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**WORKING DOCUMENT**

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From: General Secretariat of the Council  
To: ERAC (European Research Area and Innovation Committee)

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Subject: Background note on the evaluations of the Framework Programme

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Delegations will find attached document on the above mentioned subject with the view to the meeting of the European Research Area and Innovation Committee (ERAC) on 13-14 September 2022.

## ERAC Plenary 13/14 September 2022 Debate on Horizon Europe interim evaluation

### Background note on the evaluations of the Framework Programme

In line with its mandate<sup>1</sup>, ERAC “shall advise on strategic policy orientation and future trends that require the refinement of Union and national, including regional, R&I policies, **including on the current and the next Union R&I Framework Programme** and other relevant R&I-driven Union initiatives”.

The Commission is currently collecting evidence on the Framework Programmes (FPs) in order to prepare the evaluation of the Framework Programmes (Horizon 2020 ex post and Horizon Europe interim evaluation), in line with Better Regulation requirements<sup>2</sup> and within the legal deadlines set in the regulations establishing Horizon 2020 and Horizon Europe. The tentative calendar for FP evaluations is presented in an annex. In order to allow enough time for the preparations of the successor programme, the 10<sup>th</sup> Framework Programme, the Commission is planning to publish the mid-term evaluation report on Horizon Europe already in September 2024.

To enrich the evaluation, it would be useful for the Commission to receive the possible input of Member States and Associated Countries at the highest administrative level, via ERAC, on Horizon 2020, Horizon Europe or both programmes.

While ERAC and ERAC members are invited to express their views on the whole programme and all aspects with regard to future framework programmes, it would be particularly interesting for the Commission to receive contributions on two aspects: a) **synergies of the FP with relevant EU and national and/or regional programmes** and b) **the added value of funding research and innovation at European level, via the FP**. The relevance of these two topics is elaborated below.

**Apart from its discussion in September in order to see how from ERAC we can contribute at this stage and further contributions regarding the next FP in the future**, the Commission also counts on ERAC’s support to gather as widely as possible the views of R&I stakeholders on the evaluations. **ERAC may wish to promote the stakeholders’ consultation** in autumn 2022 and to encourage participation of stakeholders, as to enrich the feedback to be used in the evaluation. The main stakeholders identified include researchers, business, academia, non-governmental organisations, public authorities, and EU-wide ‘umbrella’ organisations.

A 12-week public consultation to be published in English, French and German on the [Have Your Say website](#) is planned in the fourth quarter of 2022. Responses may be submitted in any official EU language. After it has closed, a factual summary report will be published on the same website, along with the respondents’ replies. The same consultation will also cover Horizon 2020 (final evaluation) and preparations for the 2025-2027 Strategic Plan, to maximise participation and minimise the risk of stakeholders fatigue or confusion (if consulted on three different occasions for three different though complementary purposes).

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<sup>1</sup> See in particular Article 1(2)(a)

<sup>2</sup> For more information on the Commission’s approach to evaluation see the Better Regulation Guidelines and toolbox at [https://ec.europa.eu/info/law/law-making-process/planning-and-proposing-law/better-regulation-why-and-how/better-regulation-guidelines-and-toolbox\\_en](https://ec.europa.eu/info/law/law-making-process/planning-and-proposing-law/better-regulation-why-and-how/better-regulation-guidelines-and-toolbox_en) .

### **Synergies with other EU and national programmes for research and innovation**

This topic involves looking at the extent to which Horizon 2020 and/or Horizon Europe actions work together with other EU interventions/policies and with national ones. It is often referred to as external coherence of the Framework Programme with the national/regional level/synergies: what is the interplay between European and national programmes for R&I. The aim is to assess if the FP leverages synergies, or causes duplications with other programmes at EU and national level, or on the contrary, if gaps in support still exist.

#### **QUESTION FOR DISCUSSION AT ERAC, AIMING AT PROVING ADVICE AND ANALYTICAL INPUT TO BE USED IN THE FP EVALUATION(S):**

What are ERAC's views on synergies and complementarities between the (H2020 programme and/or) Horizon Europe programme and other EU and national R&I programmes?

### **The added value of supporting research and innovation at European level**

EU-added value is created whenever it can reasonably be argued that an EU intervention led to notable differences as to what could have been expected from national actions by the Member States. Under the principle of subsidiarity (Article 5 TEU), in areas of non-exclusive competence such as research and innovation, the EU should only act when the objectives can be better achieved by Union action rather than action by the Member States. The EU added value of spending programmes is normally argued when coordination gains, greater effectiveness or efficiency, complementarities with national programmes can be documented. Input from ERAC on this would be particularly welcomed.

For the evaluation it would be useful to receive ERAC's views on what is the added value of funding research and innovation at EU level, where the added value is the highest (e.g. collaborative research, monobeneficiary support, different TRLs, etc.) as compared to what Member States and Associated Countries are funding at national level.

#### **QUESTION FOR DISCUSSION AT ERAC, AIMING AT PROVING ADVICE AND ANALYTICAL INPUT TO BE USED IN THE FP EVALUATION(S):**

What is the additional value resulting from the Framework Programme(s), compared to what could reasonably have been expected from Member States and Associated Countries acting at national and/or regional levels?

## Annex: Planned timeline for Horizon evaluations

Date	Actions
May 2020 – February 2024	<ul style="list-style-type: none"> <li>Evidence-gathering for both Horizon 2020 and Horizon Europe evaluations through external evaluation studies, internal analysis and other sources of information (e.g. Court of auditors reports)</li> </ul>
Q2 2022	<ul style="list-style-type: none"> <li>Setting up of the Commission Interservice Group (ISG) for both the ex-post evaluation of Horizon 2020 and for the mid-term evaluation of Horizon Europe and first meeting</li> <li>Consultation and subsequent opinion of the Strategic Programme Committee on the terms of reference of the Horizon 2020 ex post evaluation, followed by a Commission implementing decision on this matter (cf. article 5 Specific Programme on Horizon 2020)</li> <li>Publication of the calls for evidence for the ex-post evaluation of Horizon 2020 + interim evaluation of Horizon Europe. Stakeholder feedback on the design of evaluations is open for 4 weeks (end of June to end of July 2022)</li> </ul>
Q4 2022	<ul style="list-style-type: none"> <li>November 2022 to February 2023: 12 week stakeholders' consultation covering Horizon 2020 (ex post evaluation), Horizon Europe (interim evaluation) and Horizon Europe Strategic Plan 2025-2027.</li> </ul>
Q1 to Q2 2023	<ul style="list-style-type: none"> <li>Call for expressions of interest for the High Level Group (HLG) to develop recommendations based on the conclusions of Horizon 2020 ex-post evaluation and Horizon Europe mid-term evaluation for FP10</li> </ul>
Q2 2023	<ul style="list-style-type: none"> <li>Publication of the synopsis report from the public consultation</li> <li>Submission of the draft Staff Working Document on the ex-post evaluation of Horizon 2020 to the Regulatory Scrutiny Board and opinion</li> <li>Commission report on the approach to missions and partnerships (this is not an evaluation)</li> </ul>
In 2024	<ul style="list-style-type: none"> <li>Work of the High Level Expert Group</li> </ul>
Dec 2023	<ul style="list-style-type: none"> <li><b>Publication evaluation SWD on the ex-post evaluation of Horizon 2020</b></li> </ul>
Q1 2024	<ul style="list-style-type: none"> <li>Presentation and discussion in Council, in EP and Committees of the ex post evaluation of Horizon 2020.</li> </ul>
Q1 2024	<ul style="list-style-type: none"> <li>Publication of the Horizon Europe Strategic Plan 2025-27 (implementing act)</li> </ul>
May 2024	<ul style="list-style-type: none"> <li>Opinion by to the Regulatory Scrutiny Board (RSB) on the draft Staff Working Document on Interim Evaluation of Horizon Europe (tbc)</li> </ul>
Sept 2024	<ul style="list-style-type: none"> <li><b>Publication of the SWD on Interim Evaluation of Horizon Europe (tbc)</b></li> </ul>
Nov 2024	<ul style="list-style-type: none"> <li>Publication of the HLG report on the future of the Framework Programme (tbc)</li> </ul>
Q1 2025	<ul style="list-style-type: none"> <li><b>Adoption of Commission Communication on the future of the Framework Programme (tbc)</b></li> </ul>
Q2 2025	<ul style="list-style-type: none"> <li><b>Adoption of FP10 and its accompanying Impact Assessment (tbc)</b></li> </ul>