



EN

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 (topics, dates, budget) have, with this revised version, been updated. The changes relating to this revised part are explained on the Participant Portal.

(European Commission Decision C(2017)2468 of 24 April 2017)



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Introduction

Activities to disseminate and exploit results from research and innovation projects, and to evaluate the performance of EU funding as well as carry out communication activities, 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 assistance¹ 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. Other actions 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.

The European Commission will also implement information and communication actions for Horizon 2020 which will include communication measures concerning supported projects and results. The communication efforts will also contribute to covering the overall corporate communication of the European Union's political priorities as far as they are related to the general objective of Horizon 2020.

¹ 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 States² 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 users³. This support ensures easy access to research output and underpins policy development.

² Through appropriate fora such as the NCPs.

³ 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).

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 dissemination and exploitation of research results for policy making, as well as measuring the impacts our funding has, is gaining ground in Horizon 2020. The Commission services will thus implement additional measures to allow tracking the research results after the completion of the projects in order to have a more comprehensive view of what the research funded under the Framework Programmes has achieved, including long-term impacts on society.

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.

The communication efforts will also contribute to covering the overall corporate communication of the European Union's political priorities as far as they are related to the general objective of Horizon 2020.

Other actions⁴

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*"⁵ (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. Tracking of research results

The monitoring system for tracking the results of the EU funded research and innovation projects, after the projects have ended, needs to be further developed. Many of the dissemination and exploitation activities, as well as impacts on society, occur after the projects have finished. To gain a more comprehensive understanding of what the research results have achieved, the Commission will launch a tendering procedure to select a contractor who would provide this kind of service. The contract is for four years with a maximum budget of EUR 4 Million.

Type of Action: Public Procurement - Framework Service Contract - 1 specific contract on 2017 work programme

Indicative timetable: 2nd semester 2017

⁴

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

Indicative budget: EUR 1.05 million from the 2017 budget (additional EUR 500.000 will be implemented under this Framework Service Contract from budget line 08.020301 concerning the 2017 WP part 8 - other action number 6)

3. Support for dissemination of research results

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.

This activity under Work Programme 2016-2017⁶ can possibly be extended under further work programmes.

This action will be implemented through a framework service contract for a duration of 2 years for a total budget of EUR 700.000.

Type of Action: Public Procurement - Framework Service Contract - 3 to 8 specific contracts in 2017

Indicative timetable: 2nd semester of 2016

Indicative budget: EUR 0.70 million from the 2016 budget

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

This activity aims at supporting the needs of the services in the R&I Family to have modern information and analytical technologies and services available for analysing their project portfolios beyond the basic project information. The actions of this activity will be implemented through a framework service contract for a duration of 2 years for a total budget of approx. EUR 500.000. The indicative timetable for the launch of the procedure is the second semester of 2017.

Type of Action: Public Procurement - Framework Service Contract - multiple specific contracts

Indicative timetable: 2nd semester of 2017

Indicative budget: EUR 0.50 million from the 2017 budget

⁶ 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.

5. Evaluation methodologies for the interim and ex-post evaluations of Horizon 2020

As provided for in Article 32 of the Regulation (EU) ⁷, 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 social impacts of Horizon 2020 as well as of previous Framework Programmes 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 social impacts of the programme as well as of previous Framework Programmes and to assess the synergies with other EU initiatives and policies. This may contribute to 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 and apply new evaluation methodologies to (i) assess to what extent the specific objectives of the Horizon 2020 societal challenges are still relevant and the contribution of Horizon 2020 to the Europe 2020 Strategy; (ii) to carry out portfolio analysis to assess social impacts from previous Framework Programmes (since the 4th Framework Programme) as well as from Horizon 2020 and their contribution to tackle challenges for society; and (iii) to identify success stories with the highest social impacts. The work of this group may contribute to 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 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.

⁷ http://ec.europa.eu/research/participants/data/ref/h2020/legal_basis/fp/h2020-eu-establact_en.pdf

Type of Action: Expert Contracts

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

Indicative budget: EUR 0.70 million from the 2016 budget

6. 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 and 2017 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 and EUR 60.23 million from the 2017 budget

7. High Level Expert Group on the interim evaluation of Horizon 2020

As provided for in Article 32 of the Regulation (EU), 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.

The High Level Group will support the European Commission with the evaluation of the available evidence feeding into the interim evaluation of Horizon 2020 and will define recommendations to the Commission for the future.

The Group is required to prepare a report based on available and relevant evidence and identify key achievements and potential areas for improvement feeding into their conclusions and recommendations for the future.

The composition of the group will reflect the need of such a High Level Group. The members will be selected on the basis of objective and transparent criteria. A special allowance of EUR 450/day will be paid to the members 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 budget: EUR 0.26 million from the 2016 budget

7.1. Grant to identified beneficiary to support the Chair of the High Level Expert Group on the interim evaluation of Horizon 2020 *

Analytical and administrative support will be provided to the Chair of the High Level Expert Group on the interim evaluation of Horizon 2020 in the context of drawing strategic

conclusions on maximising the impact of EU research and innovation programmes. This support will be provided in line with the provisions of Commission Decision C(2016)5871, Article 6. For this purpose the European Commission will provide a grant to an identified beneficiary.

*According to Art. 190 (1)(c) of the Rules of application of Regulation (EU, Euratom) No 966/2012

Legal entities:

Jacques Delors Institute, 19 Rue de Milan, 75009 Paris, France

Type of Action: Grant to identified beneficiary - Coordination and support actions

The standard evaluation criteria, thresholds, weighting for award criteria and the maximum rate of co-financing for this type of action are provided in General Annexes D and H of the work programme.

Indicative budget: EUR 0.04 million from the 2016 budget

8. Support for Impact Assessments, Evaluations and Strategic Analyses of Research and Innovation policies and programmes

In line with the Better Regulation Package and in order to support the Commission services with ex-ante and ex-post evaluations and relevant strategic analyses in research and innovation supporting the development of new and the implementation of existing policy initiatives/instruments/programmes, one procedure for a multiple framework contract for services will be launched in the second quarter of 2017 for a possible maximum amount of EUR 30 million through specific contracts over the whole duration of the framework contract (four years).

Type of Action: Public Procurement - New multiple framework contract

9. 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 at macro-sectoral level the economic and environmental impact of EU research and innovation (R&I) programmes. The objectives would be to quantify possible impacts of different policy options for the future Multiannual Financial Framework and for next Framework Programme(s).

The results of this tender will feed into the discussions of the Multiannual Financial Framework. This will also contribute to the preparation of the Impact Assessment of the next Framework Programme

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

Subject matter of the contract: Studies on Support for Assessments of Impacts of Research and Innovation Programmes

Type of Action: Public Procurement - One direct service contract and one service contract under an existing framework contract

Indicative timetable: First quarter 2016 and second quarter 2016

Indicative budget: EUR 0.50 million from the 2016 budget (EUR 0.30 million and EUR 0.20 million)

10. Support to Research and Innovation policymaking – Impact assessment and programme evaluation

In line with the priorities of the Commissioner for Research, Science and Innovation as well as the Better Regulation Guidelines, short and targeted studies need to be carried out to assess the innovation impact of specific policy options and evaluate particular aspects of the framework programme. Subject matter of the contracts envisaged: support studies applying the Research & Innovation tool of the Impact Assessment guidelines in concrete cases as well as targeted studies on different aspects of the coherence, efficiency, effectiveness, relevance and EU added value of policy initiatives and of elements of the framework programme.

Type of Action: Public Procurement - up to 20 contracts, either through an existing framework contract or direct service contracts

Indicative timetable: Second, third and fourth quarter of 2017

Indicative budget: EUR 0.30 million from the 2017 budget

11. Corporate Communication

As provided in Article 28 of the basic act⁸, Horizon 2020 will contribute to covering the corporate communication of the Union's political priorities as defined by the Commission in the Communication "Corporate Communication under the Multiannual Financial Framework 2014-2020"⁹.

⁸ [Regulation of the European Parliament and of the Council establishing Horizon 2020 – The Framework programme for Research and Innovation \(2014-2020\)](#)

⁹ SEC(2013) 486 of 23.09.2013

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

This action follows on from the first Communication on corporate communication under the MFF 2014-2020 adopted in September 2013, using the "corporate/institutional communication clause" in the legal bases of the new generation of MFF programmes¹⁰.

In 2016 and 2017, corporate communication will continue to address the EU contribution to growth and jobs. It will focus on the priority "A New Boost for Jobs, Growth and Investment" and the related policy areas. In particular, it will communicate on the Investment Plan for Europe and other initiatives for growth and jobs, including the contribution from regional and cohesion policies.¹¹

The contribution of Horizon 2020 to corporate communication was EUR 2.2 million in 2016 and in 2017 it will be EUR 2 million.¹²

The main results expected are a better understanding of the Commission activities on Jobs and Growth, an increased awareness by stakeholders and the general public of the opportunities offered by EU initiatives, and ultimately enhanced image recognition of the added value of EU funded actions measured in terms of positive trends in public perception. The support of Horizon 2020 to corporate communication will ensure that a broader general public will be reached by top level messages that reflect the concrete successes of Horizon 2020 actions.

The actions will be implemented by DG Communication.

Type of Action: Public Procurement - Direct service contracts and specific contracts under existing framework contracts. Four specific contracts under existing framework contracts and one direct service contract are expected to be signed (2016 and 2017)

Indicative timetable: First and second semester of 2016 and 2017

Indicative budget: EUR 2.20 million from the 2016 budget and EUR 2.00 million from the 2017 budget

¹⁰ COM(2011)500: "A Budget for Europe 2020" Part II, page 7

¹¹ C(2015)7346 final of 27.10.2015

¹² These amounts constitute the full contribution for 2016 and 2017 from the work programmes based on Horizon 2020 and Euratom legal acts.

Budget¹³

	Budget line(s)	2016 Budget (EUR million)	2017 Budget (EUR million)
Calls			
Other actions			
CORDIS services		5.00	5.45
	<i>from 08.020500</i>	<i>5.00</i>	<i>5.45</i>
Expert Contracts		55.62	60.23
	<i>from 08.020500</i>	<i>55.62</i>	<i>60.23</i>
Public Procurement		3.40	3.85
	<i>from 08.020500</i>	<i>3.40</i>	<i>3.85</i>
Grant to Identified beneficiary		0.04	
	<i>from 08.020500</i>	<i>0.04</i>	
Estimated total budget		64.06	69.53

¹³ The budget figures given in this table are rounded to two decimal places.