

Workshop

# Efficient implementation of P2Ps – Quo Vadis?

Follow-up on the preliminary results of the ERAC Ad-Hoc Working Group  
on Partnerships

21 June 2018 • 10h30 – 17h00



# Draft Agenda

- |                      |  |
|----------------------|--|
| <b>10h30 – 10h45</b> | <b>Welcome and introduction</b>  |
| <b>10h45 – 11h45</b> | <b>ERAC Ad-hoc Working Group – state of play and next steps</b>                          |
| <b>11h45 – 12h30</b> | <b>Presentation of scenarios for the future implementation and minimum requirements</b>  |
| <i>12h30 – 13h30</i> | <i>Lunch break</i>   |
| <b>13h30 – 15h30</b> | <b>Centralised data management and call implementation – key issues to be considered</b> |
| <i>15h30 – 15h45</i> | <i>coffee break</i>  |
| <b>15h45 – 16h30</b> | <b>Comparative assessment of scenarios for the future implementation</b>                 |
| <b>16h30 – 17h00</b> | <b>Conclusions and next steps</b>  |

# Welcome and introduction

## **Objective of the Workshop**

# ERAC Ad-hoc Working Group

## State of play and next steps

- Objectives and preliminary outcomes of the work on the four priority blocks:
  - criteria
  - strategic coordinating process
  - rationalisation
  - efficiency of implementation
- Implications on future partnership initiatives
- Overview: Survey results on the efficiency of implementation of P2Ps

# State-of-Play: Horizon Europe and ERAC

- **Informal Council July 2017:** Discussion on R&I partnerships
- **Horizon 2020 Interim Evaluation and Lamy Report July/Sep 2017:** call for revised policy approach on partnerships
- **Council Conclusions Dec 2017:** endorsement of revised policy approach + set-up of ERAC ad hoc WG to refine policy approach
- **COM communication Jan 2018:** first outline of new policy approach
- **ERAC conclusions May 2018:** recommendations on 'criteria framework' and 'strategic coordinating process'
- **Horizon Europe proposal 7 June:** Article 8 on European Partnerships, Annex III on general 'criteria framework'
- **ERAC conclusions September 2018:** recommendations on 'rationalisation' and 'efficiency of implementation'

# ERAC Ad-hoc Working Group on Partnerships

## Tasks and deliverables

- a) Criteria for selecting, implementing, monitoring and phasing out EU R&I partnership initiatives
- b) Rationalising the EU R&I partnership landscape and optimising its coherence
- c) Strategic coordinating process for EU R&I partnerships
- d) Increasing the efficiency of implementation of partnerships

### **Format for each deliverable:**

- a) Conclusions
- b) Recommendations
- c) Issue paper providing background and analysis

# Reports on 'Criteria' and 'Strategic Coordinating Process'

**Both documents have been adopted by ERAC on 17 May 2018**

- [ERAC 1205/18 \(Criteria\)](#)
- [ERAC 1204/18 \(Process\)](#)

## **Next steps:**

- The Commission to propose criteria and process framework by the end of 2018 in view of making them fully operational.

# Criteria – key messages

- Ensure **objective and impact oriented life-cycle-based criteria framework for all R&I partnerships** making it fully operational before **May 2019**;
- Criteria framework should be based on the **guiding principles** of the CC of 1 Dec 2017 and definitions developed by the WG;
- Highlights important considerations for the different life cycle stages;
- **Monitoring** of R&I partnerships receiving funding from the FP should be included in the overall EU FPs monitoring and evaluation framework;
  - MS/AC invited to monitor their participation in R&I partnerships as part of their **ERA Monitoring Mechanism** related efforts, also by including non FP-funded R&I partnerships of European relevance.



# Strategic coordination process – key messages

## General requirements & boundary conditions for the process:

- **Goal of the process:** Greater impact of R&I partnerships via increased coherence, coordination, transparency and openness
- **New element** in the overall EU R&I governance that needs **clear positioning** vis-à-vis existing decision-making processes
- Has to be seen in the context of the **strategic programming process** of future FP;
- **Requirement for success:** strong **ownership** from all parties
- **Important learnings from ESFRI process**

**Ambition: to be in place by summer 2019 at the latest** to advise on the selection of partnerships funded under FP9

Need for a **transition mechanism** for Article 185/187 initiatives (in case their preparation starts before the process is established) to ensure early consultation of MS/AC (based on Inception Impact assessment)

Reflect on the implications in the **review of ERA advisory structure** in 2018

**MS/AC need to ensure that national policies, priorities and commitments to partnerships are reflected in their input** to the strategic coordinating process

# Rationalising the EU R&I partnership landscape: main draft recommendations

- Ensure that partnerships are strictly limited to cases where other policy instruments would not achieve similar results;
- Monitor and report on the budget allocation to partnerships;
- Ensure that future partnerships are coherent and coordinated with other related FP9 and national initiatives;
- Ensure a simplified system of distinct funding approaches with clear intervention logics (co-programming, co-funding, institutional);
- Ensure bottom-up support for coordination between MS/AC/industry on topics of their choice (= *Coordination and Support Actions*);
- Limit the number and ensure appropriate level of granularity of R&I partnerships per FP intervention area;
- Use always the 'lightest' funding approach to achieve the policy objectives (= *lowest possible level of administrative burden*).

# Increasing the efficiency of implementation: main draft recommendations

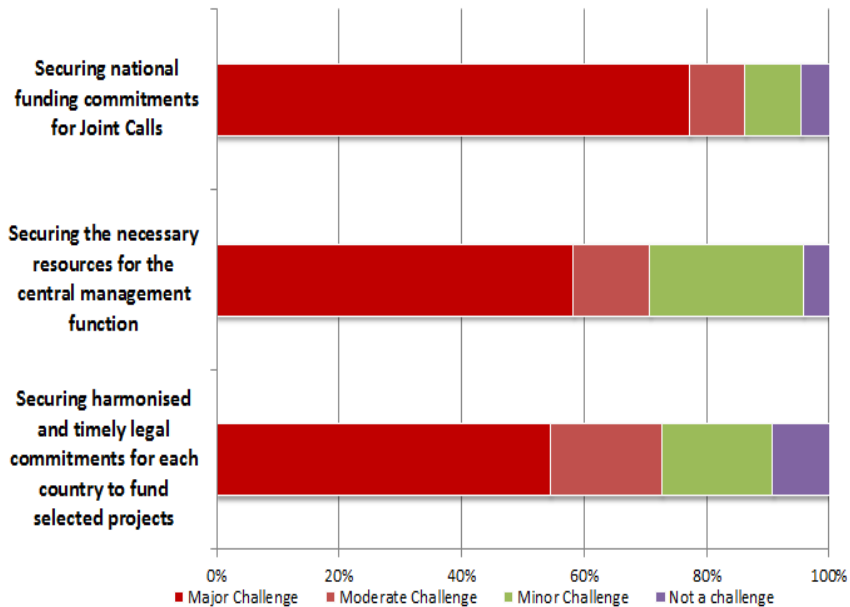
- Ensure the involvement of MS/AC in the set-up and implementation of Public-Private Partnerships
- Ensure wider use of good practices for removing participation barriers for new and smaller R&I players at project and programme level
- **Explore options for a more centralised and coordinated implementation of the activities of Public-Public Partnerships, e.g.**
  - **Implementing a more centralised data management of project data related to partnership initiatives**
  - **Assess the potential use of COM IT tools for proposal submission and evaluation**
- Ensure necessary measures at national level that participation in partnership initiatives is accompanied by appropriate commitment and resources for the life cycle of initiatives, and a governance establishing stronger links with national policy priorities and end-users;

# Implications on future partnership initiatives

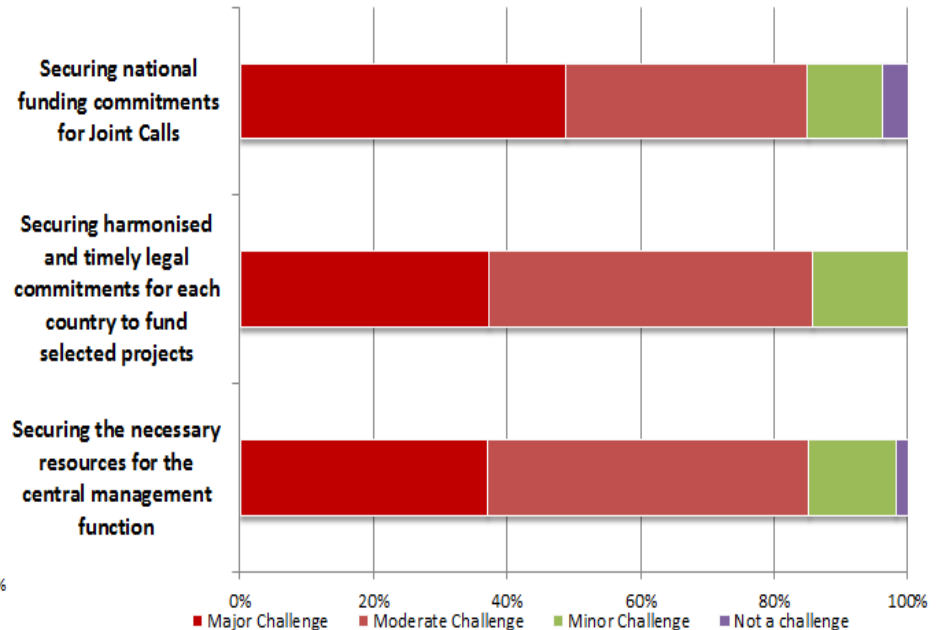
- Driven by agreed political priorities resulting from the strategic planning of Horizon Europe
  - To be assessed:
    - Do we need a partnership with MS/AC participation to achieve objectives more effectively?
    - Which are objectives, expected impacts, commitments, compliances with criteria and guiding principles?
    - Necessary contributions from partners and portfolio of activities (beyond the typical partners and activities)
    - Can it be implemented as a co-programmed partnerships (no co-funding, e.g. only CSA support)?
- ➔ Fewer partnerships with co-funding, but increase scale and scope
- ➔ Need to strongly improve efficient implementation

# Survey results: Main challenges for the implementation of P2Ps

## ○ ERAC members

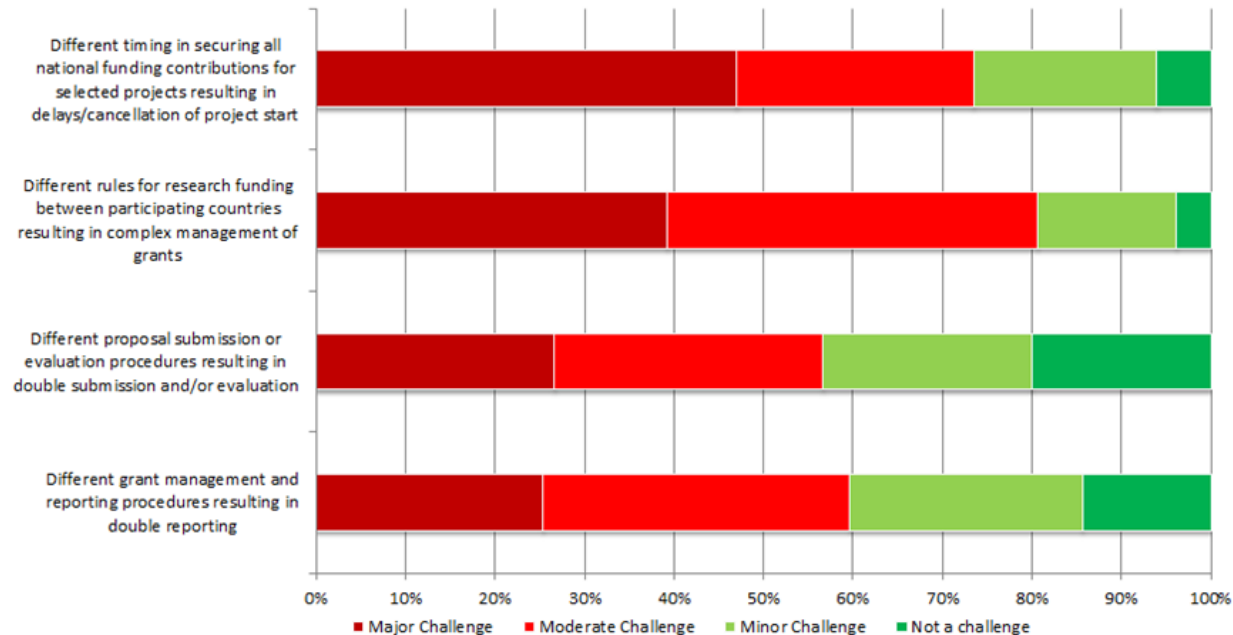


## ○ Research funders



○ From a national perspective the main issues for a successful participation on P2P activities remain to be the financial commitments to the joint calls and resulting projects, as well as providing resources for participation in networks and activities.

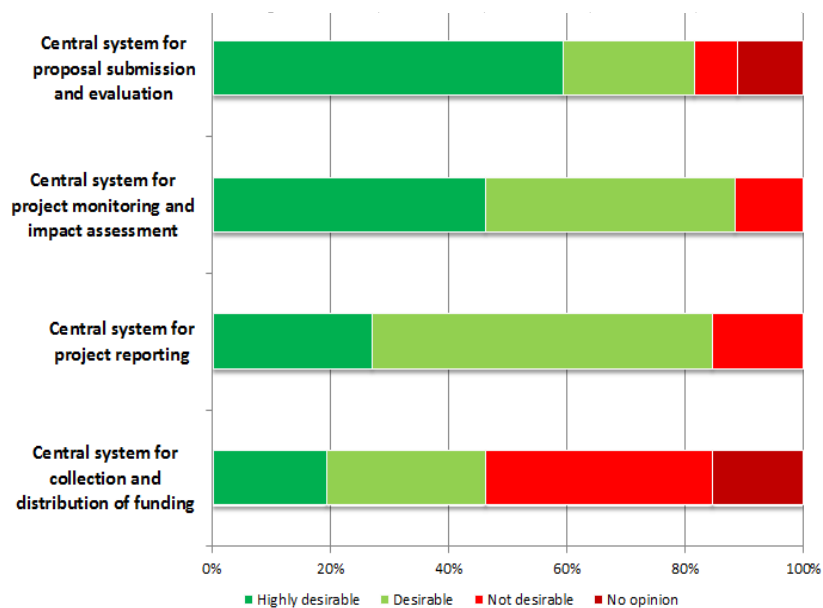
# Survey results: Main challenges for the participants/beneficiaries in transnational research projects



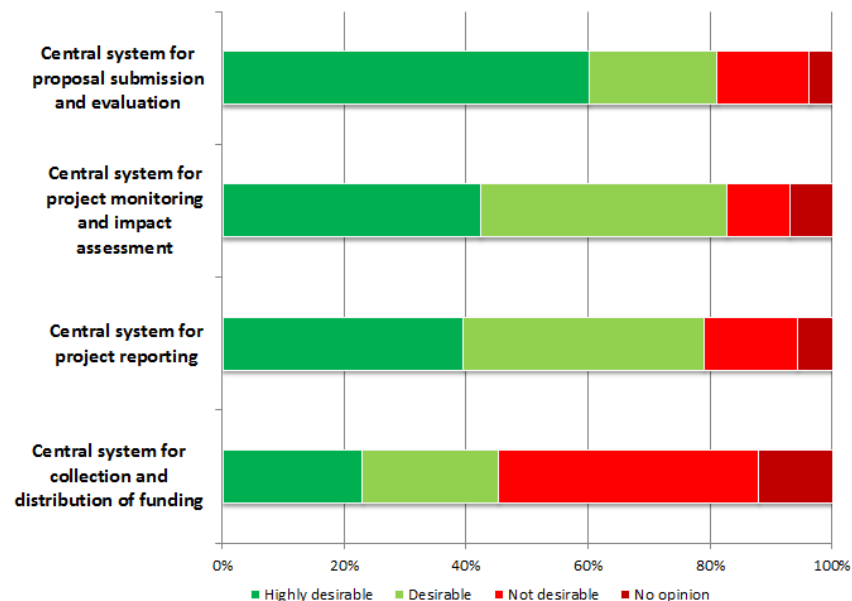
- Participants consider the burdensome administrative procedures as an extreme challenge
- Standardization is seen as a necessary measure to avoid duplication of efforts
- Beneficiaries consider it very useful to have common rules and timelines among agencies
- Proposals should be submitted in a unique platform and managed as a single project, instead of several partner-national funding projects, where each partner has its own management and different reporting etc.

# Survey results: Desirable measures to improve the efficiency of implementing Joint Calls of P2Ps

## ○ ERAC members



## ○ Research funders

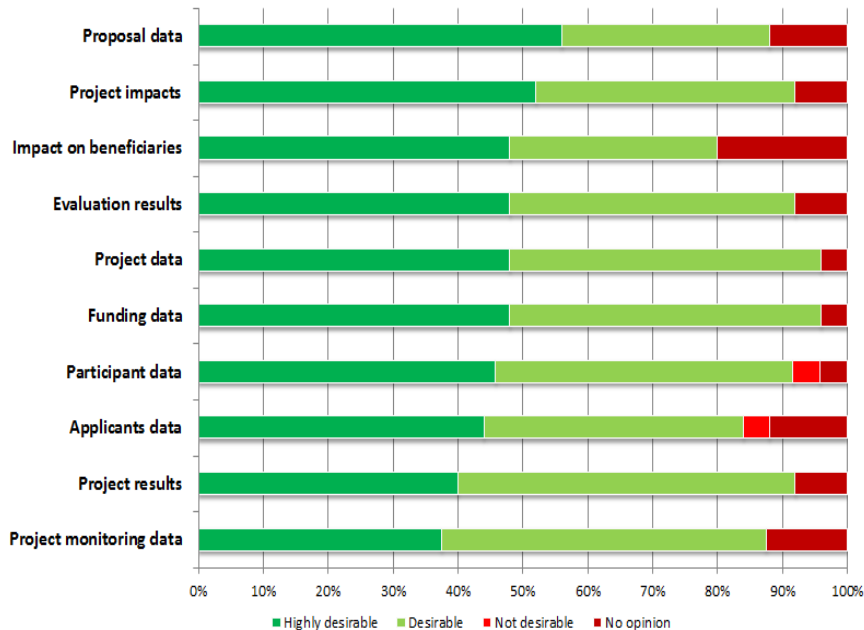


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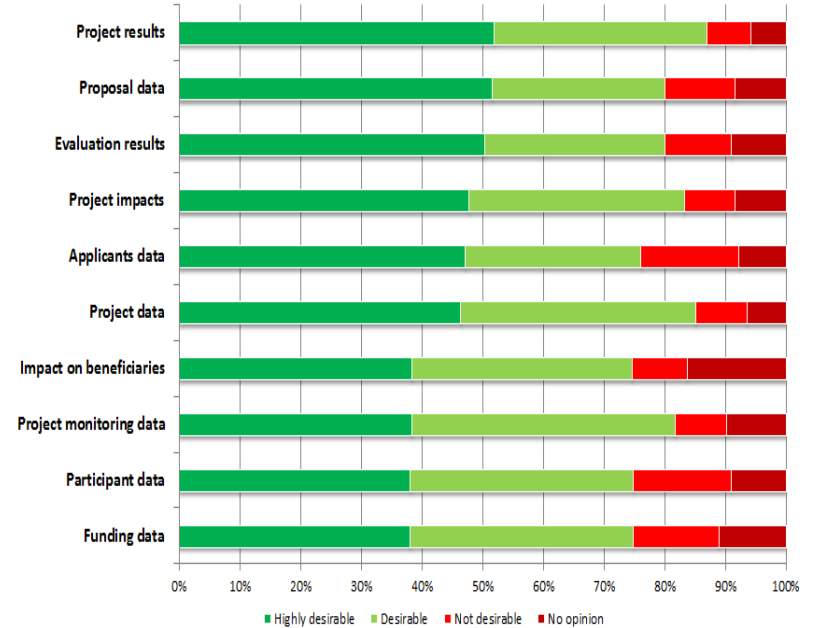
Further centralisation of activities related to joint calls are considered highly desirable, but there is significantly less support for centralising the management of funds.

# Survey results: Centralisation of data management functions

## ERAC members



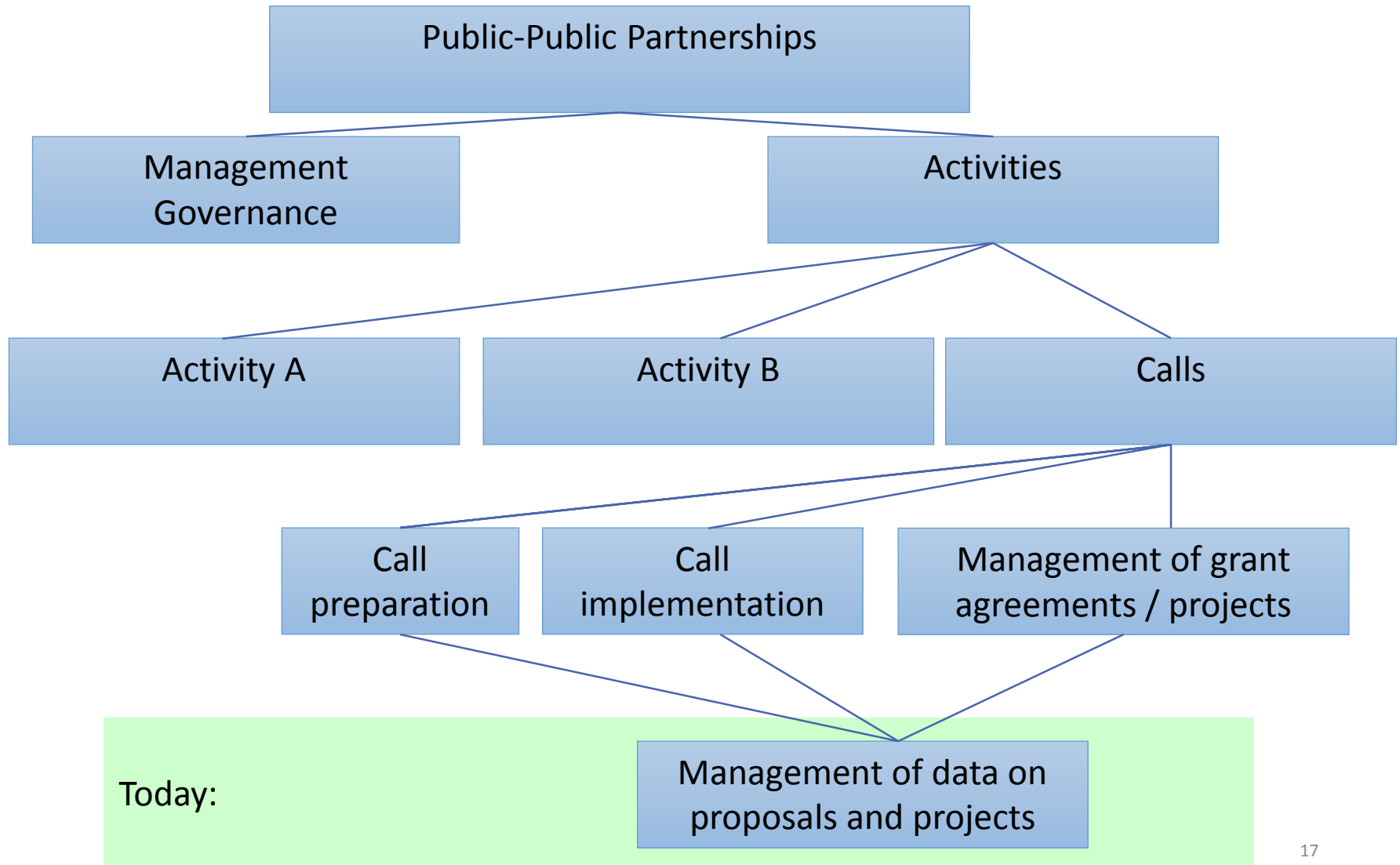
## Research funders



A centralised data management is considered key in improving the efficiency of implementation for P2P calls and resulting projects. There is strong support for full centralisation of all proposal and project related data. For the technical realisation a number of options are considered valid, which will need to be further analysed in terms of feasibility.



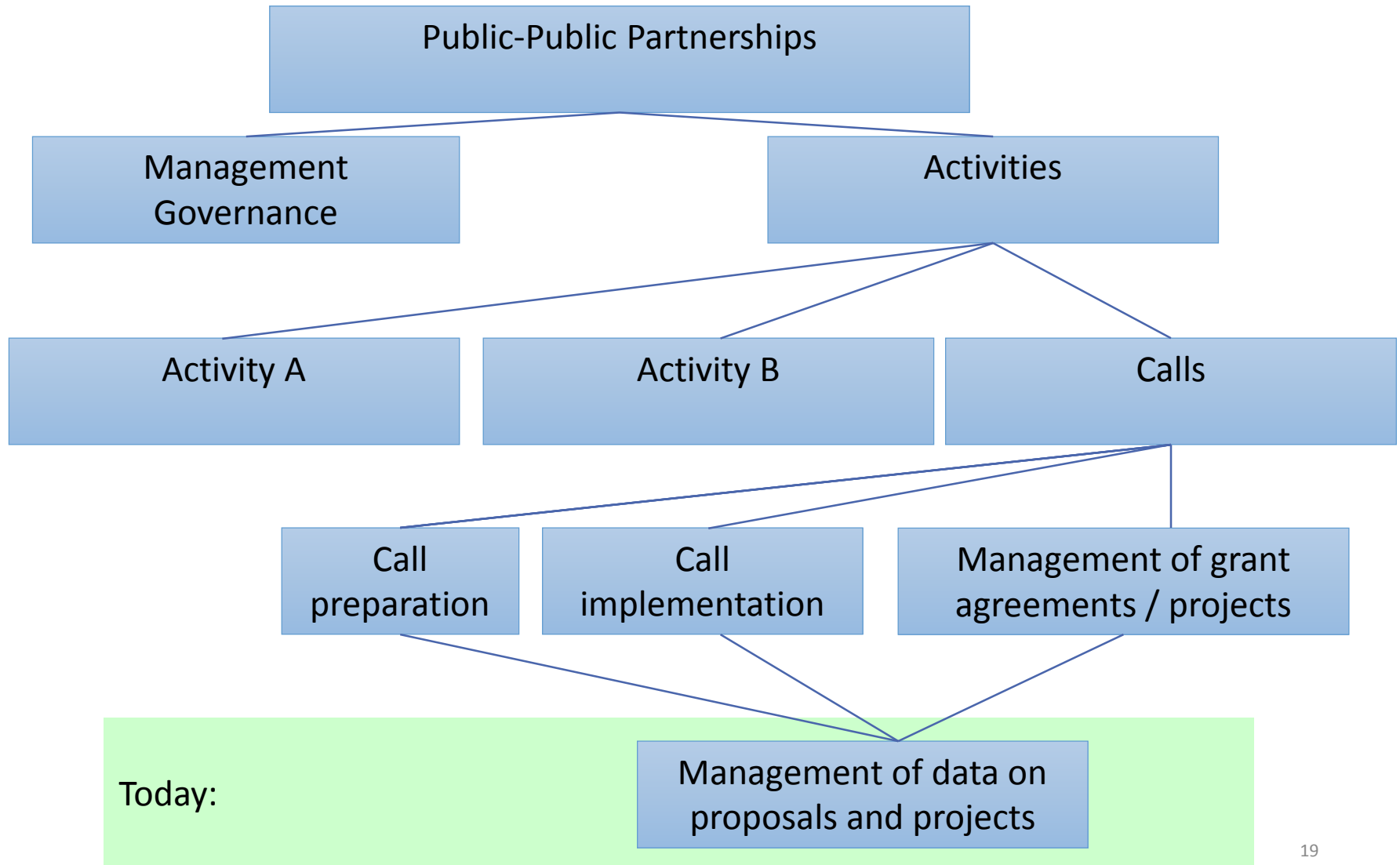
# Implementation of P2Ps and centralisation



Presentation of scenarios for the future  
implementation and minimum requirements

Presentation and Q&A

# Implementation of P2Ps and centralisation



# Baseline: Situation today

1. Data on submitted proposals and selected projects is managed by each P2P individually, typically by the entities managing the call;
2. Data on funded projects is typically managed by the national funding agencies;
3. They are not available at the level of P2Ps, with exceptions (Article 185, some ERA-NETs and JPIs, necessary financial data for reporting);
4. COM services and Member States have raised frequently the lack of availability of data as a major issue;
5. With Horizon 2020 an obligation was introduced to ERA-NETs to submit structured data on selected projects;
6. The data is centrally collected and managed by ERA-LEARN and includes projects funded by:
  - Article 185 initiatives;
  - Co-funded calls of ERA-NETs and JPIs;
  - Nationally funded calls of ERA-NETs and JPIs.

# Baseline: Situation today

## 7. The experience of ERA-LEARN is mixed:

- Many networks provide the data, resulting in currently 3113 projects in the data base;
- Allowed for the first time to present to European and national policy makers data and statistics (ERA progress report 2016, ERA-LEARN reports);
- Enables piloting systematic impact assessment of P2P funded projects across initiatives;

But:

- Mixed data quality;
- Incomplete data (networks/calls missing);
- Data not or rarely updated;
- Currently no automated analysis (no "Dashboard");
- No comparability with Framework Programme data;
- Very high effort on the side of ERA-LEARN to collect and clean-up data;
- No data on submitted proposals and resulting lack of data on success rates etc..

# Minimum requirements: Situation tomorrow

1. From the beginning of Horizon Europe on: single system provides data for P2P calls that includes:

- Applicants data
- Proposal data
- Evaluation results
- Project data
- Funding data
- Participant data
- Project monitoring data
- Project results
- Project impacts
- Impact on beneficiaries

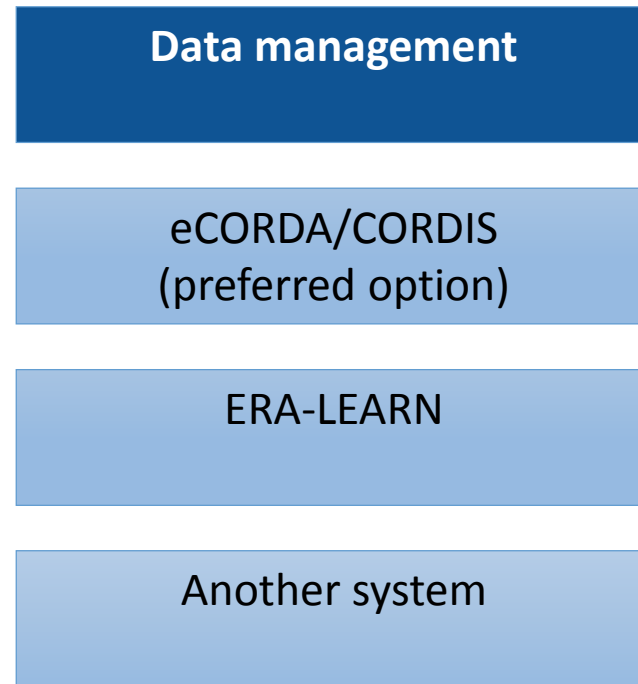
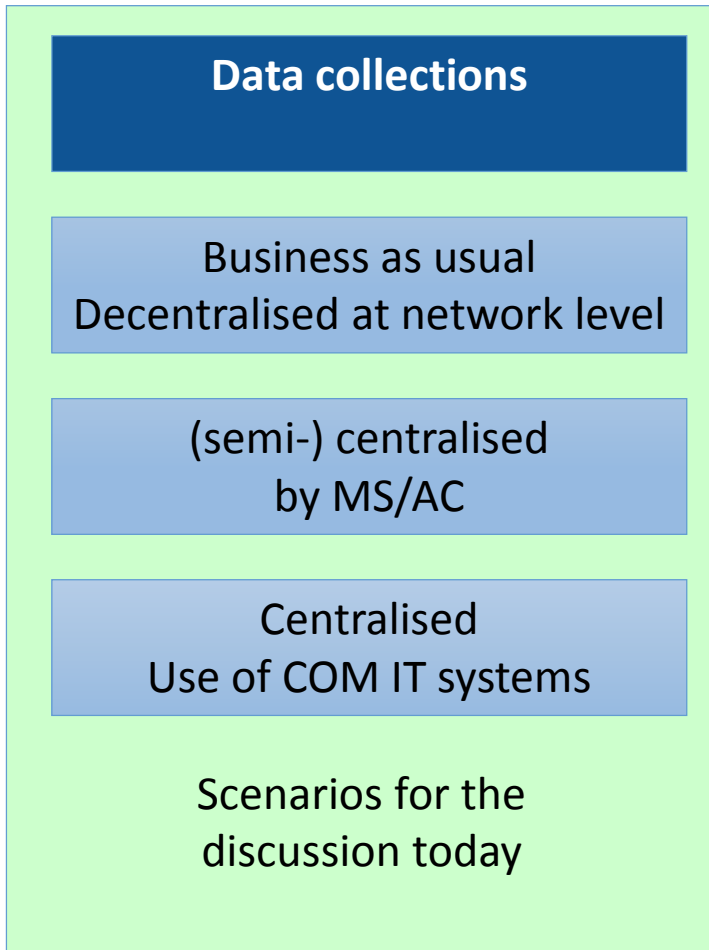
From submission to end of evaluation

From end of evaluation to final reporting and monitoring and evaluation of funded projects

# Minimum requirements: Situation tomorrow

2. The system has to be operational at the beginning of 2021;
3. It needs to provide complete data on all calls;
4. The data sets have to be harmonised, complete and correct;
5. The system has to allow decentralised access and dedicated access rights;
6. It has to be compatible with EU COM and national requirements (administrative and legal);
7. The system has to be able to exchange data with COM systems;
8. The system has to be able to exchange data with all national systems that manage projects funded by P2Ps;
9. Data should be allow comparison with data from the Framework Programme.

# Scenarios for data collections and options for data management





# Data management: indicative timeline

2021: Operational to manage data on submitted proposals and selected projects

2022: Update of data on funded projects (budgets, start date etc.)

From

2023 on: Annual update of data on funded projects

# Scenario 1: Business as usual

## Decentralised at network level

- Use of individual IT solutions per P2P for proposal submission and evaluation
- Transfer of proposal data to national/regional research funders for grant management
- Transfer of proposal/project data to the central data management system
- Update between proposal/project data in national/regional systems and central data management system

## Scenario 2: (semi-) centralised MS/AC IT system

- Agreement between MS/AC on a single or a small number of standardised IT solutions for proposal submission and evaluation
- Development and implementation of the proposal submission (and evaluation) system(s)
- Transfer of proposal data to P2Ps, and to national/regional research funders for grant management
- Transfer of proposal/project data to the central data management system
- Update between proposal/project data in national/regional systems and central data management system

# Scenario 3: Centralised use of COM IT systems

(applies only to the option of using eCORDA and CORDIS)

- Use of Commission IT tools for proposal submission and evaluation
- Transfer of proposal data to P2Ps, and to national/regional research funders for grant management
- Update between proposal/project data in national/regional systems and COM IT systems

# Centralised data management and call implementation – key issues to be considered

- I. Implications on call preparation / design
- II. Implications on call implementation and evaluation
- III. Implications: from end of evaluation to final reporting and monitoring and evaluation of funded projects

# I. Implications on call preparation / design

## **Which are the activities that are to be considered under this part?**

Depending on P2Ps there may be some variation in design:

- 1-stage / 2-stage
- Choice of call topics: applicants can choose under which (sub-)topic to submit
- Variable geometry: certain topics are not supported by all countries – not all consortia possible, tool must be flexible
- Call documents: mandatory proposal forms (pre/full) specific to network –degree of detail, defined length, technical limit, annex with CVs etc
- Parts of information on proposal/applicants collected in proposal form and in online tool as well

# I. Implications on call preparation / design

## **Working hypothesis for Scenario 1 - Decentralised at network level**

- P2Ps will have to adapt their IT systems to ensure that all information required is collected in a format that can be processed towards the central data system
- Call documents, forms and templates have to be adapted to
  - a) take into account all information needed and
  - b) inform applicants on their data being included and processed

# I. Implications on call preparation / design

## **Working hypothesis for Scenario 2 - (semi-) centralised MS/AC IT system**

- It will be necessary that the Participating States find agreement on one or very few systems, with compulsory use for all networks/initiatives.
- There is a high risk that a newly designed system would not be ready in time due to the complexities of finding an agreement between many countries/partners.
- An agreement to adapt one or few of the existing systems to new specifications can be implemented fairly quickly after an agreement has been reached, including interface with the central data system.
- It requires also an agreement on conditions for the use of the services etc.
- Any system under this approach is likely to have limited functionalities (e.g. only submission, not remote evaluation or reporting).
- The approach will not allow for highly customised configuration.
- The P2Ps will need to adapt their call documents, forms and templates to a common standard, including the information of applicants on their data being included and processed.



# I. Implications on call preparation / design

## **Working hypothesis for Scenario 3 - Centralised use of COM IT systems**

- Providing access (or even decentralised access) to COM IT systems and provision of services requires a major change in policies.
- The use of COM IT systems for proposal submission requires a certain level of adaption to requirements of participating states (e.g. additional data fields to collect information required from a national point of view).
- It will not be possible to customise templates and forms beyond the necessary minimum (e.g. not per call or network/initiative).
- It will not be possible to offer customised evaluation criteria.
- Encoding the call for publication will require close collaboration between P2Ps and COM services.
- The P2Ps will need to adapt their call documents, forms and templates to a common standard, including the information of applicants on their data being included and processed.

# I. Implications on call preparation / design

## **Discussion and feedback:**

- Do you agree/disagree with the hypothesis?
- Are key aspects missing?
- What are major barriers?

## II. Implications on call implementation and evaluation

### **Which are the activities that are to be considered under this part?**

- Role of national funding organisations in evaluation process (stage 1 / stage 2 eligibility checks, assessments)
- Participating funding organisations have access to their proposals
- P2Ps call secretariat matches proposals with evaluators, allocates evaluators to proposals, receives and accepts individual evaluation reports, facilitates consensus (remote/physical)

## II. Implications on call implementation and evaluation

### **Working hypothesis for Scenario 1 - Decentralised at network level**

- Once the IT systems and call documentations have been adopted no further direct implications.
- No efficiency gains from more advanced solutions and services (e.g. IT systems for remote evaluation, documentation, reporting).
- Overall higher costs due to the maintenance of many individual systems.
- Individual P2Ps will continue to further develop their systems according to individual needs, with likely duplication of efforts.
- Transfer of data to the central system will be done manually.
- Data quality, completeness and timeliness remain a major issue.
- The efforts to collect and clean up data remain high.

## II. Implications on call implementation and evaluation

### **Working hypothesis for Scenario 2 - (semi-) centralised MS/AC IT system**

- There is a need to provide documentation and training for the users.
- “Customer service” requires important resources for the providers of the system(s).
- Possibility to develop over time more advanced solutions and services (e.g. IT systems for remote evaluation, documentation, reporting).
- Data quality, completeness and timeliness are substantially improved .
- Transfer of data to the central system will be standardised and does not require further efforts to collect and clean up data.
- IT systems at national/regional systems for grant need to be adopted to all standardised import of data.
- Applicants will appreciate a more standardised preparation and submission of proposals.

## II. Implications on call implementation and evaluation

### **Working hypothesis for Scenario 3 - Centralised use of COM IT systems**

- There is a need to provide documentation and training for the users.
- “Customer service” requires resources for the COM services.
- P2Ps benefit from the use of the remote evaluation systems.
- Networks benefit directly from progress in solutions and services.
- No issues with data quality, completeness and timeliness.
- Export of data to the P2Ps and national/regional systems for grant management is standardised.
- IT systems at national/regional systems for grant need to be adopted to all standardised import of data.
- Applicants will appreciate a more standardised preparation and submission of proposals.

## II. Implications on call implementation and evaluation

### **Discussion and feedback:**

- Do you agree/disagree with the hypothesis?
- Are key aspects missing?
- What are major barriers?

# III. Implications: From end of evaluation to final reporting and monitoring and evaluation of funded projects

## **Which are the activities that are to be considered under this part?**

- Applicants receive feedback emails with evaluation results
- Call secretariat compiles call results/statistics
- Define procedure for collecting/compiling results from monitoring of funded projects at national/regional level and at network level: role of individual funding organisations, role of call secretariat, defined amount of online/offline information
- Funding organisations provide regular updates of financial information (requested/granted funding), contact information – reminder notifications
- Prepare & disseminate online questionnaire for impact assessment after projects have finished, analyse results



# III. Implications: From end of evaluation to final reporting and monitoring and evaluation of funded projects

## **Working hypothesis for Scenario 1 - Decentralised at network level**

- The large number of interfaces between networks and research funders will be a dis-incentive to develop automated protocols for data exchange.
- The centralised data will remain incomplete and out of date since the regular update of data between national/regional systems and the central data management system is a major bottleneck.
- In many cases data needs to be processed manually.

# III. Implications: From end of evaluation to final reporting and monitoring and evaluation of funded projects

## **Working hypothesis for Scenario 2 - (semi-) centralised MS/AC IT system**

- The centralisation in one or few systems will facilitate automated protocols for data exchange.
- Maintaining the centralised data complete and up to date require automated regular update of data between national/regional systems.
- National/regional IT systems will need to be adapted in order to allow regular update of data.
- In some cases data will still need to be processed manually.

# III. Implications: From end of evaluation to final reporting and monitoring and evaluation of funded projects

## **Working hypothesis for Scenario 3 - Centralised use of COM IT systems**

- The centralisation of data in eCORDA and CORDIS will create peer pressure to ensure data remains complete and up to date.
- National/regional IT systems will need to be adapted in order to allow regular update of data.
- In some cases data will still need to be processed manually.

III. Implications: From end of evaluation to final reporting and monitoring and evaluation of funded projects

### **Discussion and feedback:**

- Do you agree/disagree with the hypothesis?
- Are key aspects missing?
- What are major barriers?

# Comparative assessment of scenarios

	Scenario 1	Scenario 2	Scenario 3
Single system for P2P calls			
Operational 2021			
All calls are covered			
Harmonised, complete and correct data			
Decentralised access			
Dedicated access rights			
Compatible with EU COM and national requirements			
Exchange data with COM systems			
Exchange data with all national systems			
Comparable with FP data			

# Conclusions and next steps

## **Follow-up research funders**

1. .
2. ..

## **Follow-up MS/AC (ERAC)**

1. .
2. ..

## **Follow-up ERA-LEARN**

1. .
2. ..

## **Follow-up COM**

1. .
2. ..