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Horizon Europe Co-design – Implementation

Fields marked with * are mandatory.

With a proposed budget of 100 billion euro from 2021 to 2027, the Horizon Europe framework programme represents the largest collaborative multinational research and innovation investment in Europe and is open to participants worldwide. The European Parliament and the Council have provisionally agreed on the Horizon Europe legislative package. Based on the agreement, a Strategic Plan will put forward the priorities for the first four years of Horizon Europe. In parallel, the Commission has begun designing the **Implementat ion strategy**, a tool to focus attention, planning efforts and resources to the rules, processes, systems, documents and guidance, so that they are ready in time for the programme start.

We invite you to contribute to co-designing the implementation of the future research and innovation programme by responding to this questionnaire. You can further engage by participating in the <u>European</u> Research and Innovation Days on 24-25-26 September 2019 in Brussels.

Prior to responding to the questions, please read the attached document: "Orientations towards the Implementation Strategy of the research and Innovation framework programme Horizon Europe".

This consultation is linked to the ongoing "Horizon Europe Co-design 2021-2024" web consultation.

The questionnaire can only be submitted if you replied at least to the obligatory questions marked with an asterisk. Replying to all questions takes approximately 30 minutes. You can interrupt and resume at a later stage. **Please don't forget to save frequently.**

The extended deadline for replying is October 4.

About you

* You are responding:

As an individual	
As a representative of a single	e organisation

- As a representative of an 'umbrella' organisation (a group of organisations)
- * You are responding as:
 - a researcher
 - an entrepreneur
 - an expert in research and innovation
 - a citizen
 - other

* You are	e representing:
© ;	a university
© a	a research organisation
© a	a business or an industry
	an international organisation
© a	a national public authority
© a	a regional or local public authority
© a	a non governmental organisation including civil society organisations
© (other
* Name o	of the organisation
150 ci	haracter(s) maximum
Eu	ropean Molecular Biology Laboratory (EMBL)
Your na	ame and last name
150 ci	haracter(s) maximum
Ed	lith Heard/Jana Pavlic-Zupanc
* What is	s your country of residence or establishment?
Ger	rmany
	select the option that best describes your interest in European Union Research and Innovation amework programmes:

- I/my organisation is currently participating in at least one project funded by a European Union R&I framework programme.
- I/my organisation has proposed and/or participated in project(s) funded by a European Union R&I framework programme in the past, but I am/it is not participating in a running project at this moment.
- I/my organisation has not yet proposed or participated in projects funded by European Union R&I framework programmes, but would be interested to do so.
- I/my organisation currently does not intend to propose and/or participate in projects funded by European Union R&I framework programmes, but I may be interested in the results of the projects/programme.
- * Publication privacy settings

The Commission will publish the responses to this public consultation. You can choose whether you would like your details to be made public or to remain anonymous.

Anonymous

Only your type of respondent, country of origin and contribution will be published. All other personal details (name, organisation name and size, transparency register number) will not be published.

Public

Your personal details (name, organisation name and size, transparency register number, country of origin) will be published with your contribution.

I agree to the personal data protection provisions

1. Work programme

The detailed allocation of Horizon Europe funding to calls will be decided through a strategic planning process resulting in multiannual work programmes. The way in which the priorities are translated into calls and topics may impact on the effectiveness of programme implementation.

See section 3.1 "Work Programme design" (page 7) of the accompanying document.

1.1. In your view, how important are these elements for the preparation of a good proposal?

	1 (not important at all)	2	3	4	5 (very important)	l don't know
* Work programmes which are multiannual	0	0	•	0	0	0
* No changes to work programmes unless there are urgent, previously unforeseen needs	•	0	0	0	0	0
* Multiannual topics which offer the possibility of submission for more than one deadline	0	0	0	•	0	0

1.2. In your view, how important are these elements for the preparation of a good proposal for the 'Global Challenges and European Industrial Competitiveness' part of the future Horizon Europe work programmes?

	1 (not important at all)	2	3	4	5 (very important)	l don't know
Topics which distinguish between the short- term outcomes expected and the longer-term impacts targeted	0	•	0	0	0	0
The applicant can decide which type of action is most appropriate for achieving the targeted impact (e.g. Research and Innovation Action [RIA], Innovation Action [IA] or Coordination and Support Action [CSA])	0	0	0	0	•	0
Indication of the TRL (technology readiness level) expected by the end of the project	0	•	0	0	0	0
Topics which allow for a wide range of possible pathways to achieve the targeted impact	0	0	0	0	•	0

1.3. What could be improved in the structure of the work programme and/or its calls to make it easier for applicants?

500 character(s) maximum

2.	Submission and Evaluation						
	system for proposal submission and evaluati ent approaches, but a number of improvemen		-	e will l	argely	be based on	the
See	section 3.2 "Submission and Evaluation" (pa	ge 9) of the acco	mpany	ing do	cumen	t.	
	What aspects are most important to you in the order of preference)	ne submission an	d evalu	ıation p	oroces	s? <i>(rank your</i>	answers
		1 (least important)	2	3	4	5 (most importan	t)
	* Simple proposal templates	0	0	0	0	0)
	* Fast time-to-grant	0	0	0	0) ()
	* Detailed feedback if unsuccessful	0	0	0	() ()
	* Two-stage procedure to reduce initial burden	0	0) (0) ()
	Other (please specify below)	•	0	0	0	0)
50	er - Please specify: O character(s) maximum How important are the following specific chain	nges in your view	1?				
		1 (not important at all)	2	3	4	5 (very important)	l don't know
	Simplify the aspects to be considered under the three evaluation criteria ("Excellence", "Impact" and "Quality and efficiency of the implementation")	0	0	0	0	0	0
	Simplify or remove assessment of project management structures	0	0	•	0	0	0

The work programmes could include a more concrete description of the scope of the call.

Run a pilot for blind evaluation, for the first

stage of two-stages calls

Run a pilot scheme allowing applicar to preliminary evaluation comments, they are finalised		0	0	•	0	0	0
2.3. What other modifications to the subwhy? Would they entail trade-offs with of 500 character(s) maximum		-	stem d	o you	consid	er necessary,	and
If a pilot for blind evaluation is carried would be the best instrument where to		ieves that the	MSCA	individ	lual fello	owships schem	16
2.4. Where relevant (e.g. for missions), Intrinsic quality of individual proposals w 500 character(s) maximum			•				t of the
3. Model Grant Agreement							
Horizon Europe will make use of a stand programmes fully aligned with the <u>Finant</u> programme specific needs/objectives as and working conditions for researchers,	cial Regulations e.g. on Intelle	on. The MGA ectual Prope	for Ho	rizon E hts, et	Europe	will cater for	the
See section 3.3 "Model Grant Agreemen	<u>nt"</u> (page 12) (of the accom	panyin	g docu	ıment.		
3.1. Would the use of the same standard programmes facilitate synergies between 1 (not at all)		t Agreement	for all	EU dir	ectly m	anaged fundi	ng
© 3 © 4							

***** 3.1

5 (certainly) I don't know

3.2. Which provisions in the current Horizon 2020 Model Grant Agreement should be revised? (rank your top 5 provisions by order of preference)

	1 (least important)	2	3	4	5 (most important)
Personnel costs provisions	0	0	0	0	•
Internally invoiced goods and services provisions	•	0	0	•	•

Equipment costs provisions	•	0	0	0	0
Reporting provisions	0	0	0	0	0
Termination and suspension provisions	0	•	0	0	0
Amendment provisions	0	0	•	0	0
Payment calculation provisions	0	0	0	0	0
Other provisions (please specify below)	0	0	0	0	0

	3. Should the MGA contain a data sheet with key in yment schedules?	information on cost	ts, torm	s of tu	ınding,	reporting and	d
pay	yment schedules:						
	1 (not useful at all)						
	0 2						
	3						
	0 4						
	5 (very useful)						
	I don't know						
3.4.	How can we improve the clarity of the Annotated	d Model Grant Agr	eemen	for H	orizon	Europe?	
50	500 character(s) maximum						

4. Dissemination and Exploitation

Horizon Europe will give more emphasis to the dissemination and exploitation (D&E) of the Reasearch & Innovation (R&I) results, sharing the knowledge better and creating a higher impact.

See section 3.4 "Dissemination & Exploitation" (page 15) of the accompanying document.

4.1. What would be useful in your view to improve the dissemination and exploitation of projects results?

	1 (not relevant at all)	2	3	4	5 (very relevant)	l don't know
* Improved visibility and searchability of the results on the Funding & Tenders Portal at the project and individual level	•	0	0	•	0	0
* Easy-to-use search functionalities on the Funding & Tenders Portal for expertise of beneficiaries and /or follow-up activities	0	0	0	•	0	0

* Possibility for beneficiaries to complete their own public/private/project profiles in a dedicated platform with information they want to disseminate, including key needs for support	0	0	0	•	0	0
 Possibility for beneficiaries to complete their own public/private/project profiles in a dedicated platform with information on past affiliation to projects 	0	0	•	0	0	0
* Improved guidance on D&E expectations at call and proposal stages	0	0	0	0	•	0
 .2. Dissemination & Exploitation (D&E) is part of the e ackage in the project's life cycle. How can beneficiarie Maintain D&E as subject to proposal evaluation Enhance training and raise awareness around D&E 	es' understar	nding a	around	D&E b	e improved?)
existing networks such as EEN, NCPs, etc.) Create a follow up support mechanism on D&E for be	peneficiaries					
Prefill parts of the proposal with previous Framewor applicable)		e funde	d result	s of the	e applicant (w	here
.3. How could the European Commission incentivise be	peneficiaries	to repo	ort on (dissem	ination and	
	1 (not relevant at all)	2	3	4	5 (very relevant)	l don't know

	1 (not relevant at all)	2	3	4	5 (very relevant)	l don't know
Keep the Horizon 2020 approach and provide tailor-made services through activities such as the Dissemination & Exploitation boosters	0	•	0	0	0	0
Introduce and apply financial penalties for non- compliance	0	•	0	0	0	0
Combine the obligation with financial incentives for further exploitation	0	0	0	•	0	0
Making platforms available for communicating results to potential users	0	0	0	0	•	0

4.4. Exploiting the full potential of R&I results for sustainable policy making is becoming more and more important. How could we strengthen the feedback to policy and decision making, based on R&I results, at EU, local, regional, national, international levels?	
500 character(s) maximum	

5. Data and Reporting

Project reporting in Horizon Europe should cover all the information and data necessary for project and programme monitoring, while keeping the reporting burden for beneficiaries at an acceptable level. Greater attention will be dedicated to information and data on the output and impact of the funded projects and on the dissemination and exploitation of the results. Data collected from projects will be enriched by linking to other data sources. Tools for accessing, analysing and visualising the data will be made available for Member States, policy makers, researchers and the general public.

See section 3.5 "Reporting and Data Collection" (page 19) of the accompanying document.

5.1. Which parts of the Horizon 2020 reporting templates and guidance require improvements? *(rank your top 3 answers by order of preference)*

	1 (least important)	2	3 (most important)
* Financial reporting part	•	0	0
* Template for the technical report	0	•	0
* Data collection on publications, IPR, dissemination and communication activities, societal issues	0	©	•

E 2	Dlagge	aivo	LIC ODO	aanarata	suggestions	for im	nrovina	tha	nraiaat	roporting
IJ.∠.	riease	uive	us one	Concrete	Suddestions	101 1111	DIOVIIIG	แเษ	טוטובטנ	Teboruna.

500 character(s) maximum

Continue to encourage beneficiaries to utilize	'continuous reporting'. An online training module on the
benefits of continuous reporting could also be	e of use.

- *5.3. Have you already used the Horizon 2020 Dashboard?
 - Yes
 - O No

5.3a. Which parts of the Horizon Dashboard do you find most useful? *(rank your answers by order of preference)*

	1 (least useful)	2	3	4	5	6 (most useful)
Horizon 2020 proposals dashboard	0	0	0	0	0	•
Horizon 2020/FP7 projects dashboard	©	0	•	0	0	0
Horizon 2020/FP7 project results dashboard	0	0	0	0	•	0
Horizon 2020 country profiles	©	0	0	•	0	0
European Innovation Council dashboard	0	•	0	0	0	0

Seal of excellenc	e dashboard	•	0	0	0	0	0
	spects would you like to ha	ave a specific das	hboard	d?			
500 character(s) max	imum						
•	ommission proposes to cre						
	EU, national, regional and es in Europe at local, region					ıld sup	port the
1 (not at all)	es in Europe at local, regit	onai, national and	Europ	eanie	veis :		
② 1 (not at aii)							
3							
0 4							
5 (to a great ext	ent)						
I don't know	one,						
- radire mion							
5.6. What additional o	rientations would you sugg	gest for maximisir	na the v	/alue a	and use	e of da	ta from EU R&I
programmes?		9	3				
500 character(s) max	imum						
0 0 1 1 1 1							
6. Control strate	egy						
Ex-ante							

Under Horizon 2020, the Commission made significant efforts to simplify and harmonize ex ante control practices. Consequently, there is strong emphasize on trust (of beneficiaries and their own control practices) that is combined with a risk-assessment based, lean and targeted control. Ex-ante control under Horizon Europe will build on the foundations and achievements of the common ex-ante control strategy designed for the implementation of Horizon 2020.

See section 3.6.a "Ex-ante control strategy" (page 22) of the accompanying document.

6.1. Are you largely satisfied with the current Horizon 2020 approach for financial reporting i.e. the level of details required in the financial statements (FS) and the prompted details on the so called 'use of resources' section?

Yes

No

Please briefly explain what changes you would like to see:

500 character(s) maximum

EMBL is largely satisfied with the current approach but is of the opinion that the reporting threshold for other direct costs could be higher than the current one (15% of personnel costs).

6.2. Under Horizon 2020, the Certificate of Financial Statement (CFS) is an important element of the trust-based ex-ante control approach. Given that it is intended to continue this approach under Horizon Europe, would you have ideas for improvements of the CFS system or suggestion for changes (e.g. in the content, level of details of the CFS)?

500 character(s) maximum

We believe it would be beneficial that CFS's that have been awarded by a recognized auditor should also be recognized in the subsequent ex-post audits. The overall CFS system could also be improved by increasing the awareness of EC auditing practice among CFS auditors across Europe.

Ex-post

The Commission proposal for Horizon Europe provides for a high level of continuity, based on the principles of common implementation, equal treatment, consistency and better alignment with international audit standards. Under Horizon Europe, a new approach on Systems and Processes Audits (SPAs) will be explored through a review of the main internal control systems and processes of beneficiaries. The objective is to flag risks and to perform audit procedures and walkthrough test in line with the International Standards on Auditing.

See section 3.6.b "Ex-post control strategy" (page 23) of the accompanying document.

6.3. What type of benefits would you expect from a Systems and Processes Audit (SPA)? *(rank by order of preference)*

	1 (least important)	2	3	4	5 (most important)
Fewer ex-post audits	0	0	0	0	•
Less intensive ex-post audits	0	•	0	0	0
Fewer ex-ante Certificates on Financial Statements	0	0	0	0	0
Less intensive ex-ante Certificates on Financial Statements	0	0	0	•	0
Reliability for other EU audits	0	0	•	0	0

6.4. The Systems and Process Audits (SPA) should be valid
until a change in the methodologies of the auditee
for maximum 3 years after completion for the HE framework programme
for the whole Horizon Europe framework programme

6.5. What are the limitations to a SPA?

Lack of homogeneity of systems and processes inside the same organisation (e.g. when different locations have different internal processes)
■ Nature of processes: some (e.g. subcontracting) are more system approach than others
Other (please specify below)
6.6. Would it be useful to seek synergies with national research and innovation funding bodies in the audi ield? How could this be implemented in practice in your view and based on your experience if applicable
500 character(s) maximum
Yes if this is a step towards the recognition of beneficiaries own accounting practices, for example by fulfilling a set of framework criteria. Ensuring that beneficiaries have such a system in place could be supplemented with audits on larger projects. The "Authorized Economic Operator" model in international trade, where beneficiaries initially need to fulfil certain requirements, could be a source of inspiration for this.
7. Extended use of simplified forms of costs
Significant steps were taken under Horizon 2020 towards the use of simplified forms of costs, through the wider use of unit costs and flat rates and, notably through the first pilot on lump sum project funding in 20
See section 3.7 "Extended use of simplified forms of costs" (page 26) of the accompanying document.
7.1. Have you been involved as applicant and/or beneficiary in a lump sum pilot project?
O Yes
No
7.1a. To what extent was proposal writing different in comparison to other proposals you may have writter
under Horizon 2020?
1 (not at all)
© 2
© 3
4
5 (to a great extent)
I don't know
7.1b. To what extent was consortium building different in comparison to other proposals you may have submitted under Horizon 2020?
1 (not at all)
0 2
© 3
© 4
5 (to a great extent)
I don't know
7.2. Do you think lump sum project funding will make R&I Framework Programme more accessible to
1 (not at all) 2 3 4 5 (to a great extent) I don't know

* New participants	0	0	0	0	0	•
* Experienced participants	0	0	0	0	•	0
* Smaller actors	0	0	•	0	0	0

7.3	. To	what	extent	will the	e abolition	of co	st rep	orting	and	auditing	ı in _l	projects	funded	by lur	np s	sums	make
pro	ject	mana	.gemer	nt and a	administra	ation e	asier	?									

1 (not at all)

0 2

3

0 4

5 (to a great extent)

I don't know

7.4. What is your perception of the system of payments for lump sum project funding?

500 cha	aracter(s) maximum			

7.5. What is the impact of lump sum project funding on the internal management of the consortium (compared to cost-based funding)?

- 1 (will become way more complex)
- 0 2
- 3
- 0 4
- 5 (will become easier)
- I don't know

8. Outreach

Feedbacks received from stakeholders consultations, the Horizon 2020 interim evaluation, as well as recommendations by the European Court of Auditors underline that more could be done to better communicate and engage with stakeholders.

See section 3.8 "Outreach" (page 29) the accompanying document

- *8.1. With which support services have you interacted, if any, during the course of Horizon 2020?
 - Research Enquiry Service
 - National Contact Point
 - EU programme support office, or similar, in your organisation
 - Professional consultant
 - Outreach events in Member States
 - Coordinator days

Training to beneficiaries	
Other (please specify below)	
None	
Other - Please specify:	
500 character(s) maximum	
The IPR Helpdesk	
8.2. For each service you indicated, what would you propose to improve?	
1000 character(s) maximum	
We would value an improvement in the response-time of the Research Enquiry Ser	vice (RES).
O Digital transformation	
9. Digital transformation	
A radical simplification of grant management procedures was introduced in Horizon a Web interface – the Funding & Tenders Portal – providing a user-friendly one-stop beneficiaries. Horizon Europe will come with a number of novelties that will need a	pp shop for thousands of
See section 3.9 "Digital transformation" (page 31) of the accompanying document.	
 9.1. What do you think about having all the EU funding programmes available in a It is simpler to find funding opportunities across all EU funding programmes, in just It provides all potential beneficiaries with a single door to submit their proposals It allows for a corporate electronic management of all EU funding programmes It is more complex, if I am interested only in one programme Other (please specify below) I don't know 	
 9.2. Which additional features of the Funding & Tenders Portal would you find usef Partner search at the level of individuals (in addition to the existing organisation be finding potential partners for your project ideas Person profile page for individuals involved in projects, linking to other data source databases, social platforms for researchers) Extended interactive programme reporting platform (Horizon 2020 Dashboard) Other (please specify below) I don't know 	ased partner search) for
9.3. How can we improve the functions of the Funding & Tenders Portal? Optimise the search functions	

oth	izon Europe will support European Partnerships to certed research and innovation efforts with the Me er stakeholders. European Partnerships will be es	ember States, tablished only	the pr	rivate s ses wh	ector, ere the	foundations a ey will more e	and effectively
	ieve the objectives of Horizon Europe than the Ur						
	ling under Horizon Europe. Horizon Europe will su					•	
	nted approach to partnerships. It will also put forw			-			
-	icipant experience, notably central management on nmission IT tools and better access to information					i set of fules	, use or
COI	innission it tools and better access to information	i and results ii	топт ра	11 11 15 151	lips.		
See	section 3.10 "European Partnerships" (page 34)	of the accomp	oanyin	g docu	ment.		
* 10	. Have you received funding from a Joint Underta	aking or Article	e 185 i	nitiativ	e unde	er Horizon 20	20?
	Yes	2		·······	0 41140		_0.
	○ No						
Ple	ase specify which one(s):						
	00 character(s) maximum						
	The Innovative Medicines Initiative						
	The innovative Medicines initiative						
	2. Have you been a partner in a Joint Undertaking	or Article 185	initiat	ive und	der Ho	rizon 2020?	
10.	2. Have you been a partner in a Joint Undertaking Yes No No How to most effectively improve the experience suropean Partnerships?	in participatir				ctivities in the	e context
10.	YesNoHow to most effectively improve the experience	in participatir	ng in th	ie calls	and a	ctivities in the	I
10.	YesNoHow to most effectively improve the experience	in participatir				ctivities in the	l don't
10.	Yes No No No How to most effectively improve the experience turopean Partnerships?	in participatir	ng in th	ie calls	and a	ctivities in the	I
10.	Yes No No No No B. How to most effectively improve the experience suropean Partnerships? By ensuring that the calls would be accessible	in participatir	ng in th	ie calls	and a	ctivities in the	l don't
10.	Yes No No No How to most effectively improve the experience turopean Partnerships?	in participatir	ng in th	e calls	and a	ctivities in the	l don't know
10.	Yes No	1 (strongly disagree)	ng in th	ae calls	and a	5 (strongly agree)	l don't know
10.	Yes No	in participatir	ng in th	e calls	and a	ctivities in the	l don't know
10.	Yes No	1 (strongly disagree)	ng in th	ae calls	and a	5 (strongly agree)	l don't know
10.	Yes No	1 (strongly disagree)	ng in th	ae calls	and a	5 (strongly agree)	l don't know
10.	Yes No	1 (strongly disagree)	ng in th	ae calls	and a	5 (strongly agree)	l don't know
10.	Yes No	1 (strongly disagree)	ng in th	ae calls	and a	5 (strongly agree)	l don't know

Increase system response speedOther (please specify below)

10. European Partnerships

By harmonising and centralising submission, evaluation, and reporting procedures	0	0	0	0	0	•
By ensuring better dissemination and exploitation of results	0	0	0	0	0	•
Other (please specify below)	0	0	0	0	0	•

Oth	er - Please specify:
50	00 character(s) maximum
L	
10 4	4. How could we make European Partnerships more attractive for prospective partners?
	00 character(s) maximum
[o character(5) maximum

11. Synergies

Horizon Europe is designed to be implemented in synergy with other Union funding programmes, from their design and strategic planning, to project selection, management, communication, dissemination and exploitation of results, to monitoring, auditing and governance.

See section 3.11 "Synergies between EU funding programmes" (page 35) of the accompanying document.

- * 11.1. Are you familiar with other EU funded programmes?
 - Yes
 - O No

11.1a. Please specify the programme(s) you are familiar with (CEF, COSME, Erasmus +, European Regional Development Fund, Interreg, LIFE...):

500 character(s) maximum

Interreg Europe, the European Regional Development Fund (ERDF), Erasmus +

- 11.1b. Would you consider that synergies between different EU funded programmes could be useful to promote the deployment and uptake of research results?
 - 1 (not useful at all)
 - 0 2
 - 0 3
 - 0
 - 5 (extremely useful)

	s between different EU programmes, sharing imple	ementation da	ata, etc	:.)?			
50	00 character(s) maximum						
	Joint calls between programmes						
11.3	3. Have you received a Seal of Excellence under H	orizon 2020?)				
	Yes						
	O No						
by r	4. Do you think that simplified State aids rules will enational and/or regional public authorities?	enable strong	er upta	ake of	Seal o	f Excellence	projects
	1 (not at all)						
	O 2						
	© 3						
	O 4						
	5 (to a great extent)						
	I don't know						
11.5	5. To which extent do you agree with the following	statements?					
		1				5	ı
		(strongly	2	3	4	(strongly	don't
		disagree)				agree)	know
	To preserve the chances of obtaining alternative						
	funding, Seal of Excellence should be issued	<u> </u>					

12. General input

applicants)

Europe

I don't know

Please provide here further general input regarding the implementation strategy for Horizon Europe:

5000 character(s) maximum

only for a limited type of calls under Horizon

Information on proposals receiving the Seal of Excellence should be shared with interested

financing authorities (with prior consent of the

L	

Thank you very much for your input.

An analysis of the results of this co-design consultation will be available after September 2019. The replies will also feed into the organisation of the debate in the co-design sessions at the <u>European Research and Innovation Days</u> on 24-25-26 September 2019 in Brussels.

Contact

Olivier.MARGANNE@ext.ec.europa.eu