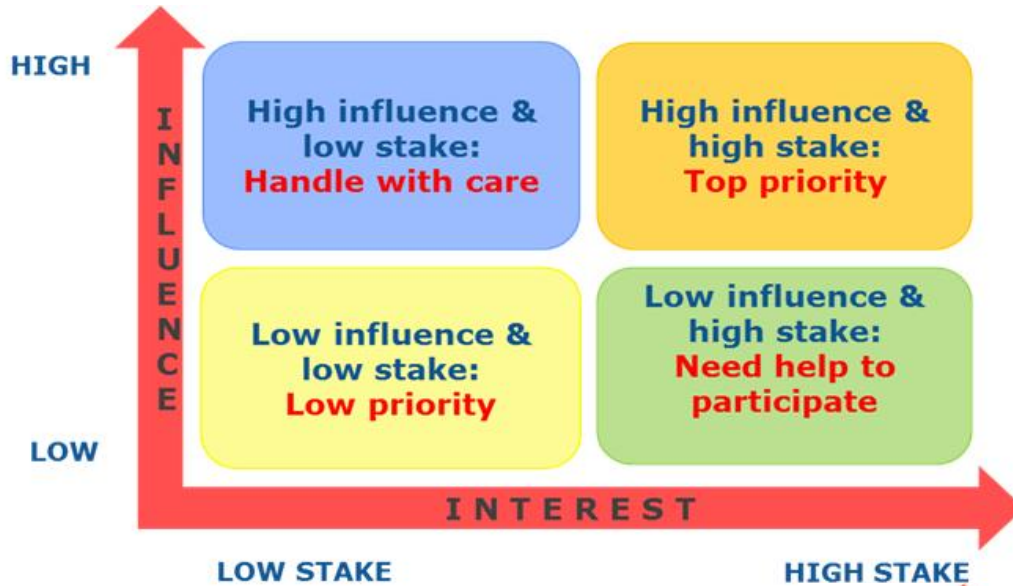
National organisation representing for-profit interests
National organisation representing not-for-profit interests
National organisation representing professions/crafts
International/ Inter-governmental organisation

Public authority

EU institution
National government
National Parliament
Regional/ local/municipal authority
National competent authorities or Agencies.

Stakeholders

- Type of consultation in function of stakeholders category



Interim evaluation - package

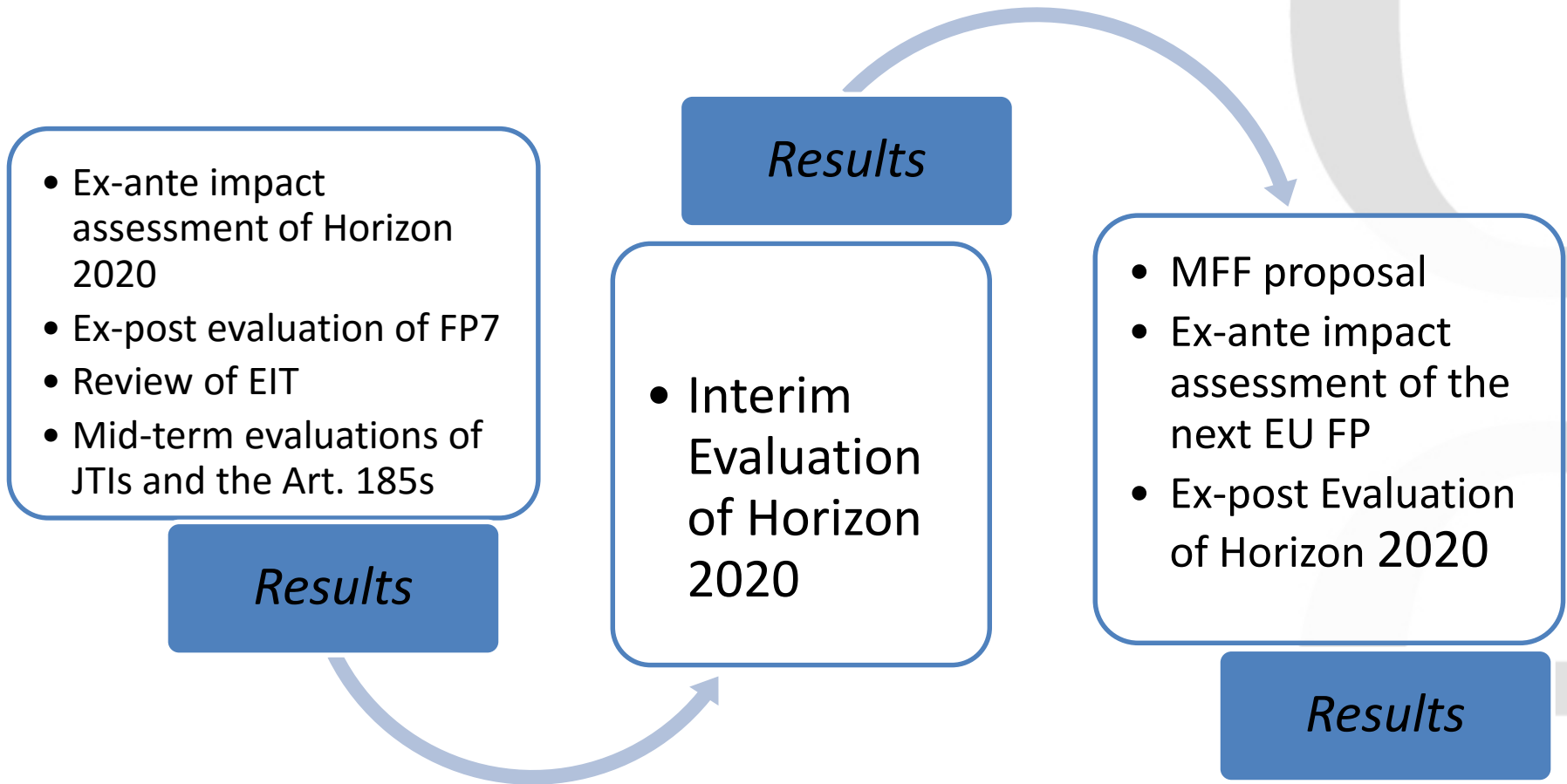
- **Commission Communication**

- Overall conclusions on the evaluation results
- State of implementation of the FP7 ex-post HLEG recommendations
- Commission's response to the HLG recommendations on interim evaluation

- **Staff Working Document**

- Presents the evaluation results based on legal base requirements and 5 mandatory evaluation criteria of the Better Regulation guidelines

Stronger links between Ex-ante impact assessment and Evaluation



Interim Evaluation - Timeline- Milestones

June 2015: publication of the Evaluation Roadmap – stakeholder feedback

2016 : Launch of input studies/expert groups

First half of 2016: Vote in PC on ToR HLG on the interim evaluation

Fourth quarter 2016: Online public stakeholder consultation (3 months)

Mid 2017: Final report of the HLG group on the interim evaluation

Second half of 2017: Adoption of Commission Communication and Staff Working Document on the interim evaluation



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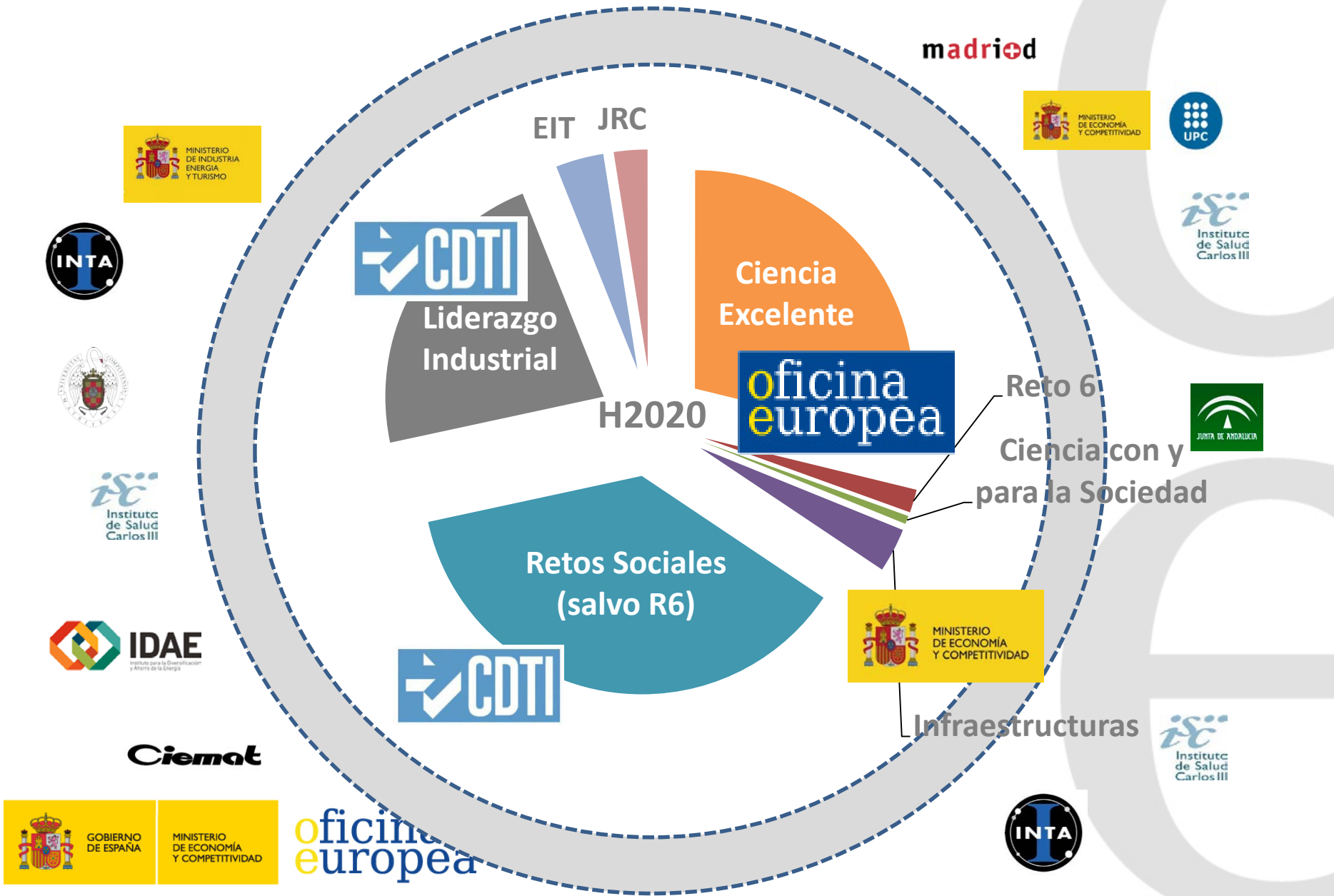
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3. Estructura de apoyo H2020



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Estructuras de apoyo

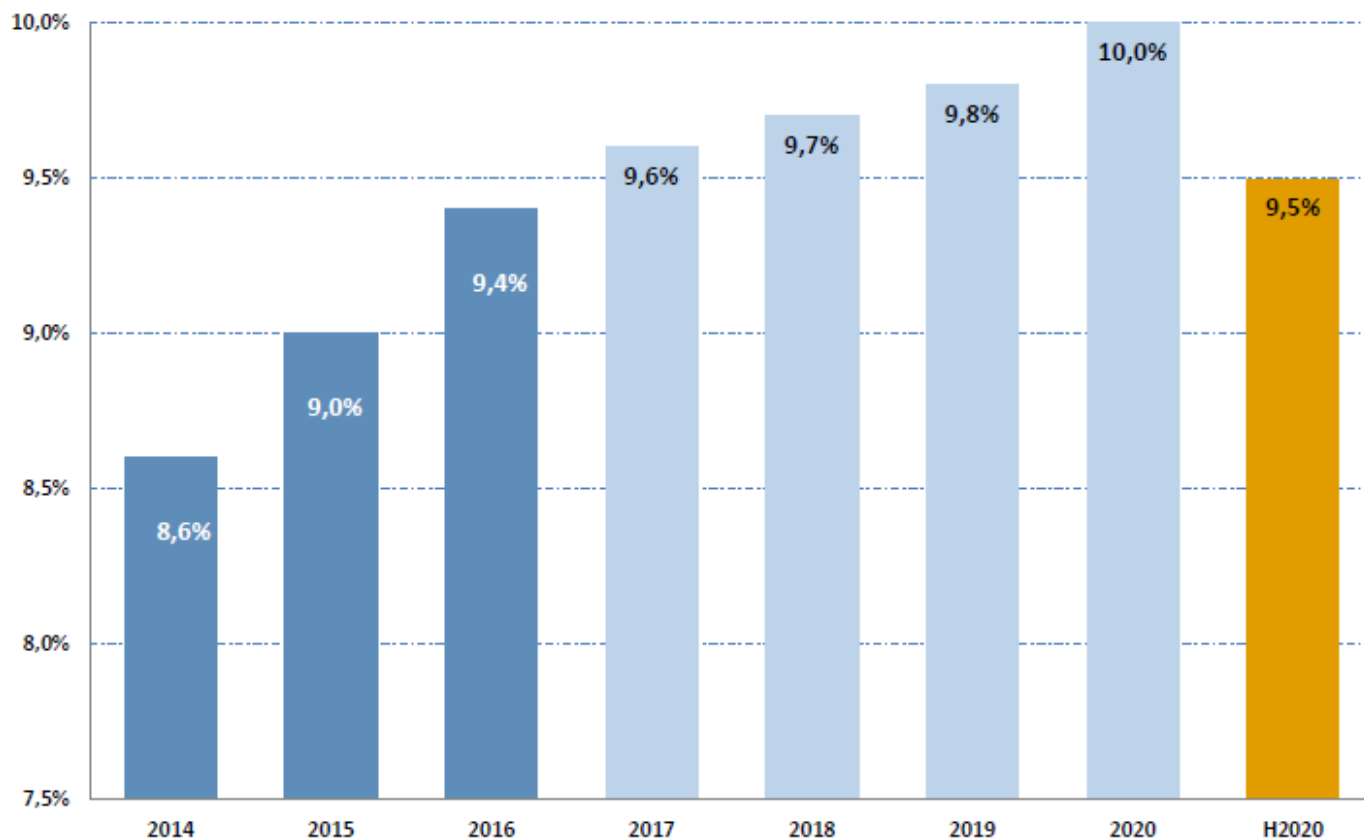


Función de Oficina Europea en H2020

- Representación de la Administración General del Estado en comités UE
- Orientación de propuestas
- Promoción y análisis
- Capacitación para Oficinas de Proyectos en cursos de especialización
- Formación
- Apoyo estratégico (instituciones y CCAA)

... y en general actividades de **valor añadido** a todas las entidades españolas (Universidades, Centros Tecnológicos, Empresas, AAPP, usuarios, etc...) participantes en Horizonte 2020.

Objetivos de retorno H2020



Muchas gracias.

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