Public stakeholder consultation - Interim evaluation of Horizon 2020

Fields marked with * are mandatory.

<u>Horizon 2020</u>, with a budget of €77bn from 2014 – 2020, is the biggest European Union research and innovation framework programme ever and one of the largest worldwide. Horizon 2020 promotes Europe's scientific and technological excellence to extend the frontiers of human knowledge, boosts the European Union's economic competitiveness and addresses societal challenges.

We invite everyone to take part in this public stakeholder consultation in the context of the interim evaluation of Horizon 2020, and to have a say on research and innovation activities run by the European Commission. The results of this consultation will feed into the report on the interim evaluation of Horizon 2020, will help us to improve the implementation of Horizon 2020 and will set the scene for the future discussions on the next EU research and innovation funding post-2020.

According to the legal act establishing Horizon 2020, the European Commission has to carry out an interim evaluation of the programme by 31 December 2017. Public stakeholder consultation is a very important part of this interim evaluation.

This Horizon 2020 questionnaire consists of six parts and it will take around 20 minutes to respond.

At the end of the questionnaire there is an opportunity to upload a position paper for the interim evaluation of Horizon 2020.

The questionnaire is focused on Horizon 2020 in general. There are/will be separate online consultations on the <u>Euratom Programme</u>, the European Institute of Innovation and Technology (<u>EIT</u>), and public-public and public-private partnerships (more information here).

I About You

Part I consists of questions about the respondent. We would like to know who our respondents are in order to better understand their perspective, expectations and needs in terms of research and innovation. It will also help us to tailor this survey to respondents' experiences with Horizon 2020.

*1. I am responding

- As an individual
- On behalf of a single institution/company
- On behalf of an "umbrella" organisation of EU interest

*1.1 What type of organisation do you represent?

- Academia
- Research organisation
- Business
- Public authority
- Non-Governmental Organisation
- Other

* Please specify

200 character(s) maximum

* 1.2 Are you an SME (Small and Medium Sized Enterprise)?

- Yes
- No

*1.3 Is your organisation included in the Transparency Register?

If your organisation is not registered, we invite you to register<u>here</u>, although it is not compulsory to be registered to reply to this consultation. <u>Why a transparency register</u>?

- Yes
- No

*If so, please indicate your Register ID number

*2. You are from

or if you answer on behalf of an organisation, country where it is established

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۲	Austria	۲	Belgium	\bigcirc	Bulgaria	\bigcirc	Croatia
۲	Cyprus	۲	Czech Republic	\bigcirc	Denmark	\bigcirc	Estonia
\bigcirc	Finland	۲	France	\bigcirc	Germany	\bigcirc	Greece
\bigcirc	Hungary	۲	Ireland	\bigcirc	Italy	\bigcirc	Latvia
\bigcirc	Lithuania	۲	Luxembourg	\bigcirc	Malta	\bigcirc	Netherlands
\bigcirc	Poland	۲	Portugal	\bigcirc	Romania	\bigcirc	Slovak Republic
۲	Slovenia	۲	Spain	\bigcirc	Sweden	\bigcirc	United Kingdom
۲	Albania	۲	Bosnia and	\bigcirc	Faroe	\bigcirc	Former Yugoslav Republic
			Herzegovina		Islands		of Macedonia
\bigcirc	Georgia	۲	Iceland	\bigcirc	Israel	\bigcirc	Moldova
۲	Monteneg	۲	Norway	\bigcirc	Serbia	\bigcirc	Switzerland
	ro						
0	Tunisia	0	Turkey	0	Ukraine	۲	Other

* Please specify

3. Information about the respondent

*First name

*Last name

* Email address

*Organisation (please reply N/A if responding as an individual citizen)

* 4. Your contribution

Note that, whatever option chosen, your answers may be subject to a request for public access to documents under <u>Regulation (EC)</u> N°1049/2001

- can be published with your personal information (I consent to the publication of all the information in my contribution in whole or in part including my name or my organisation's name, and I declare that nothing within my response is unlawful or would infringe the rights of any third party in a manner that would prevent publication)
- can be published provided that you remain anonymous (I consent to the publication of any information in my contribution in whole or in part (which may include quotes or opinions I express) provided that it is done anonymously. I declare that nothing within my response is unlawful or would infringe the rights of any third party in a manner that would prevent the publication.

*5. Have you received/are you receiving support from Horizon 2020?

- YES
- NO

5.1. What are the main reasons for not participating in Horizon 2020? Select maximum 3.

between 1 and 3 answered rows

	My choice
I'm not a researcher/innovator	0
Lack of awareness of the EU research and innovation framework programme Horizon 2020	0
Preference to participate in other European or international programmes	0
Preference to participate in other national or regional programmes	0
Horizon 2020 project implementation rules are cumbersome	0
Success rates in Horizon 2020 are too low to be worth applying	0
Difficulties to find project partners	0
Lack of a relevant area/topic for my needs	0
Lack of an adequate type of financial support needed for my work	۲
Concerns about sharing valuable knowledge with partners	۲
Limited financial/human resources to prepare a proposal	0
I tried, but my proposal wasn't selected	0
Other	0

* If "other" please specify

200 character(s) maximum

5.2. In which part of Horizon 2020 have you participated/are you participating? Choose relevant answers.

	Yes
European Research Council	
Future and Emerging Technologies	
Marie Skłodowska-Curie Actions	
European Research Infrastructures	
Leadership in Enabling and Industrial Technologies	
Access to Risk Finance	
Innovation in SMEs (including SME Instrument)	
Fast Track to Innovation pilot	
Health, demographic change and well-being	
Food security, sustainable agriculture and forestry, marine, maritime and inland water research, and the bioeconomy	
Secure, clean and efficient energy	
Smart, green and integrated transport	
Climate action, environment, resource efficiency and raw materials	
Europe in a changing world – Inclusive, innovative and reflective societies	
Secure societies – Protecting freedom and security of Europe and its citizens	
Spreading Excellence and Widening Participation	
Science with and for Society	
European Institute for Innovation and Technology	

5.3 What are the main reasons for participating in Horizon 2020?

200 character(s) maximum

* 6. Are you a newcomer* in Horizon 2020?

*Newcomer - a Horizon 2020 participant who was not involved in an FP7 grant agreement

- YES
- NO

* 7. Within Horizon 2020 projects, are you cooperating or did you cooperate with a new partner (s)*?

*New partner(s) – a partner(s) with whom you have never cooperated with before (within and outside the EU Framework Programmes for Research and Innovation)

- Yes
- No

* 7.1. Why did you look for a new partner(s)? Select one main reason.

- To access specific scientific expertise in the same discipline
- To include specific expertise from another discipline
- To involve potential users of the results
- To facilitate eventual commercial application
- To improve geographical coverage
- To add specific expertise for the integration of the gender dimension in research content
- Other

* If "other" please specify

200 character(s) maximum

II HORIZON 2020 - PRIORITIES AND OBJECTIVES

Part II is focused on priorities and objectives of Horizon 2020. We would like to know whether the activities under Horizon 2020 contribute to wider European Union policy priorities as well as to the programme's objectives. Horizon 2020 objectives are set up in the legal act establishing the Programme and they are reflected in its structure.

8. Do you think that Horizon 2020 is contributing to the following priorities of the European Union?

	Not at all	To some extent	To large extent	Fully	l don't know
*Supporting jobs, growth and investment	0	O	O	0	0
*Promoting an <u>Energy</u> <u>Union with a forward</u> <u>looking climate policy</u>	0	0	©	0	۲
*Fostering the role of the <u>European Union as</u> <u>a stronger global actor</u>	0	O	O	O	۲
*Helping to create <u>a</u> digital single market	0	0	O	O	0
*Achieving a deeper and fairer <u>internal</u> <u>market</u> with a strengthen industrial base	O	©	©	O	O

9. Do you think that Horizon 2020 is helping to:

	Not at all	To some extent	To large extent	Fully	l don't know
*Build a society and an economy based on knowledge and innovation.	0	0	0	0	0

*Implement the "Europe 2020" strategy, the EU's strategy for jobs and smart, sustainable and inclusive growth.		0	۲	۲	۲
*Develop and implementing EU policies.		0	0	0	0
*Support the development of the European Research Area, a unified area open to the world, in which scientific knowledge, technology and researchers circulate freely.	O	O	©	©	©
*Foster excellent science.	0	0	0	0	0
*Boost industrial leadership.	0	0	0	0	0
*Improve the lifelong health and well-being of all.		0	0	0	0
*Secure sufficient supplies of safe, healthy and high quality food and other bio-based products.	O	0	۲	۲	۲
*Make the transition to a reliable, affordable, publicly accepted, sustainable and competitive energy system.	O	0	۲	۲	۲
*Achieve a European transport system that is resource-efficient, climate- and environmentally-friendly, safe and seamless for the benefit of all citizens, the economy and society.	O	O	©	©	O

*Achieve a resource- and water-efficient and climate change resilient economy and society, protection and sustainable management of natural resources and ecosystems and a sustainable supply and use of raw materials.	۲	۲	۲	۲	٢
*Foster a greater understanding of Europe, providing solutions and supporting inclusive, innovative and reflective European societies.		O	©	©	©
*Foster secure European societies in a context of unprecedented transformations and growing global interdependencies and threats, while strengthening the European culture of freedom and justice.	O	0	۲	O	٢
*Spread excellence and widening participation.	0	O	0	0	O
*Support science with and for society.		0	0	0	O

III RELEVANCE AND IMPLEMENTATION OF HORIZON 2020

In **part III**, we would like to know whether Horizon 2020 priorities and forms of funding respond e.g. to current challenges as well as to the needs and expectations of stakeholders. Some questions in this part are addressed to participants in Horizon 2020 projects and focus on different aspects of Horizon 2020 implementation. Hands-on experience with project preparation and management will represent important feedback for us.

10. Do you think that:

	Not at all	To some extent	To large extent	Fully	l don't know
*Horizon 2020 priorities address the current challenges confronted by the European Union (e.g. migration, terrorism, ageing population)	۲	0	O	©	O
*Horizon 2020 priority areas and calls support the latest developments in research and innovation at the national /European and international level	۲	0	0	O	O
*Horizon 2020 is stimulating disruptive and market-creating innovation (a new process, product or service that upsets existing business models and serves new set of customers)	O	O	©	©	O
*Horizon 2020 addresses the main citizens' needs in terms of research and innovation	O	0	0	0	0
*Horizon 2020 thematic coverage is flexible enough to cope with changing circumstances	O	0	©	©	0

11. Are the forms of funding provided through Horizon 2020 relevant to your needs?

	Not at all	To some extent	To large extent	Fully	l don't know
*Grants for collaborative projects	O	O	0	0	O
*Grants for single beneficiary projects	O	O	O	O	O
*Financial instruments (e.g. loans, guarantees)	O	O	O	0	0
*Public procurement	0	O	0	0	O
*Prizes	O	0	0	0	O
*Co-fund (e.g. ERA-NET)	O	O	0	0	O

11.1 Please provide here any other comments (if any) on the relevance of Horizon 2020 priorities and forms of funding.

12. Please rate the following Horizon 2020 implementation aspects for:

Work Programme and calls

	Very poor	Poor	Good	Very good	l don't know
*Transparency in the process of formulating the Work Programme		O	O	O	0
*Clarity of the calls for proposals description		0		O	O
*Ease of finding the right call for my proposal		0	0	O	O
*Frequency of calls for proposals	O	O	O	0	0
*Inclusion of Social Sciences and Humanities in calls for proposals across Horizon 2020	O	0	O	©	0
*Balance between small and large indicative project sizes in the calls for proposals	O	0	O	0	0
*Communication activities on Horizon 2020 to attract applicants		0		0	0
*Frequency of use of 2-stage procedure in evaluating proposals	0	O	O	O	0

Proposal Evaluation

	Very poor	Poor	Good	Very good	l don't know
*Time taken to evaluate proposals	O	O	O	O	0
*Quality of the feedback from the evaluation	O	O	O	O	0
*Time taken to sign a grant agreement	0	0	0	۲	0

Grants

	Very poor	Poor	Good	Very good	l don't know
*Support provided by the EC services (including agencies) during grant preparation and implementation	©	©	©	©	O
*Acceptance of organisations' usual accounting practices	0	0	0	0	0
*Mechanisms for project monitoring and reporting	0	0	0	0	0
*Balance between control and trust of beneficiaries	0	0	0	0	0

13. Please provide here any further comments (if any) on the implementation of Horizon 2020.

14. <u>If your organization is established in a non-EU, non-associated country</u>, to what extent do you agree with the following statements:

	l strongly disagree	l disagree	l agree	l strongly agree	l don't know
Communication activities on Horizon 2020 in my country have helped me find out about the programme	O	O	©	©	0
It is easy to find calls which are relevant to my area	O	O	0	©	0
It is easy to find calls that encourage participation of non-EU, non-associated country partners	0	0	©	0	0

IV EFFICIENCY AND EU ADDED VALUE

Part IV takes a closer look at the costs and benefits of participation in Horizon 2020 as well as at the EU added value of Horizon 2020.

* 15. As a result of the simplification measures, the costs of participating in Horizon 2020 compared to the 7th Framework Programme are:

- Higher
- Similar
- Lower
- I don't know

* 16. The costs of participating in Horizon 2020 compared to those of other similar international research and innovation programmes are:

- Higher
- Similar
- Lower
- I don't know

* 17. How do you rate the overall added value of Horizon 2020 compared to national and/or regional level research and innovation programmes in EU Member States?

- Higher
- Similar
- Lower
- I don't know

18. What are the main expected benefits of participating in Horizon 2020 compared to national and/or regional research and innovation programmes in EU Member States?

between 1 and 5 answered rows

	My choice
More cooperation with partners from other countries	0
Improved excellence in research and innovation (e.g. more high impact publications and patents)	0
Improved international visibility	0
Strengthened critical mass to address pan-European challenges in a given area of research and innovation	0
More tests of technologies through pilot lines and demonstrator projects	0
Strengthened cooperation between academia and the private sector	0
Strengthened interdisciplinary cooperation	0
Projects financed (which otherwise could not be supported at national and/or regional level)	0
Research and innovation risk shared out	۲
Reimbursement of costs at a higher level than in national and/or regional research and innovation programmes	O

18.1 Please provide here any further comments (if any) on the EU added value of Horizon 2020

19. What would be the impact for you or your organisation if the EU support to research and innovation (Horizon 2020 and its possible successor) were to be discontinued?

500 character(s) maximum

V INTERNAL STRUCTURE OF HORIZON 2020 AND SYNERGY WITH OTHER EU PROGRAMMES

Horizon 2020 offers many funding opportunities and in **part V** we would like to collect information about the internal structure of Horizon 2020. We also look at other European Union funding programmes and their synergies and/or overlaps with Horizon 2020.

20. To what extent do you agree with the following statements regarding the internal structure of Horizon 2020?

	l strongly disagree	l disagree	l agree	l strongly agree	l don't know
*The different parts of Horizon 2020 complement each other	0	O	©	O	©
*Combining different forms of support for research and innovation under one single programme better addresses stakeholder needs than having separate programmes			©	O	0
*The increased use of calls for cross cutting activities and interdisciplinary work is a positive feature in the programme	0	0	0	0	0
*In general, there is more coherence and synergy between different parts of Horizon 2020 than in the 7th Framework Programme	0	0	0	0	0

21. The European Commission implements several funding programmes. How would you describe the linkages between Horizon 2020 and the following programmes?

	Work in synergy	Overlap	Work in synergy but some overlaps exist	Complement each other	l don't know
*European Structural and Investment Funds	O	O	O	0	0
*European Fund for Strategic Investments (EFSI)	0	O	0	0	0
*Programme for Competitiveness of Enterprises and small and medium-sized enterprises (COSME)	0	0	0	0	0
*Erasmus+	0		0	0	0
*The LIFE Programme	0	0	0	0	0
*Common Agricultural Policy (CAP)	0	O	0	0	0
*Connecting Europe Facility (CEF)	O	O	O	0	0

21.1 Please provide here any further comments (if any) on synergy, complementarity and/or overlaps within Horizon 2020 and with other funding programmes.

* 22. Overall are you so far satisfied with Horizon 2020?

- Very satisfied
- Satisfied
- Dissatisfied
- Very dissatisfied
- I don't know

VI FORWARD LOOKING QUESTIONS

Horizon 2020 will end in the year 2020 and we would like to have a first overview of relevant issues and feedback for a possible successor programme. The European Commission's goal is to maximize the socio-economic impact of the EU support to research and innovation, so we would like to hear from you what could be done to achieve this. **23.** Horizon 2020 mainstreams sustainable development as a cross-cutting issue for collaborative research and dedicates 60% of its budget to sustainable development. Research and innovation is an important driver for the implementation of the Sustainable Development Goals. The FP7 ex-post evaluation concluded that Horizon 2020 and its successors should focus on critical challenges and opportunities in the global context.

Please choose up to 5 <u>Sustainable Development Goals</u> on which, in your opinion, the future EU framework programmes for research and innovation should focus.

between 1 and 5 answered rows

	My choice
End poverty in all its forms everywhere	0
End hunger, achieve food security and improved nutrition and promote sustainable agriculture	0
Ensure healthy lives and promote well-being for all at all ages	0
Ensure inclusive and quality education for all and promote lifelong learning	0
Achieve gender equality and empower all women and girls	0
Ensure access to water and sanitation for all	0
Ensure access to affordable, reliable, sustainable and modern energy for all	0
Promote inclusive and sustainable economic growth, employment and decent work for all	0
Build resilient infrastructure, promote sustainable industrialization and foster innovation	0
Reduce inequality within and among countries	0
Make cities inclusive, safe, resilient and sustainable	0
Ensure sustainable consumption and production patterns	0
Take urgent action to combat climate change and its impacts	0
Conserve and sustainably use the oceans, seas and marine resources	0
Sustainably manage forests, combat desertification, halt and reverse land degradation, halt biodiversity loss	
Promote just, peaceful and inclusive societies	0
Revitalize the global partnership for sustainable development	0

24. In your opinion, what is the most important issue/problem/opportunity to be addressed by the EU framework programmes for research and innovation? Indicate one area/topic.

200 character(s) maximum

25. To what extent do you agree that the following issues are needed to further maximize the socio-economic impact of the EU framework programme for research and innovation?

	l strongly disagree	l disagree	l agree	l strongly agree	l don't know
*Increased budget for financing research and innovation at EU level	0	۲	۲	Ô	0
*More room for bottom- up proposals	O	O	O	0	O
*Better defined priorities for research and innovation activities	O	0	O	0	0
*Increased involvement of citizens in priority setting	O	O	O	0	0
*Increased use of cross- cutting calls (e.g. calls responding to more than one societal challenge)	O	0	O		0
*Increased coordination/ synergy with other EU programmes	O	O	O	0	0
*Better access to the programme for newcomers	O	O	O	0	0
*Increased focus on capacity-building activities for research and innovation	O	O	O	0	0

*Increased focus on supporting closer to market activities	0	0	O	0	0
*Increased focus on supporting demonstration	O	0	0	0	0
*Increased focus on fundamental research	O	O	0	O	0
*Increased dissemination activities for the results of funded projects	©	0	O	O	0
*Increased focus on support for the exploitation of research results	©	0	©	O	۲

25.1 Please provide here any further comments (if any) on issues you find important regarding a possible successor programme to Horizon 2020.

500 character(s) maximum

26. Please upload a document (e.g. position paper) if you wish to share any further comments /recommendations regarding the implementation of EU framework programmes, and in particular on Horizon 2020.

The maximum file size is 1MB.

Please note that the uploaded document will be published alongside your response to the questionnaire which is the essential input to this open public consultation. The document is an optional complement and serves as additional background reading to better understand your position.

Please share with us a short, telegraphic testimonial. What does Horizon 2020 mean to you? What is its main feature?