"Stakeholder workshop shaping how Horizon Europe is implemented"

Brussels 30 January 2019

Stream I: "Capturing data and knowledge for efficient dissemination and exploitation and tracking impact pathways"

Project reporting has always been an essential part of the lifecycle of Framework Programme grants. Reporting contributes to optimal programme implementation and allows ensuring the compliance of projects with their technical and financial obligations according to the grant agreement. The reporting feeds all data collection that takes place in the Framework Programme and serves several purposes: monitoring and reporting on programme implementation, dissemination and exploitation of its results, and evaluating the programme's progress towards impacts.

Under Horizon 2020 the data collected from beneficiaries through periodic or continuous reporting provides input concerning publications, deliverables, progress towards milestones reached, follow-up of risks, and the Horizon 2020 indicators. The overall reporting on dissemination and exploitation of R&I project results at programme level solely depends on the reporting by beneficiaries. The Key Performance Indicators of the Framework Programme rely equally on this data collection – with different requirements across programme parts -, with direct effects on the way we are able to measure and demonstrate the impact of the programme.

The existing reporting approach largely depends on manual input by beneficiaries. Experience shows that despite significant effort by the beneficiaries the quality of the data collected is not optimal. In view of our commitment to improve the data collection process, we would like to optimise the reporting for Horizon Europe. The Commission would like to achieve a good balance between the reporting burden and the need for data that allow for adequate monitoring, exploitation of results, and evaluation of the programme's progress towards impacts.

With this in mind, we would like to discuss which data will be collected, and how to optimise data collection processes under the future Horizon Europe.

<u>**Dissemination & Exploitation**</u>

The dissemination and exploitation of projects' results are key to ensure the success and the potential impact of the Framework Programme and are therefore a prominent theme in the Horizon Europe legal basis. Under Horizon 2020 a strategy for the dissemination and exploitation of research results was introduced, with the objective of increasing the availability and diffusion of the Programme's research, knowledge and innovation results, to accelerate exploitation and market uptake and contribute to boosting the impact of the

Programme. The action plan of the strategy paves the way for Horizon Europe by piloting activities already under Horizon 2020. The activities cover both the Framework Programme level and the level of individual projects.
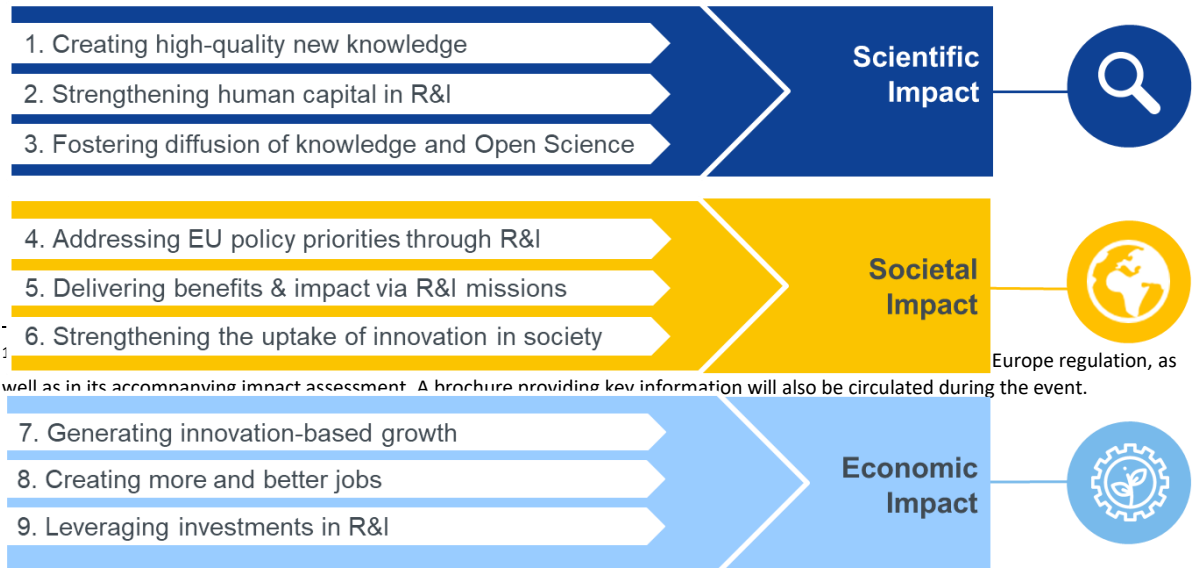
At the level of individual projects, dissemination and exploitation remains a key activity during their lifetime and after the projects have ended. Therefore, activities to boost dissemination and exploitation will be continued, and new ones will be introduced in line with the Commission proposal for Horizon Europe, such as the introduction of the Horizon results platform, a tool for beneficiaries to advertise and find interested parties to exploit their results.

At the level of the Framework Programme, flagship activities will continue such as the Horizon 2020 Dashboard, which visualises in an aggregated manner all Programme data, and a series of pilots will be introduced that increase the quality and completeness of the collected data. Particular focus will be given to the clustering of projects results around specific needs, themes or challenges that will be made available to support policy development and/or potential uptake.

Key Impact Pathways under Horizon Europe

Demonstrating and communicating the diversity of impacts and the European added value of research and innovation investments is crucial for the purpose of accountability, advocacy and learning. With a new level of ambition to boost the diversity of impacts of EU research and innovation funding, the Commission's proposal for Horizon Europe includes a new approach for capturing and communicating impacts – along Key Impact Pathways. The objective is to allow policy makers, researchers and the wider public to get regular insights regarding the effects and benefits from the Programme over time for European science, economy and the wider society.

In line with the Programme objectives the Key Impact Pathways will allow to capture and communicate the difference the Programme is making around nine key story lines (during and after the Programme). They focus on the most typical changes that are expected to occur on a short, medium and longer term as a result of the Programme activities. Each Pathway consists of a storyline, a time-sensitive indicator and data needs[1].

1. Creating high-quality new knowledge
2. Strengthening human capital in R&I
3. Fostering diffusion of knowledge and Open Science

Scientific Impact

4. Addressing EU policy priorities through R&I
5. Delivering benefits & impact via R&I missions
6. Strengthening the uptake of innovation in society

Societal Impact

Europe regulation, as well as in its accompanying impact assessment. A brochure providing key information will also be circulated during the event.

7. Generating innovation-based growth
8. Creating more and better jobs
9. Leveraging investments in R&I

Economic Impact

For simplification and reliability purposes the data collection methods behind the proposed indicators aim to use reporting from beneficiaries as the last resort and to rely more on microdata gathering (e.g. on individual researchers and companies) and improved linking to external databases. This can be based on the collection of persistent unique identifiers on researchers and companies, allowing to follow - for instance - the career paths of individual researchers and their cooperation patterns (e.g. discipline, affiliation, country), the growth of participating companies or the diffusion of knowledge through publications, patents in key areas of relevance for society.

Questions to be discussed

1. The data collected in Horizon 2020 provide a partial view on the dissemination & exploitation (D&E) activities of the projects. It is not always clear to beneficiaries which information is requested. As a result, there is limited knowledge on project results at portfolio/programme level. The Commission would like to modify the reporting requirements on D&E activities. For example, changes could be considered for the provision of more structured data on the nature/objectives of the outputs generated; on possible avenues for exploitation; on expected barriers/drivers for future exploitation (e.g regulatory framework, availability of financing, availability of commercial partners, consumer acceptance, etc.). What are your views?

2. The Horizon Europe proposal emphasises the need for beneficiaries to further develop their D&E plan during and after the project. The Commission would like to introduce a D&E part of the reporting that continues after the end of the project. How can we best implement this?

3. One additional element introduced by Horizon Europe legislative proposal is the obligation of the beneficiaries, in case that exploitation is not taking place, to make their results known through any suitable web platform to facilitate third party exploitation. To support beneficiaries in this respect, the Commission will pilot the Horizon results platform as a place where results can be presented to potential users. How can this novel platform work in the best way?

4. For Horizon Europe the Commission proposes to rely more on the collection of unique persistent identifiers of individual researchers and companies and improved harvesting of existing databases (e.g. publications, patents, and related information on disciplines, technologies, sectors, product classes, etc.). The objective is to support a better monitoring of the effects that can be attributed to the programme over time (e.g. through comparing to control groups) as regards its scientific, economic and societal impact, while improving data reliability and minimising the reporting burden on beneficiaries. We would like to know the stakeholders views on the use of unique identifiers and how they believe such a system would best be implemented.