

Draft deliverable D1 of the Transitional Forum of R&I Partnerships

Recommendation for the scope and structure of the biennial monitoring and the necessary processes and data request

Background

The monitoring of European Partnerships and other R&I partnerships of European relevance will be a main visible output of the Forum. Therefore, the Transitional Forum will propose the scope and structure for the monitoring to ensure systematic overview of the overall partnership landscape. This will provide the necessary evidence base to guide the effective and efficient implementation of partnerships throughout their lifecycle, and inform the strategic discussions on the partnership policies. The information provided through the monitoring should feed a political debate on the partnership landscape, including how it fits with the overall R&I system and development of ERA. It should also be a tool to help to understand how national activities and programmes support the achievement of commonly agreed objectives, and how partnerships create impacts at national/regional level.

A. Overall ambition and objective

All European Partnerships will need to establish a monitoring system that can track progress towards objectives, impacts and key performance indicators. The monitoring of European Partnerships will allow¹:

- a) Assessing the effectiveness of the new policy approach for European Partnerships and the higher ambition for mobilisation of resources, achievements of objectives and impacts (compared to traditional calls under the Framework Programme);
- b) Assessing impacts of European Partnerships and underlying activities, individually and collectively;
- c) Identify weaknesses during implementation, e.g. insufficient contributions, coherence and collaboration, openness and accessibility of partnerships;
- d) Support exploitation and valorisation of results, and in particular provide input to policy making for the Commission Services and national administrations.

An important part of this will be linked to the projects funded by partnerships and their outcomes, results and impacts. At the level of the individual projects, the monitoring should be simplified and standardised as much as possible.

¹ If Member States agree to expand the scope beyond European Partnerships (see point B), then this would in particular address the point d).

B. Scope

The monitoring of Partnerships should cover European Partnerships (co-programme, co-funded, Article 185, Article 187 and EIT KICs) under Horizon Europe, as well as, if agreed among Member States, other R&I partnerships of European relevance, e.g. ERA-NETs and JPIs with ongoing activities outside European Partnerships. If there is no overall agreement on expanding the scope, then an opt-in mechanism could be foreseen for initiatives that, on a voluntary basis, would want to include their data in the common system.

C. Structure / presentation

The monitoring will consist of:

- a) A continued display of data and analysis automatically generated on the Dashboard for the Framework Programme (Funders portal), including budget allocation to partnerships and their projects, participation and success rates (per cluster and/or type of partnership);
- b) Specific analysis and aggregated data for the portfolio of partnerships, including Union contribution and financial and/or in-kind contributions from partners and broader leverage effects. This will also aggregate information on Partnerships supporting EU policy priorities (The Green Deal, An economy that works for people, A Europe fit for the digital age);
- c) Specific progress reports per partnership (main achievements with respect to objectives, success stories) ;
- d) Country reports on related policies, investments, deployment (demand side) and impacts.

The specific elements (b – d) will be provided for defined points in time (at least every two years).

D. Data requirements

The monitoring of Partnerships will require data and qualitative information covering a broad range of activities that needs to be drawn from different sources:

1. Data related to calls and projects of Partnerships (submitted proposals, selected projects and their results, outcomes and impacts), integrated in the COM IT systems (CORDA) and directly accessible via eCORDA and the dashboard;
2. Information on other activities of Partnerships and their results, outcomes and impacts;
3. Broader socio-economic and scientific data related to the partnership portfolio and individual partnerships;
4. Country specific data and information, including on monitoring and evaluating their participation in partnerships, in particular on impacts at national level.

Data on projects will be crucial in understanding which the individual participants are in all projects (unique identifiers). Once integrated in the common IT tools, all projects, including those funded between MS, will be part of the overall assessments of outputs and impacts. It will be possible to use structured reference to the funding source in publications, patents and other intellectual property rights (IPR) applications, and make use of available data and links to relevant existing databases (e.g. on businesses, research outputs), also supporting further simplification and data reliability. Certain data will only become available over time as partnerships progress in their implementation. Data on previous and ongoing partnerships will be integrated as much as possible.

In addition, specific key performance and impact indicators for partnerships in general, and for individual partnerships, will need to be considered, including those related to national impacts. Societal impacts and qualitative impacts are considered particularly important and should be adequately reflected, e.g. in success stories from partnerships (e.g. on science for policy or successful synergies). At project level, indicators tracking societal impact will be aligned with the overall approach for Horizon Europe.

A number of data issues have to be resolved by the end of 2020 in order to have complete data:

- Data on calls, proposals and projects in initiatives with MS participation;
- Data on KICs and their activities;
- Specification of data to be provided from the national level, and for which purpose.

It is important to define the data that is relevant from the Countries' national perspective. Countries could consider coordinating/synchronising their national (impact) assessments on their participation in partnerships so that it could feed the monitoring.

E. Process and timing

The monitoring will be coordinated by the Commission services, maximising the data and information that can be collected and analysed with standard processes of the Framework programme. Initiatives will ensure timely delivery, completeness and quality of data. This is critical in particular for those that rely on partially or fully decentralised implementation (Initiatives with MS participation, EIT-KICs). Initiatives will furthermore contribute with qualitative elements, dedicated issues to be addressed and fiches per partnership. Participating States will provide additional information needed from the national context (subject to prior definition between MS). If necessary, gathering of further input or analytical support can be supported by experts or studies. The final compilation of the monitoring will be led by the Commission services.

A first comprehensive monitoring should be foreseen for the end of 2021, covering in particular the Partnership landscape in relation to Union and Horizon Europe priorities, including composition of partnerships, overall planned budget allocations, and comparison to Horizon 2020.

A dedicated monitoring as input to the Horizon Europe interim evaluation will provide data at project level for the first years of calls, as well as at partnerships level and an initial input to the phasing out discussion.

Annex: Monitoring of European Partnerships under Horizon Europe

In Horizon Europe, Partnerships need to follow a monitoring system that is in line with the requirements set out in Article 45 of HE Regulation. The monitoring will therefore track progress of elements named in Article 45, as well as track progress towards partnership criteria not covered there (e.g. contributions/budgets, leverage). The monitoring system will also include sector or industry specific KPIs, related to the objectives and vision of the partnership (including international benchmarking, if relevant).

Partnerships will also be part of tracking impacts in Horizon Europe through impact pathways (Annex V of the Regulation):

The approach for tracking impacts across Horizon Europe will be based on key impact pathways that require to:

- Know who the individual participants are in all projects, e.g. through the collection of unique identifiers of researchers and companies;
- Track the framework programme outputs better, through a structured reference to the funding source in publications, patents and other intellectual property rights applications;
- Make more use of available data and links to relevant existing databases (e.g. on businesses, research outputs), also supporting further simplification and data reliability;
- Improve our tracking of the societal impact of projects (portfolios);
- Aligning reporting systems (and data models) and use common definitions for the key indicators behind the Pathways (under development).

