

EVALUATION AND FITNESS CHECK (FC) ROADMAP			
TITLE OF THE EVALUATION/FC	Interim evaluation of Horizon 2020 (This is a revision to an already adopted roadmap in order to comply with the Better Regulation Guidelines)		
LEAD DG RESPONSIBLE UNIT	RTD.A5	DATE OF THIS ROADMAP	10/05/2016
TYPE OF EVALUATION	Evaluation	PLANNED START DATE	Q3 / 2016
	Interim	PLANNED COMPLETION DATE	Q4 / 2017
	Mixed	PLANNING CALENDAR	http://ec.europa.eu/smart-regulation/evaluation/index_en.htm
This indicative roadmap is provided for information purposes only and is subject to change.			

A. Purpose
(A.1) Purpose
<p>The interim evaluation of Horizon 2020 is a mandatory requirement from the Regulation (EU) No 1291/2013 establishing Horizon 2020. The purpose of the evaluation is clearly defined in the legal base. It aims to provide an assessment of the Horizon 2020 Programme at mid-term of its implementation. The interim evaluation will contribute to improving the implementation of Horizon 2020 and will provide a solid evidence base for designing future activities and initiatives. In fact, the results will be used to prepare for the ex-ante impact assessment of the future Framework Programme for Research (starting in 2017).</p> <p>The interim evaluation is an important instrument for informing the European Parliament and the Council, Member States, the research community and other stakeholders, notably businesses, 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, as well as the EU added value of the intervention. The interim evaluation will also examine the wider socio-economic impacts of the programme, notably its progress towards contributing to the EU policy objectives.</p> <p>The interim evaluation will consist of a Commission Communication responding to a report of independent experts, assisting the Commission with carrying out this evaluation, as well as an accompanying Commission Staff Working Document.</p>
(A.2) Justification
<p>The Regulation¹ establishing Horizon 2020 stipulates that: "By 31 December 2017, and taking into account the ex-post evaluation of the Seventh Framework Programme to be completed by 31 December 2015 and the review of the EIT, the Commission shall carry out, with the assistance of independent experts, selected on the basis of a transparent process, an interim evaluation of Horizon 2020, its specific programme, including the European Research Council (ERC), and the activities of the EIT".</p>

¹ Article 32(3) of the Regulation (EU) No 1291/2013 of the European Parliament and of the Council of 11 December 2013 establishing Horizon 2020.

B. Content and subject of the evaluation

(B.1) Subject area

The interim evaluation of Horizon 2020 will cover all the specific objectives and initiatives launched under Horizon 2020, its specific programme, including the European Research Council (ERC), and the activities of the EIT. It will cover the first half period of Horizon 2020 implementation (2014 - 2016 included).

Furthermore, the interim evaluation of Horizon 2020 will provide an opportunity to report on the wider impacts of the previous EU Framework Programmes, with a longer-term perspective.

(B.2) Original objectives of the intervention

The Framework Programmes are the EU's main instruments for the funding of research and innovation in Europe. Based on the Treaty establishing the EU, the Framework Programmes serve two main strategic objectives: strengthening the scientific and technological bases of industry and encouraging its international competitiveness while promoting research activities in support of other EU policies.

Horizon 2020 aims to contribute to building a society and an economy based on knowledge and innovation across the Union by leveraging additional research, development and innovation funding and by contributing to attaining research and development targets, including the target of 3% of GDP for research and development across the Union by 2020. Horizon 2020 supports the implementation of the Europe 2020 strategy and other Union policies, as well as the achievement and functioning of the European Research Area (ERA).

(B.3) How the objectives were to be achieved

Horizon 2020 is the largest cross-border research programme in the world, and couples research and innovation with an emphasis on excellent science, industrial leadership and tackling societal challenges.

Furthermore, the interim evaluation of Horizon 2020 will take into account the impacts on Horizon 2020 of the EFSI Regulation and the contribution of Horizon 2020 to the EFSI instrument. It will also include a convincing narrative on the contribution of Horizon 2020 to the Commission priorities.

C. Scope of the evaluation/FC

(C.1) Topics covered

The objectives, scope and topics of the interim evaluation of Horizon 2020 are stated in Article 32(3) of the Regulation (EU) No 1291/2013:

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

- (a) 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;
- (b) the efficiency and use of resources, with particular attention to cross-cutting issues and other elements referred to in Article 14(1); and
- (c) Union added value".

Article 32(3) also mentions specific activities and initiatives of Horizon 2020 which will be subject to an in-depth assessment and will be part of the interim evaluation. This includes (i) both existing and new public- private partnerships, including the JTIs, (ii) the Fast Track to Innovation (FTI) and (iii) the funding model of Horizon 2020.

Furthermore, as stated in the legal text, the interim evaluation will "take into consideration" aspects relating to (i) the dissemination and exploitation of research results; (ii) 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; (iii) the contribution of the measures to the objectives of the Europe 2020 strategy; (iv) results as regards the long-term impact of the predecessor measures; (v) the degree of synergy and interaction with other Union funding programmes, including the ESI Funds; and (vi) where appropriate, information on coordination with research and innovation activities carried out by Member States, including in areas where there are Joint Programming Initiatives.

This roadmap covers the Article 187 and 185 interim and final evaluations, for which we will present two separate Staff Working Documents, one covering the evaluation results of all Article 187 evaluations and one covering the evaluations results of all Article 185 evaluations.

Apart from the above-mentioned topics, the interim evaluation of Horizon 2020 should also address the impacts on Horizon 2020 of the EFSI Regulation and should include a convincing narrative on the contribution of Horizon 2020 to the Commission priorities.

Furthermore, the interim evaluation of Horizon 2020 will provide an opportunity to report on the wider impacts of the previous Framework Programmes, with a longer-term perspective. It will notably integrate recent data on FP7 projects completed since the completion of the ex-post evaluation of FP7 (end of 2015).

(C.2) Issues to be examined

The interim evaluation of Horizon 2020 will address the issues identified by the co-legislator in the Regulation, as mentioned in this roadmap in sub-section C.1.

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

- (a) 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;
- (b) the efficiency and use of resources, with particular attention to cross-cutting issues and other elements referred to in Article 14(1); and
- (c) Union added value".

The interim evaluation of Horizon 2020 will contain an assessment of the relevance, effectiveness, efficiency, coherence and EU added value of the programme, as minimum evaluation criteria, and will answer the six evaluation questions identified in the new Evaluation Guidelines.

(C.3) Other tasks

n.a.

D. Evidence base

(D.1) Evidence from monitoring

Annual Horizon 2020 Monitoring Reports will feed into the interim evaluation of Horizon 2020.

(D.2) Previous evaluations and other reports

A comprehensive set of relevant studies encompassing evaluation, (monitoring) and impact assessments of Horizon 2020 and of previous FPs as well as Specific Programmes and contextual and methodological analysis carried out or commissioned by the Commission will feed into this interim evaluation. This set of evidence will include, in particular:

- Reports from Horizon 2020 thematic and horizontal evaluation studies and ad hoc analyses;
- Relevant policy documents and reviews, including the Framework Programmes, the spring reports to the European Council, annual reports on research activities, S/T indicators, benchmarking and mapping data;

<ul style="list-style-type: none"> - Statistical information on the implementation of the activities; - Statistical information on outputs (publications, IPR) - Bibliometric analysis of scientific production, analysis of citation data; - Selected scientific publications; - Report from the ex-ante impact assessment of Horizon 2020; - Report from the ex-post evaluation of the Seventh Framework Programme (FP7). - Reports from Article 185 interim and final evaluations; - Report from Article 185 metaevaluation; - Reports from Article 185 interim and final evaluations.
(D.3) Evidence from assessing the implementation and application of legislation (complaints, infringement procedures)
No information on infringements, compliance and complaints received is expected to be part of the evidence base for the interim evaluation of Horizon 2020. However, information about redress procedures can be provided through the Annual Horizon 2020 Monitoring Reports.
(D.4) Consultation
In line with the Better Regulation requirements, an online public stakeholder consultation on the Horizon 2020 interim evaluation will be launched in October 2016 and will run for 3 months. In addition, we will publish online stakeholder consultations on Article 185 and 187 evaluations.
(D.5) Further evidence to be gathered
<ul style="list-style-type: none"> - A novelty of the interim evaluation of Horizon 2020 is that a list of performance indicators has been established in the legal text to measure the progress against achieving the objectives. Most of the data to measure progress against these indicators will become available through the EC database SYGMA. - Evidence from national impact studies.

E. Other relevant information/ remarks
n.a.