



Public Consultation on the Evaluation of Article 185 Initiatives



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European Commission
Directorate-General for Research and Innovation
Directorate B — Open Innovation and Open Science
Unit B.2 — Open Science and ERA policy

Contact: Andrei LINȚU

E-mail: RTD-185-EVALUATION@ec.europa.eu ec.europa.eu
andrei.lintu@ec.europa.eu
RTD-PUBLICATIONS@ec.europa.eu

European Commission
B-1049 Brussels

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1. INTRODUCTION

This document presents an overview of the outcomes of the Public Consultations related to the Evaluation of Article 185 initiatives. They cover notably two final evaluations of initiatives funded under Framework Programme 7 (the BONUS 'Joint Baltic Sea Research Programme' and the European Metrology Research Programme EMRP) and four interim-evaluations of initiatives funded under Horizon 2020 (the Active and Assisted Living R&D Programme (AAL2), the European and Developing Countries Clinical Trials Partnership 2 (EDCTP2), the European Metrology Programme for Research and Innovation (EMPIR) and Eurostars2 for R&D performing SMEs.

The main source is the online survey with a general part of Article 185 initiatives and specific sections on AAL2, Bonus and Eurostars (open for submission from 27 January – 30 April 2017)¹. The data for EMRP/EMPIR and EDCTP2 stem from dedicated public consultations. In total 727 replies have been submitted to the different public consultations covered by this report, 410 for the general consultation, 67 for EDCTP2 and 250 for EMRP/EMPIR.

This document presents in Section 2 the profile of the respondents to the general public consultation on Article 185 initiatives and Section 3 presents the outcomes of the general questions. Sections 4 – 8 present the outcomes for the individual initiatives.

2. PROFILE OF RESPONDENTS

A total of 410 responses from the general consultation have been received, with a majority (54%) replying in their personal capacity as an individual and a great share (44%) replying on behalf of a single institution or company. A small amount of responses (2%) were received on behalf of an "umbrella" organisation of EU interest.

Figure 1 presents the type of organisation replying to the survey. The main contributions from organisations covering 85% of the replies were received with 35% from businesses (all but one of them being SMEs), 27% from public authorities and 23% from research organisations (23%). 33% of the organisations replying indicate that they are included in the Transparency Register.

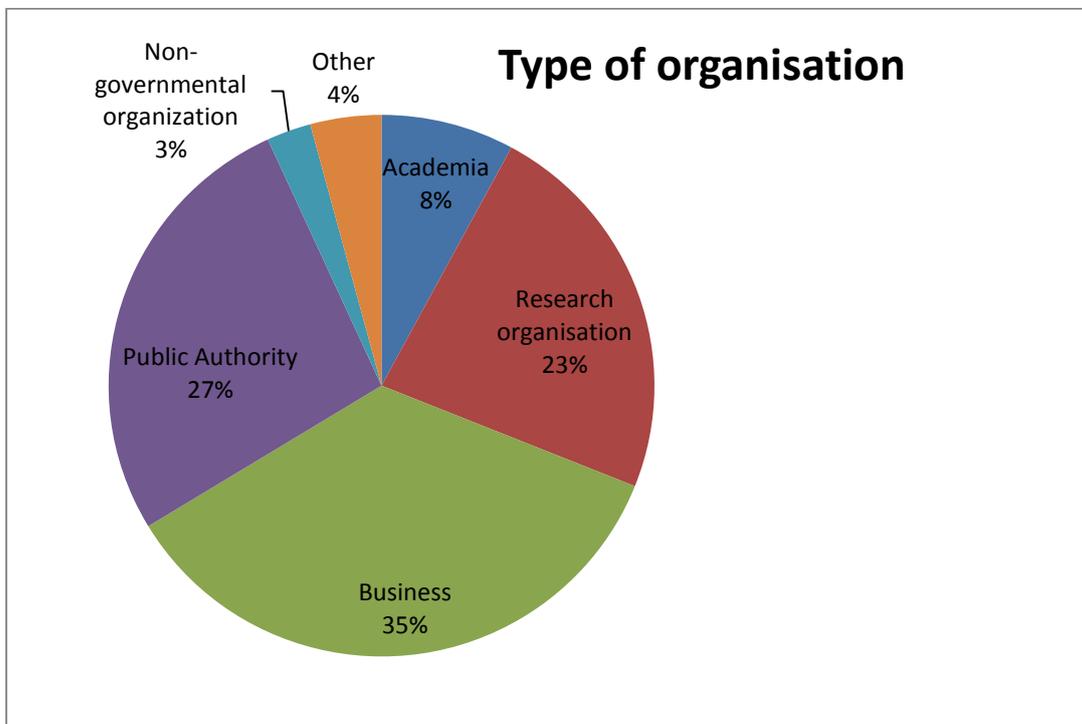


Figure 1: Replies to the public consultation Article 185 by type of organisation

¹ More details about the consultation can be found online: http://ec.europa.eu/research/consultations/pp_partnerships_art185/consultation_en.htm

Replies cover a large number of countries, mainly from the different EU Member States (85%). 12% of the replies come from countries associated to Horizon 2020, the remaining 3% form the following third countries (Australia, Belarus, Brazil, Russia, South Africa, South of Korea and United States). Figure 2 shows the distributions of responses across the different EU Member States, with the largest contributions from Spain, Germany, Denmark, Italy and the Netherlands.

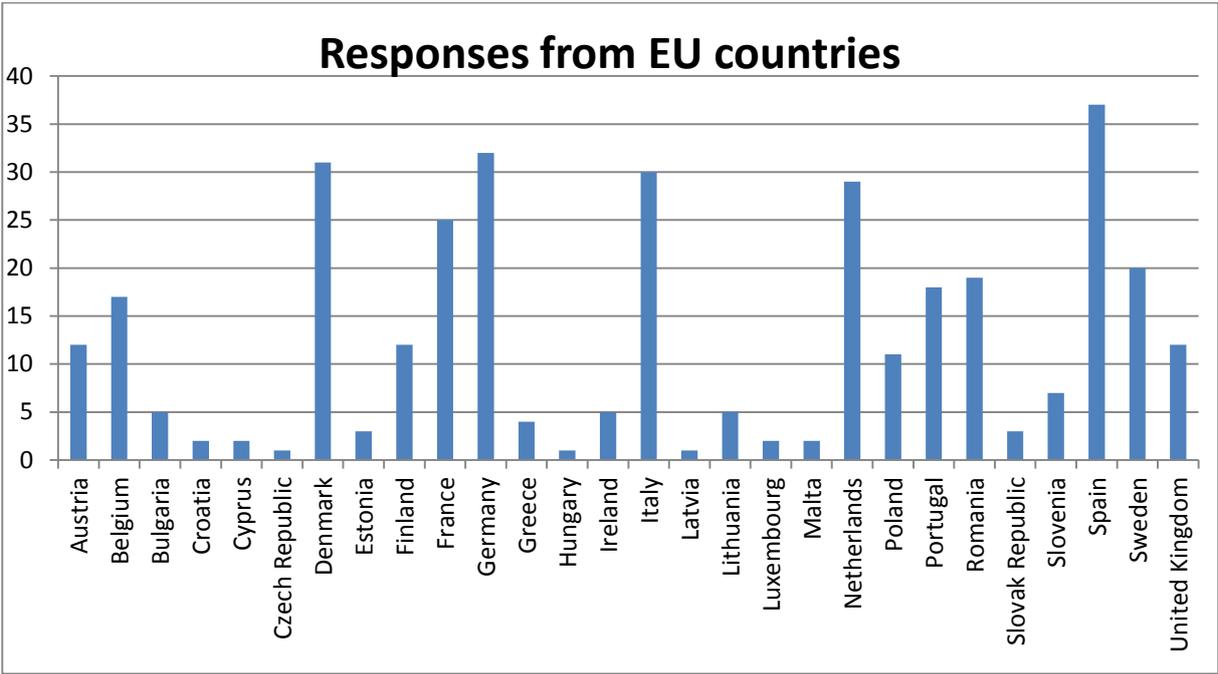


Figure 2: Number of replies to the public consultation Article 185 by EU Member State

The majority of the respondents (58%) have received support from Horizon 2020, thus allowing them to directly compare implementation under Horizon 2020 with implementation under Article 185 initiatives. The majority of the respondents (62%) were involved in one or more Article 185 initiatives whereas 38% were not involved in any Article 185 initiatives.

Respondents were requested to indicate in which way they are involved with the Article 185 initiatives. The main involvement was (30%) having received funding, followed by those that had applied for funding (24%) and stakeholders involved in the preparation and management of the initiatives (20%). 12% of the respondents have participated as Evaluators, 6% as scientific advisors to a programme and 8% are users of project results.

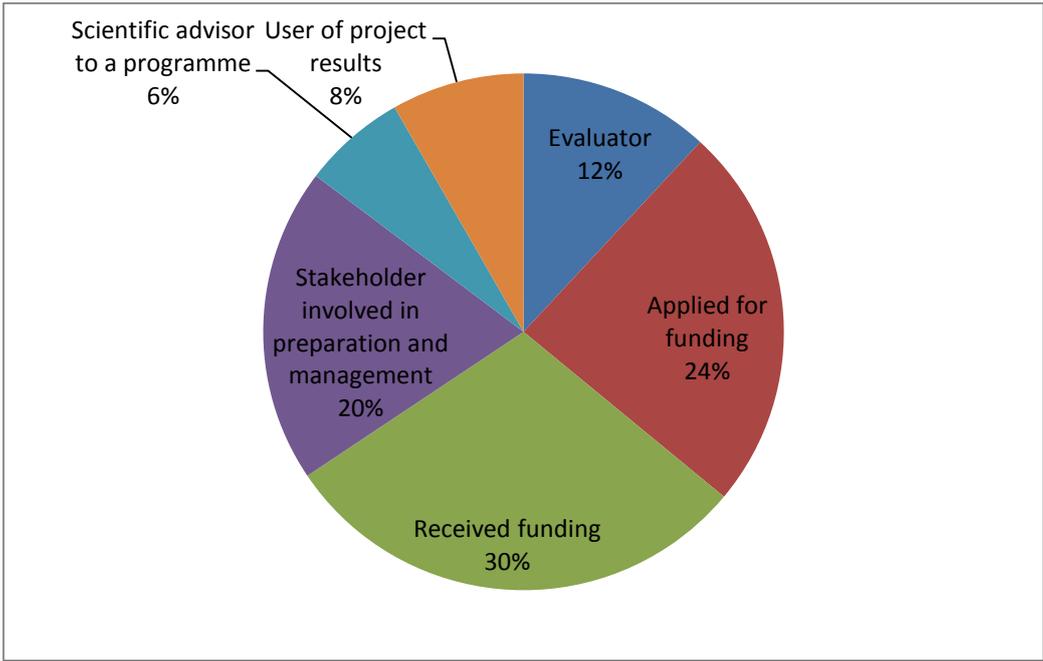


Figure 3: Type of involvement of respondents in Article 185 initiatives

3. SUMMARY OF THE RESULTS FOR QUESTIONS RELATED TO ALL ARTICLE 185 INITIATIVES

Following the principles of the Better Regulation "Toolbox", the public consultation assessed the view of participants on the following main evaluation criteria for Article 185 initiatives:

- EU Added Value
- Relevance (both at EU and National level)
- Coherence
- Effectiveness
- Efficiency

Furthermore, respondents could provide input on possible areas of improvement for the future design and implementation of Article 185 initiatives by identifying priority areas for recommendations.

3.1 EU Added Value

Participants were asked to assess several statements covering dimensions of EU added value of Article 185 initiatives (Figure 4). Overall there is a strong confirmation of respondents for the different dimensions of EU added value of Article 185 initiatives, with all but one statement receiving between 82% and 94% support (Strongly agree and agree replies). The three highest scoring statements are:

- Allow national R&I capacity building as well as access to foreign knowledge
- Fund high quality R&I projects which cannot be realized at national level alone
- Provide knowledge gains with respect to programme development and implementation

The comparatively lowest agreement with 64% is recorded for the question Raising the attractiveness for foreign researchers to work in your country.

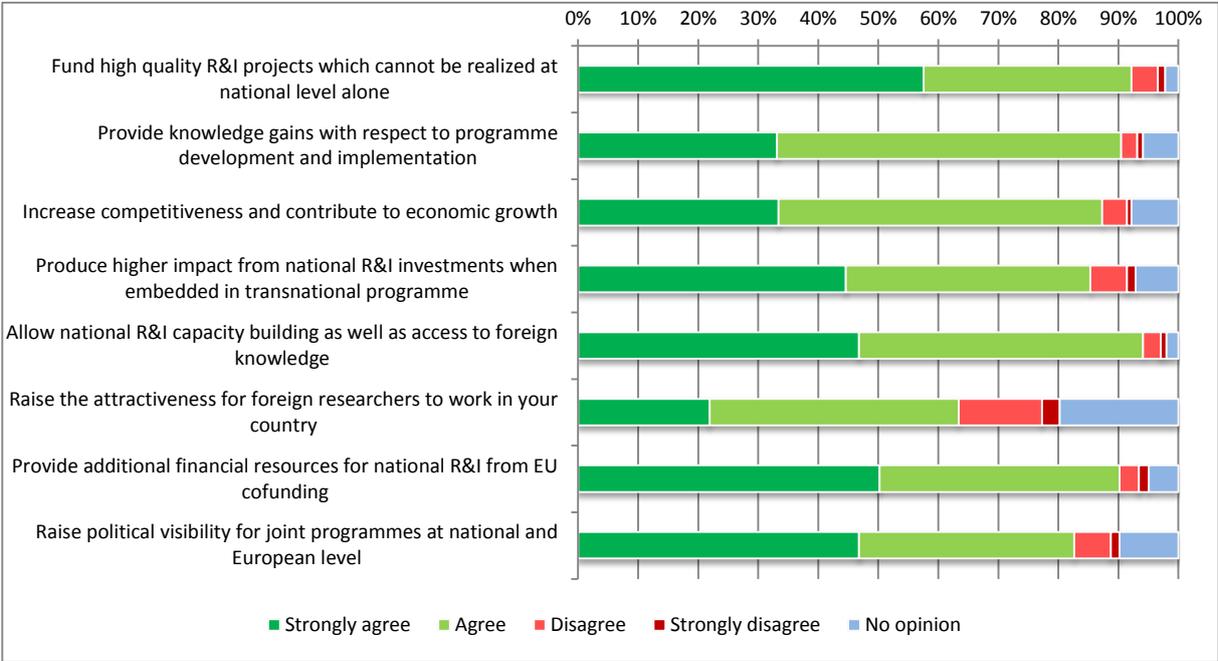


Figure 4: Assessment of EU added value of Article 185 initiatives

Stakeholders confirm strongly a broad range of dimensions of EU added value of Article 185 initiatives. They cover well the project level (high quality R&I projects not realisable at national level, supporting competitiveness) and in particular point towards programme level dimensions (higher impacts from transnational programmes, knowledge gains).

3.2 Relevance

Respondents were asked to provide their views on statements that allow assessing the relevance of Article 185 initiatives for EU policy objectives. An overview of all replies to the questions is presented in Figure 5. In general respondents confirm the relevance, all dimensions score with at least 50% agreement (and never more than 12% disagreeing). For around 1/3 of the statements a large share of respondents did not give an opinion.

The five policy areas perceived as most relevant with more than 85% agreeing or strongly agreeing are:

- Building a society and an economy based on knowledge and innovation;
- Supporting the development of the European Research Area, a unified area open to the world, in which scientific knowledge, technology and researchers circulate freely;
- Supporting science with and for society
- Spreading excellence and widening participation;
- Fostering excellent science;

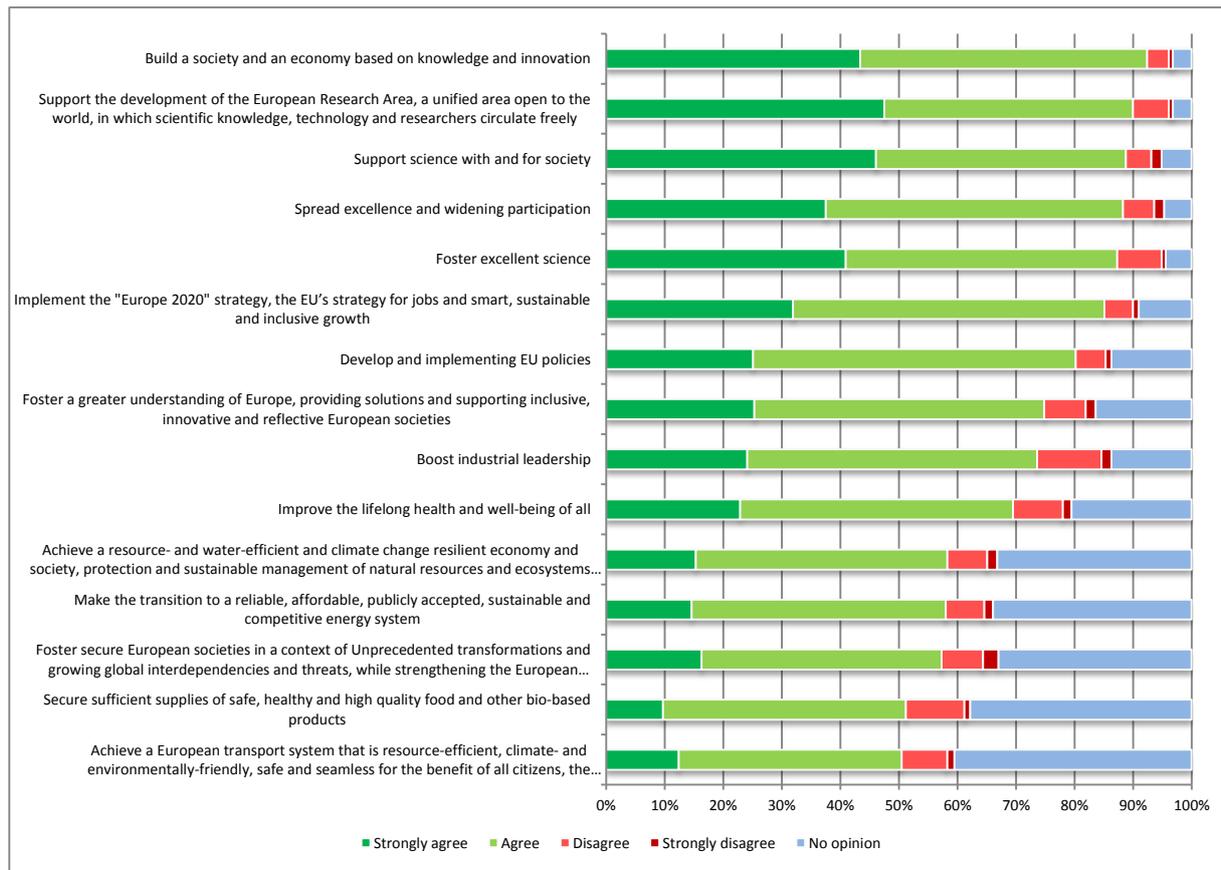


Figure 5: Article 185 initiatives and their relevance for EU policy objectives

Respondents confirm that Article 185 initiatives are highly relevant for achieving EU policy objectives. They are perceived to be particularly relevant for building a society and economy based on knowledge and innovation, they support the European Research Area and society at large, are considered highly relevant in spreading excellence and widening participation and in general foster excellent science. Furthermore they are considered as highly relevant for the country specific thematic context.

Furthermore, participants were asked to assess the relevance of Article 185 initiatives in their specific thematic context for the country they are based in. The majority of respondents (65%) assessed the relevance of Article 185 initiatives in their specific thematic contexts for the country they are based in as high, with (20%) assessing it as low and 15.12% replying "Don't know".

3.3 Coherence

Participants in the survey were inquired about the coherence of Article 185 initiatives with other Horizon 2020 initiatives, EU policies in general as well as national policies. An overview of all replies to the questions is presented in Figure 6.

Respondents agree to the overall coherence of Article 185 initiatives with the different dimensions of Horizon 2020 and EU policies. The question related to the orientation of Article 185 initiatives towards national policy objectives clearly stands out from all the others and shows that Article 185 initiatives are strongly perceived to be geared towards Horizon 2020 policy objectives rather than towards national policy objectives.

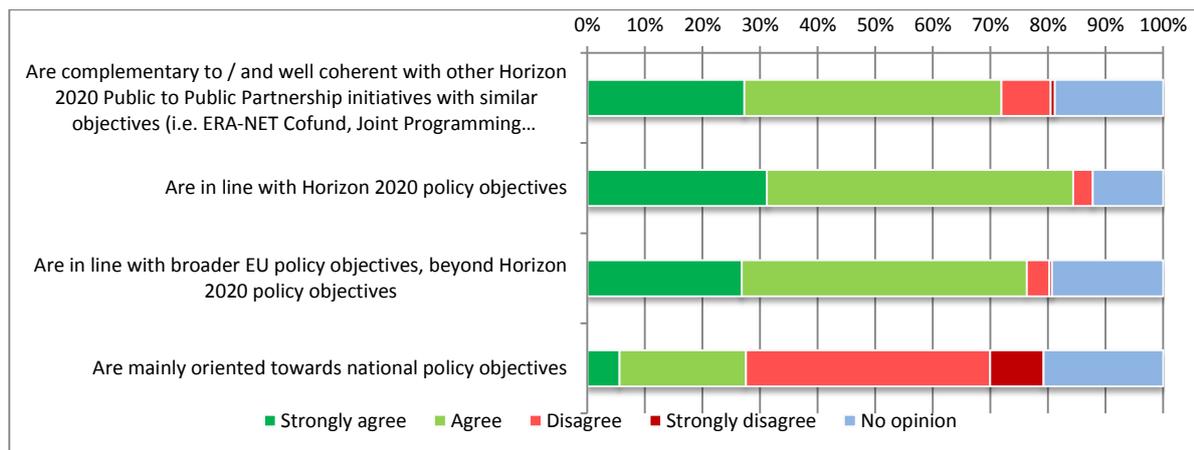


Figure 6: Article 185 initiatives and their relevance for EU policy objectives

Respondents confirm the overall coherence of Article 185 initiatives with Horizon 2020 and broader Union policies. They are perceived to be less oriented towards national policies.

3.4 Effectiveness

Participants in the survey were asked to provide their assessment on the effectiveness of Article 185 initiatives. An overview of all replies to the questions from this section is presented in Figure 7. In general there is a strong overall agreement with the different statements covering effectiveness dimensions. Article 185 initiatives provide an easy access to cross border cooperation (91% agreement) and allow for projects that could neither be realised at national level (85%) nor under Horizon 2020 (64%). Only 15% of respondents disagree with the statement that they allow for easier cross border collaboration than Horizon 2020. They are considered to effective in contributing to a better integration (minimum 58%), with scientific integration standing out with 90% agreement.

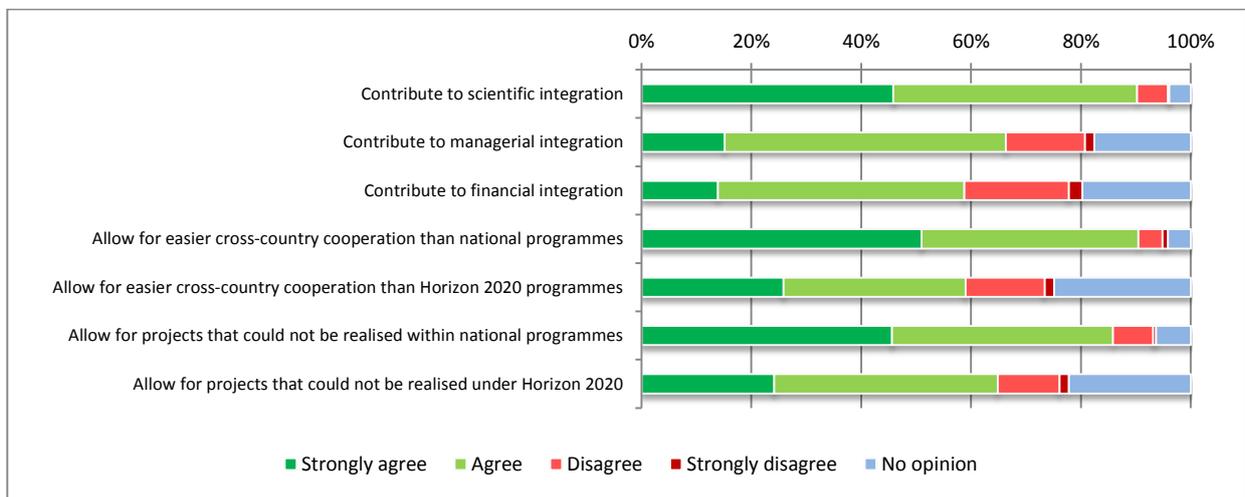


Figure 7: Effectiveness of Article 185 initiatives

Stakeholders consider Article 185 initiatives as effective. They contribute to the different levels of integration, in particular the scientific integration. Article 185 initiatives are recognized to allow for easier cross-country cooperation than national programmes or Horizon 2020 and allow projects that otherwise would not be realised.

3.5 Efficiency

Participants in the survey were asked to assess the efficiency of Article 185 initiatives. An overview of all replies to the questions is presented in the Figure 8.

Overall respondents agree with the statements supporting the efficiency of Article 185 initiatives, but to a lesser extent than for the other evaluation criteria. The majority of the respondents agree (Agree and Strongly Agree responses) that Article 185 initiatives provide an appropriate level of administrative burden for Participating states, and are straightforward and simple in their implementation and preparation. The cross border dimension of project funded under Article 185 initiatives lead however to additional burden for applicants, compared to national projects, as confirmed by 50% of the responses. They are however considered to be less burdensome for applicants than Horizon 2020 projects.

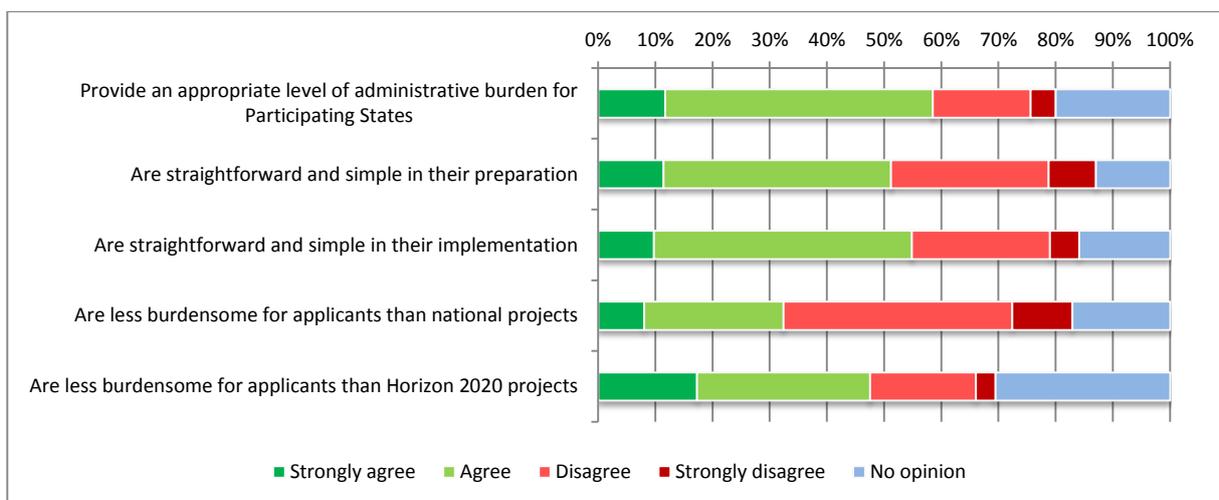


Figure 8: Efficiency of Article 185 initiatives

Respondents agree mainly that Article 185 initiatives provide an appropriate level of administrative burden and relatively straightforward and simple in their implementation and preparation. Funded projects are considered to be more burdensome for applicants than national projects, and still 48% of respondents think they are less burdensome than Horizon 2020 projects.

3.6 Future recommendations

Participants in the survey were asked to identify about areas for improvement for Article 185 initiatives. An overview of all replies to the questions is presented in Figure 9 below.

In general they agreed with the proposed areas for performance improvement. They call in particular for

- Increased national budgets (74%);
- Better harmonisation of funding rules (73%);
- Better coordination between national stakeholders (72%).

The lowest agreement (52%) was recorded for reducing the multiplicity of instruments.

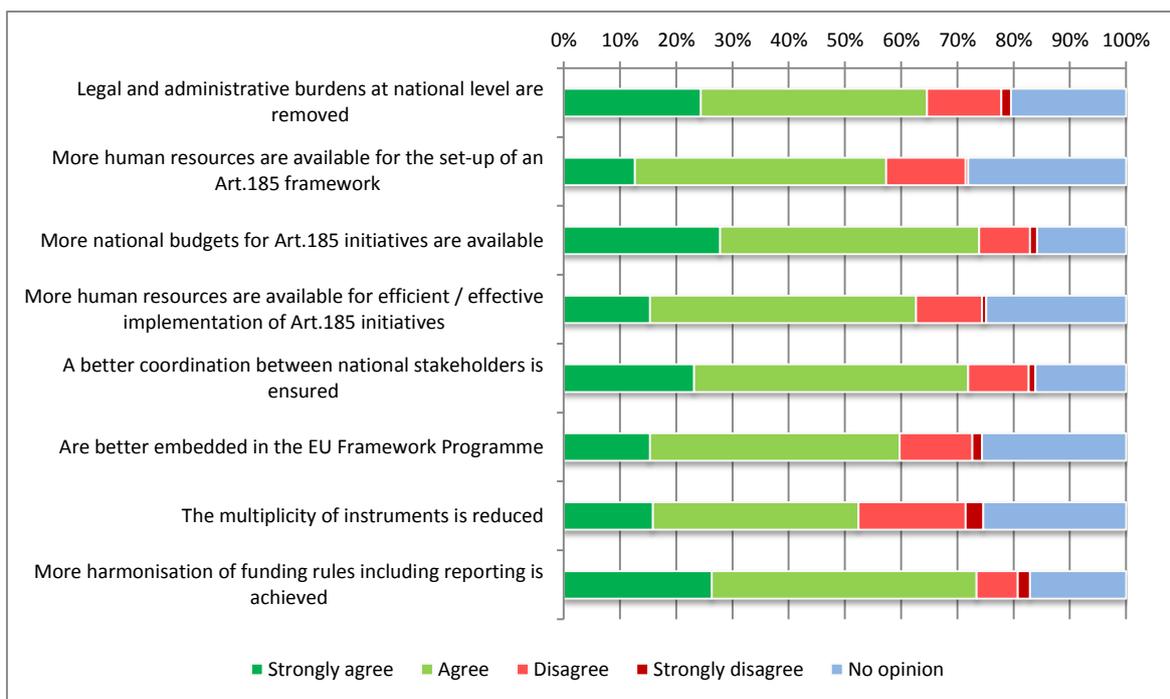


Figure 9: Areas for improvement: recommendations for future Article 185 initiatives

The areas proposed for performance improvement of Article 185 initiatives were broadly endorsed by the respondents, in particular those addressing national dimensions of increased budgets, better stakeholder coordination and harmonized funding rules.

4. AAL2

The Active and Assistive Living (AAL) programme funds projects in the field of information and communication technology (ICT) for active and healthy ageing since 2008. The programme was renamed in 2014 after being renewed for a second phase (the first was from 2008 until 2013 and was named Ambient Assisted Living Joint Programme) and it is co-financed by the European Commission – under Horizon 2020– and 19 countries.

The overall objective of AAL is to enhance the quality of life of older adults while strengthening the industrial base in Europe through the use of ICT. Since 2008, AAL has issued 7 calls for proposals each focusing on different issues and has funded 154 trans-national innovations projects with over 1000 partners. Almost half of these project partners are small and medium enterprises (SMEs), which are collaborating with user organisations, large enterprises, universities and research organisations in the development of innovative solutions.

Additional information can be found at: www.aal-europe.eu

Who participated in the stakeholder consultation?

The online public consultation was answered by 72 respondents, with the following profiles:

- 47% from individuals;
- 3% from representatives of "umbrella" organisations of EU interest; and
- 50% from representatives of a single institution or a company.

The largest proportion of the category of those who responded on behalf of a single institution / company were representatives of public authorities (42%). Furthermore, nine research organisations and eight businesses have answered (of which one third were SMEs). Answers came from EU countries and from Ukraine.

4.1 European Added Value

Respondents were asked to provide their views on the EU added value of the AAL2 Programme.

The questions from the general part of the public consultation do not show significant differences for AAL2 respondents, confirming the EU added value of the programme at both project and programme level.

Participants were asked to assess the amount of EU financial contribution (maximum 175 million EUR) for the programme. 61% of respondents consider the EU financial contribution to the programme as "adequate", compared to 22% considering it "too small" and with 6% of the respondents considered it as too high. The EU added value of its financial contribution stems from the fact that it is used to ensure critical mass in the field of the programme.

4.2 Relevance

The questions from the general part of the public consultation do not show significant differences for AAL2 respondents. They confirm the relevance of the programme for building a society and economy based on knowledge and innovation, they support the European Research Area and society at large, are considered highly relevant in spreading excellence and widening participation and in general foster excellent science.

4.3 Coherence

The questions from the general part of the public consultation do not show significant differences for AAL2 respondents, confirming the coherence of the programme with other similar EU initiatives. Furthermore, the objectives of the programme are perceived to be more geared towards Horizon 2020 than national policy objectives.

Respondents were asked to provide their views on the coherence with EU initiatives of similar objectives as the AAL2 Programme. 64% of the respondents consider the AAL2 programme as being coherent with other similar EU initiatives.

4.4 Effectiveness

The questions from the general part of the public consultation do not show significant differences for AAL2 respondents, confirming the effectiveness of the programme. The programme contributes to the different levels of integration, in particular scientific integration. Moreover, the initiative is recognized to allow for easier cross-country cooperation than national programmes or Horizon 2020 and allow projects that otherwise would not be realised.

In the AAL2 specific part of the survey, participants were inquired about the effectiveness of the Programme.

Overall, the majority of the respondents consider the AAL2 programme effective in reaching its objectives. Figure presents an overview of the questions relating to the programme reaching its objectives. With approximately 50% of agreement and 42% disagreement, respondents were less positive when compared to all other objectives with regard to the objective of *developing cost-effective, accessible and, where relevant, energy-efficient solutions, including establishing relevant inter-operability standards and facilitating the localisation and adaptation of common solutions which are compatible with varying social preferences, socio-economic factors (including energy poverty, social inclusion), gender aspects, and regulatory aspects at national or regional level.*

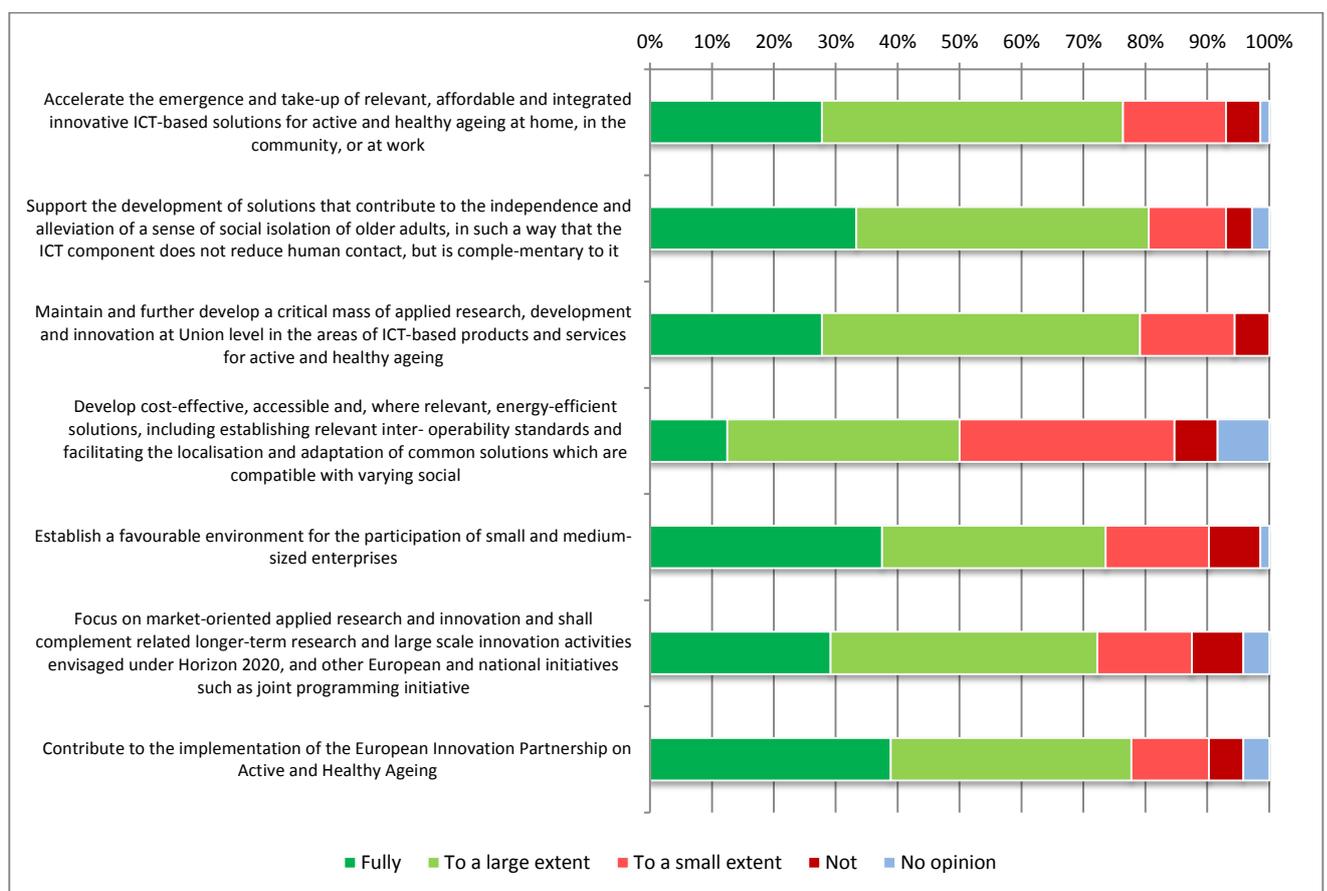


Figure 10: Assessment of the effectiveness in reaching the objectives of AAL2

Participants to the survey were asked whether there are sufficient budget contributions from Participating States to achieve the objectives of the AAL2 Programme. The majority of the respondents (60%) consider that there are insufficient budget contributions from Participating States to achieve the objectives of the programme.

When asked whether the design and performance of AAL2 is in line with the spirit of Art.185 of TFEU in particular concerning financial, managerial and scientific integration, the majority of the respondents (67%) consider this to be the case with 11% of the respondents disagreeing.

Finally, respondents were asked about the accessibility of the AAL2 Programme for its target group, in particular SMEs. 82% (Yes and To a large extent responses) of respondents consider the programme to be accessible.

4.5 Efficiency

The questions regarding the efficiency of Article 185 initiatives in general (Section 3.5) have been assessed for the subset of AAL2 respondents. The replies confirm the overall answers to those questions, with overall more positive replies. Respondents consider the initiatives provide an appropriate level of administrative burden and are relatively straightforward and simple in their implementation and preparation. In particular, the question on Article 185 projects being less burdensome than Horizon 2020 projects raised over two thirds of positive answers (compared with under 50% of positive replies for all Article 185 initiatives).

The specific part of the survey asked about the cost-effectiveness of the AAL2 programme so far. 61% of the respondents think the programme is cost-effective while 29% of the participants to the survey think AAL2 has not been cost-effective so far.

4.6 Future recommendations

Respondents were asked to give feedback for the future implementation and set-up of AAL2.

When asked about measures to maximise future impact in the field of active and healthy ageing, the majority of the respondents (54%) responded that the programme should widen its scope, while 27% of respondents would like to keep the existing scope.

Furthermore, participants to the survey were asked about which form of public financing at European level should be used for funding of innovation and research in the area of the active and healthy ageing. 61% of the respondents consider that the funding of innovation and research in the area of the active and healthy ageing should continue with Public-Public Partnerships with Union participation whereas 25% of the respondents consider this should be done via Public-Private Partnerships.

Finally, when asked if they would be in favour of a future AAL2 programme, a majority of 79% of the respondents agreed to the continuation of the joint programme with the participation of both the Participating States and the EU.

5. EUROSTARS2

This section presents an overview of the 93 replies to the Public Consultation related to Eurostars2 initiative.

Eurostars2 supports international innovative projects led by research and development- performing small- and medium-sized enterprises (R&D-performing SMEs). With its bottom-up approach, Eurostars2 supports the development of rapidly marketable innovative products, processes and services that help improve the daily lives of people in Europe. Eurostars2 has been carefully developed to meet the specific needs of SMEs. It is a first step in international cooperation, enabling small businesses to combine and share expertise and benefit from working beyond national borders.

Eurostars2 is a joint programme between EUREKA and the European Union, co-funded from the national budgets of 36 Eurostars Participating States and Partner Countries and by the European Union through Horizon 2020. In the 2014-2020 period it has a total public budget of up to €1.14 billion.

Additional information can be found at www.eurostars-eureka.eu/about-eurostars

Who participated in the stakeholder consultation?

About two thirds of the respondents belong to a single institution or company, one third replied in their individual capacity. From the replies belonging to single institutions or companies, 58% of respondents were business organisations (among which two thirds SMEs), 22% public authorities and 15% universities. In terms of geographic coverage, nearly 50% of respondents are originating from 5 countries: Belgium (16%), Norway (10%), Spain, Greece (8%) and Italy (7%).

Respondents have a good level of familiarity with the Eurostars2 programme (81% having a *fair* or a *very good* knowledge with it), while only 3% of respondents consider it low. Moreover, 67% of respondents have already participated in a Eurostars (1 or 2) programme.

Most of respondents (near 35%) know about the Eurostars Programme through national / regional networks (NPS, NCP, EEN, authorities, innovation agencies...) followed by "Media" (23%).

5.1 EU Added Value

The questions from the general part of the public consultation do not show significant differences for Eurostars2 respondents, confirming the EU added value of the programme at both project and programme level.

In the Eurostars2 specific part of the survey, respondents were asked to provide their views on the EU added value of the Programme.

None of the respondents considered the amount of EU financial contribution (maximum 287 million EUR) too high, with 47% of respondents considering the EU financial contribution to the programme "adequate", compared to 40% considering it "too small".

When asked whether the design and performance of Eurostars2 is in line with the spirit of Article 185 of TFEU in particular concerning financial, managerial and scientific integration, the majority of the respondents (60%) consider this to be the case with 13% of the respondents disagreeing.

5.2 Relevance

The questions from the general part of the public consultation do not show significant differences for Eurostars2 respondents. They confirm the relevance of the programme for building a society and economy based on knowledge and innovation, they support the European Research Area and society at large, are considered highly relevant in spreading excellence and widening participation and in general foster excellent science.

Furthermore, participants in the survey were inquired about the relevance of the Eurostars2 Joint Programme. An overview of the replies is presented in Figure 7.

79% of the respondents consider that Eurostars2 contributes to the general objectives of Horizon 2020 to be more oriented towards innovation and economic impact. Furthermore, respondents perceive the design of Eurostars2 (79% agreement) as adequate.

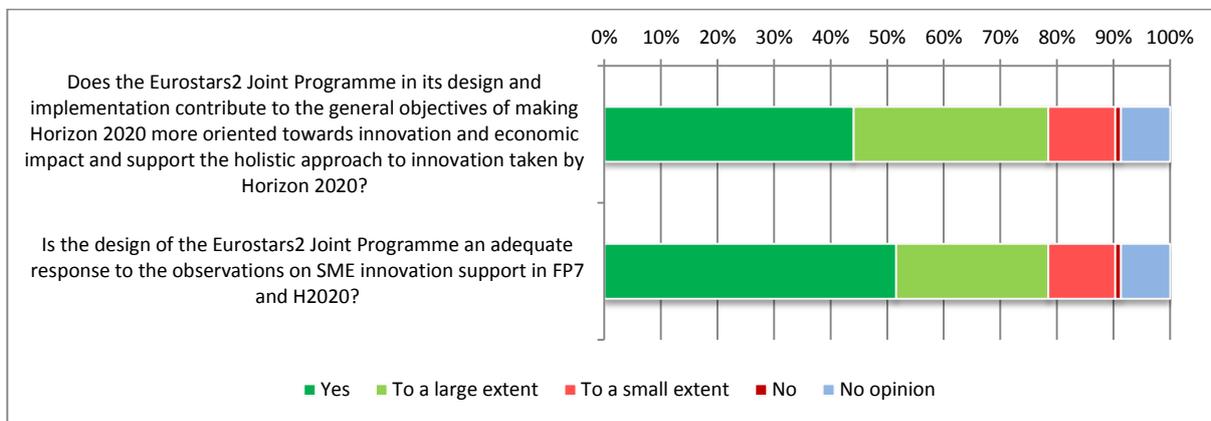


Figure 71: Assessment of the relevance of the Eurostars2 Joint Programme

5.3 Coherence

The questions from the general part of the public consultation do not show significant differences for Eurostars2 respondents, confirming the coherence of the programme with other similar EU initiatives. Furthermore, the objectives of the programme are perceived to be more geared towards Horizon 2020 rather than national policy objectives.

In the Eurostars2 specific section of the survey, respondents were asked to provide their views on the coherence with other EU initiatives of the Programme. An overview of the responses is presented in Figure .

The majority of the participants (59%) agree that Eurostars2 complements other instruments from H2020 or other EU programmes, realising synergies wherever is possible. Furthermore, 70% of the participants consider the resources mobilized by the Participating States and the European Union justified by the scale and scope of the initiative.

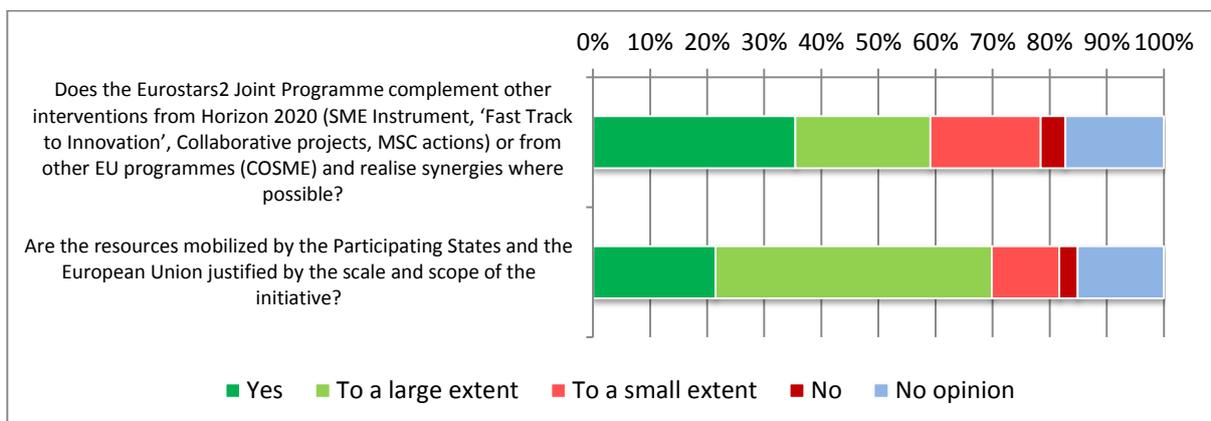


Figure 12: Assessment of the coherence of Eurostars2 with other EU initiatives

5.4 Effectiveness

The questions from the general part of the public consultation do not show significant differences for Eurostars-2 respondents, confirming the effectiveness of the programme. The programme contributes to the different levels of integration, in particular scientific integration. Moreover, the initiative is recognized to allow for easier cross-country cooperation than national programmes or Horizon 2020 and allow projects that otherwise would not be realised. In particular, Eurostars2 respondents showed 10% higher than average agreement on the statement that the programme allows for projects that could not be realized under Horizon 2020.

In the specific Eurostars2 section of the survey, participants were inquired about the effectiveness of the Joint Programme.

Overall, the majority of the respondents consider the Eurostars2 programme effective in reaching its objectives. Figure 8 presents an overview of some questions relating to the programme reaching its objectives. With a 95% agreement the respondents consider in particular that Eurostars2 is effective in promoting research activities that are carried out by transnational collaboration of research and development performing SMEs.

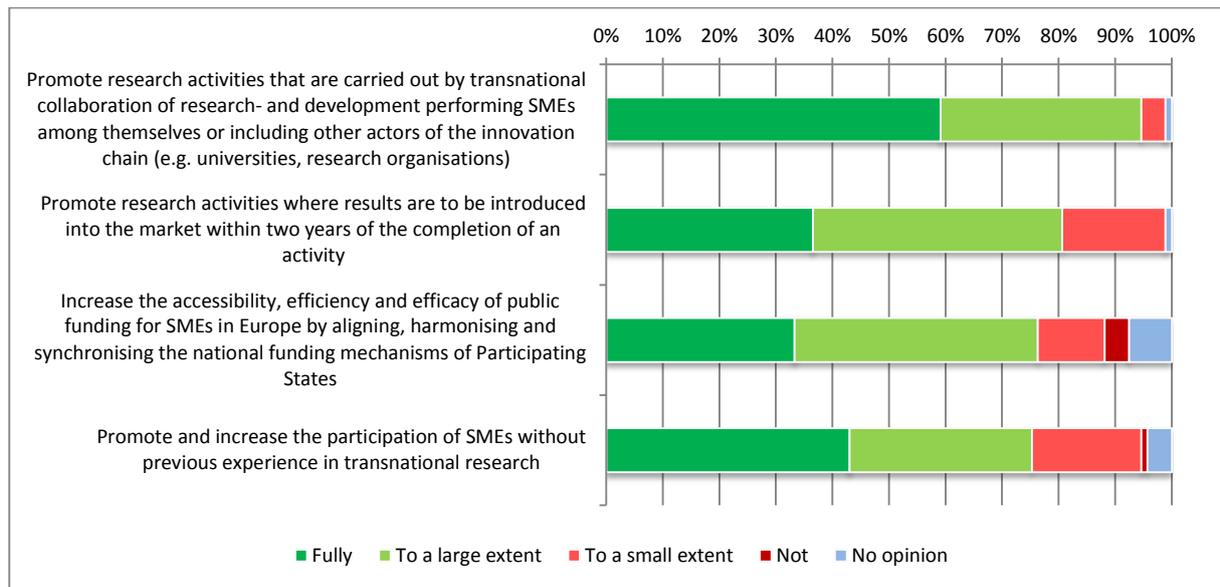


Figure 83: Assessment of the effectiveness in reaching the objectives of Eurostars2

The participants were further asked about the effectiveness of the mechanisms and tools ensuring the entry-into-market of results and or achievements of Eurostars2 funded projects. 37% of respondents consider Eurostars2 effective in this regard (including *Very effective* and *Effective* replies) whereas 41% of the respondents consider Eurostars2 is not effective towards this objective (including *Partially effective* and *Not effective* replies). The survey asked a more particular question along the same lines about the major objective of the programme which is to introduce the results of projects into the market within 2 years of the completion of the project. 68% of the respondents consider that the present Eurostars2 programme supports such a target with 28% considering this is not sufficiently supported.

The replies to both questions above show that there is still room for improvement for ensuring a better entry-into-market of the results of Eurostars2 funded projects.

The participants to the survey were asked if the R&D performing SMEs would have undertaken their projects by their own or other means in the absence of a Eurostars2 grant. 83% of the respondents replied that the SMEs supported by Eurostars2 programme would not have undertaken their projects by their proper or other means (19% fully no, 63% to a large extent).

Finally, the respondents were asked about the accessibility of the Programme particularly for R&D performing SMEs. 74% of respondents consider Eurostars2 accessible (including *Yes* and *To a large extent*).

5.5 Efficiency

The questions regarding the efficiency of Article 185 initiatives in general (Section 3.5) have been assessed for the Eurostars2 respondents. Respondents consider the initiatives provide an appropriate level of administrative burden and are relatively straightforward and simple in their implementation and preparation. The replies confirm the overall answers to those questions, with overall more positive replies. In particular, over 60% of the Eurostar-2 respondents (compared with less than 50% when considering all responses) consider that Eurostars2 projects are less burdensome to applicants than Horizon 2020 projects.

5.6 Future recommendations

When asked if they would be in favour of a future Eurostars programme, a majority of 84% of the respondents agreed to the continuation of the joint programme with the participation of both the Participating States and the EU.

6. BONUS

BONUS, the joint Baltic Sea research and development programme for years 2010-2017, was started by the BONUS member states together with the EU and officially launched in September 2010 by a co-decision of the European Parliament and the European Council as a Treaty on the Functioning of the European Union (TFEU) Art.185 initiative.

In support of sustainable development and ecosystem based management of the Baltic Sea region, the HELCOM Baltic Sea Action Plan and the EU Marine Strategy Framework Directive and other European, regional and national coastal and marine environmental policies and plans, BONUS issues calls on ecosystem research and innovation for scientific community and SMEs funds projects of high excellence and relevance 1) to produce knowledge, scientific evidence and innovation solutions needed by policymakers and 2) to engage end-users and the society in the knowledge based governance of the fragile Baltic Sea.

Additional information can be found at: <http://www.bonusportal.org/>

Who participated in the stakeholder consultation?

The online public consultation was answered by 45 respondents, with the following profiles:

- 60% from individuals;
- 2% from representatives of "umbrella" organisations of EU interest; and
- 38% from representatives of a single institution or a company.

The largest proportion of the category of those who responded on behalf of a single institution / company were representatives of public authorities (59%). Furthermore, three research organisations, two academic institutions and one business responded to the public consultation. Two answers were received from Funding Agencies. Most answers came from the countries from the Baltic Sea Region (Denmark, Estonia, Finland, Germany, Poland and Sweden).

6.1 EU Added Value

The questions from the general part of the public consultation do not show significant differences for BONUS respondents, confirming the EU added value of the programme at both project and programme level.

In the BONUS specific part of the consultation, respondents were asked to provide their views on the EU added value of the Programme.

None of the respondents considered the amount of EU financial contribution too high, with 40% of respondents considering the EU financial contribution to the programme "adequate", compared to 32% considering it "too small".

Furthermore, participants were asked via an open text question about the additional value resulting from the EU intervention in the Programme compared to what could be achieved at national or regional level. The general perception is that the added value of EU intervention is the increased transnational cooperation between researchers and a resulting higher standard of the scientific output of researchers.

6.2 Relevance

The questions from the general part of the public consultation do not show significant differences for BONUS respondents. They confirm the relevance of the programme for building a society and economy based on knowledge and innovation, they support the European Research Area and society at large, are considered highly relevant in spreading excellence and widening participation and in general foster excellent science.

In the BONUS specific part of the survey, the respondents were asked about the relevance and usefulness of the joint programme. Almost all respondents agreed with the high relevance of the BONUS programme designed to enable the transnational cooperation in multidisciplinary research needed to help solve the Baltic Sea region environmental issues. The respondents considered that it increased the coordination between Baltic countries and within each country. However, as in many research fields, the respondents feel that more can be done in terms of actual use of results in public and private decision making.

6.3 Coherence

The questions from the general part of the public consultation do not show significant differences for BONUS respondents, confirming the coherence of the programme with other similar EU initiatives. Furthermore, the objectives of the programme are perceived to be more geared towards Horizon 2020 rather than national policy objectives. With 64% of approval, the respondents from the BONUS specific section of the consultation confirm the coherence of the programme.

6.4 Effectiveness

The questions from the general part of the public consultation do not show significant differences for BONUS respondents, confirming the effectiveness of the programme. The programme contributes to the different levels of integration, in particular scientific integration. Moreover, the initiative is recognized to allow for easier cross-country cooperation than national programmes or Horizon 2020 and allow projects that otherwise would not be realised. In the sample of BONUS respondents, high rates of *No opinion* answers were registered for questions relating to Horizon 2020, due most probably to the low levels of familiarity of respondents with the Programme.

In the BONUS specific part of the survey, participants in the survey were inquired about the effectiveness of the Programme.

Overall, the majority of the respondents consider the BONUS programme effective in reaching its objectives. Figure 9 presents an overview of the questions relating to the programme reaching its objectives. In particular, with over 90% agreement the respondents consider that BONUS is improving the efficiency and effectiveness of the Baltic Sea Region’s fragmented environmental research programming by integrating the research activities in the Baltic Sea.

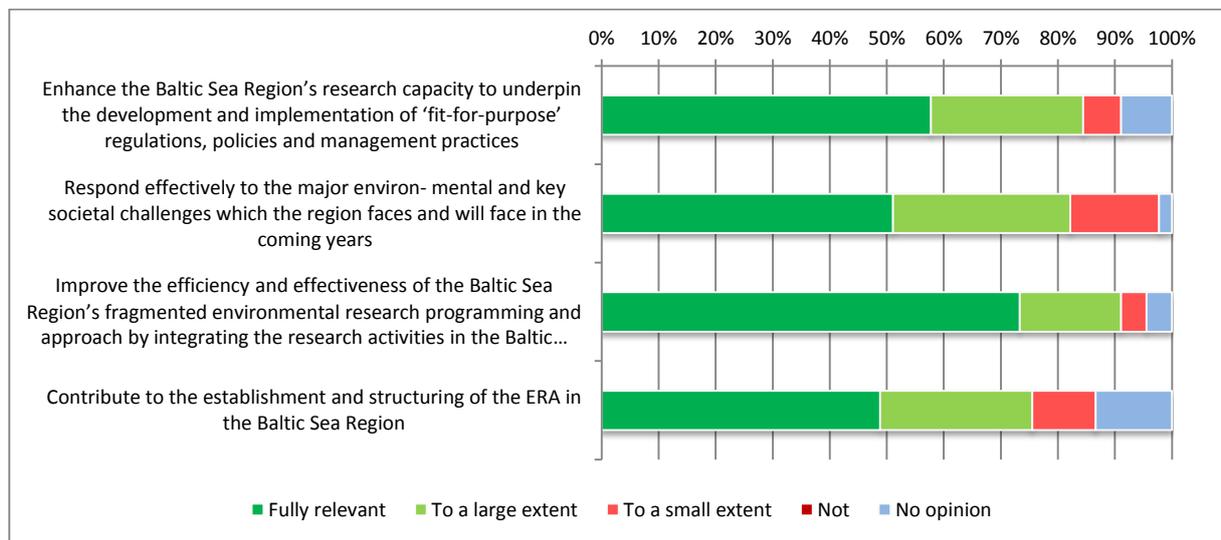


Figure 94: Assessment of the effectiveness in reaching the objectives of BONUS with other EU initiatives

Respondents were asked about the accessibility of BONUS Programme to its target group. 82% (*Yes* and *To a large extent* responses) of respondents consider the programme to be accessible.

Finally, in an open text question, respondents were asked to assess the added value to participate in BONUS projects. Many replies indicate that it is mainly considered as an opportunity to collaborate with the best scientists and research resources from other countries and in transnational research projects as part of a visible programme. Moreover, participants believe it enables better sharing of data and of alternative methods and models, of infrastructure and of research results. Finally, it enables the creation of synergies among researchers and helps develop common visions and solutions to manage the Baltic Sea.

6.5 Efficiency

The questions regarding the efficiency of Article 185 initiatives in general (Section 3.5) have been assessed for the subset of BONUS respondents. Respondents consider the initiatives provide an appropriate level of administrative burden and are relatively straightforward and simple in their implementation and preparation. The replies partly confirm the overall answers to those questions, with overall more negative replies. In particular, the question on Article 185 projects being less burdensome than national projects raised 18% of positive answers (compared with 32% of positive replies for all Article 185 initiatives). Of note is that a much higher percentage of respondents had no opinion.

Respondents were asked to assess the efficiency of BONUS in funding transnational research and innovation activities among the states around the Baltic Sea (open text question). The efficiency of the funding was praised by the respondents. They consider that the funding leveraged and secured national funds and boosted the transnational cooperation and the multidisciplinary research funding to address joint issues while building capacity.

6.6 Strengths, Weaknesses and Future recommendations

Participants to the public consultation were asked to provide their feedback via open text boxes on the strengths and weaknesses of the BONUS programme. Respondents consider that BONUS is a highly relevant programme with high scientific quality and regional focus. Moreover, participants consider the programme increased the collaboration between scientists, between funders, between policy makers and in between all these stakeholders.

The respondents also listed some of the weaknesses of the programme. Main amongst those was considered the complex funding structure, with inflexible rules to participation and funding with also often tedious process of decision on financing of projects at the national level which causes delays and risks.

When asked about future recommendations, respondents considered an important point reducing the load of reporting and harmonising EU and national funding and reporting. Moreover, it was felt that more space should be given to other fields of science like climate, cultural heritage and social sciences.

Finally, when asked if they would be in favour of a future BONUS programme, a majority of 92% of the respondents agreed to the continuation of the joint programme with the participation of both the Participating States and the EU.

7. EDCTP2

EDCTP2 is a strategic partnership between Europe and sub-Saharan Africa with the overall objective "to contribute to the reduction of the social and economic burden of poverty-related diseases in developing countries by accelerating the clinical development of effective, safe, accessible, suitable and affordable medical interventions for poverty-related and neglected diseases (PRNDs) in partnership with sub-Saharan Africa."

Through a separate open public consultation, which took place from 29 June 2016 to 15 November 2016,² stakeholders were invited to provide their data, information and feedback on the implementation of the first three years (2014-2016) of EDCTP's second phase (2014-2024). 67 responses were received. In addition 32 respondents of the general public stakeholder consultation launched in January 2017 replied with respect to EDCTP2.

Who participated in the stakeholder consultation?

The majority of responses came from universities and research institutes (42%), followed by government administrations (19%), non-governmental organisations (15%), private non-profit organisations (15%), other for-profit organisations (4%), small or medium-sized enterprises (3%) and large pharmaceutical companies (2%).

76% of responses came from survey participants in Europe. 22% of responses came from survey participants in sub-Saharan Africa. 2% of responses came from other regions.

Most respondents (75%) are directly involved with the EDCTP2 programme. The largest group of survey participants (44%) were stakeholders that have been funded by EDCTP1 or EDCTP2 in the past. Another 17% of respondents were either members of the EDCTP General Assembly or the EDCTP Scientific Advisory Committee.

7.1 EU Added Value

The replies from EDCTP2 stakeholders did not show any significant deviation from the overall reply pattern. Consequently the main EU added value stemming from EDCTP2 can be found in "fund high quality R&D projects"; "allow for national capacity building /access to foreign knowledge" and "provide additional financial resources".

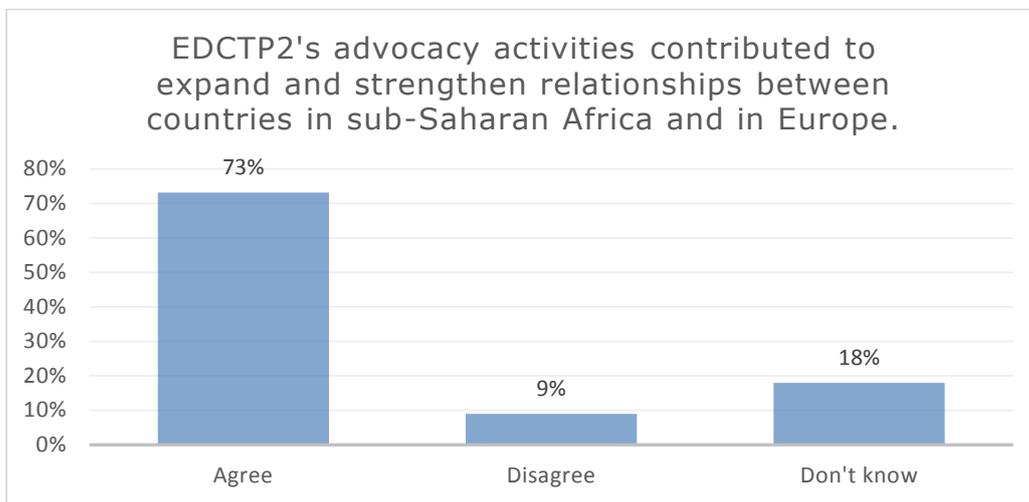
7.2 Relevance

Within the general public consultation no major deviation from the overall findings was found, thus confirming the continued relevance of EDCTP2, notably with respect to the "achievement of the ERA", "spreading excellence and widen participation" and "foster excellence science".

The specific EDCTP2 public consultation looked at additional relevance dimensions of EDCTP2, notably with respect to foreign policy objectives and visibility of Europe as important health policy actor on global level.

A large majority of 73% agrees that EDCTP2's advocacy activities contributed to expand and strengthen relationships between countries in Europe and sub-Saharan Africa thus contributing to wider EU policy objectives.

² http://ec.europa.eu/research/consultations/edctp-2-2014-2016/consultation_en.htm



A large majority of participants (75%) agreed that the EDCTP2 programme is a relevant and visible initiative for the global health research community worldwide.



7.3 Coherence

The EDCTP2 related replies from the general public consultation confirm that EDCTP2 is coherent with Horizon 2020 policy objectives and wider EU policies, notably in health and foreign policy related issues.

The specific EDTP2 consultation looked more specifically on the knowledge of stakeholders about EDCTP2 activities aiming a strengthening cooperation with related EU initiatives, including development assistance programmes. Here, the replies show that the majority of replies (63%) are not aware of the related activities of EDCTP2, suggesting that more communication is needed here.

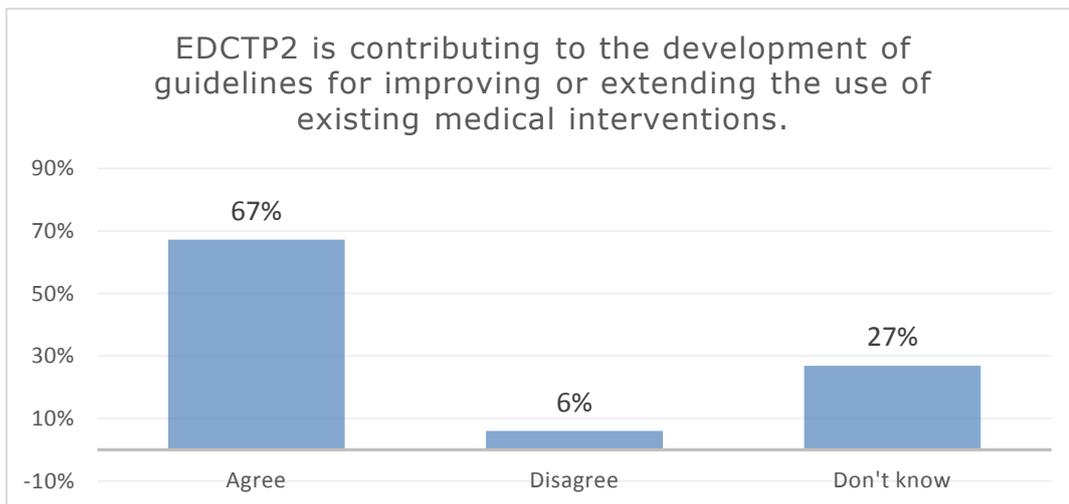
7.4 Effectiveness

The EDCTP2 related replies from the general public consultation confirm that EDCTP2 is effective in funding projects that would have not been able to be realised within national programmes or under Horizon 2020.

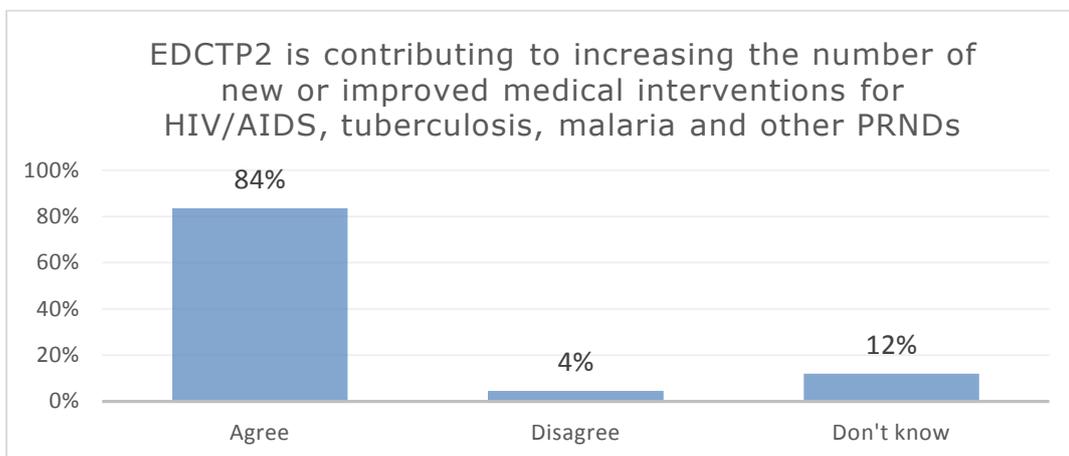
In addition, respondents agree that EDCTP2 contributes to integration of national programmes, with a particular contribution to scientific integration. Compared with other Article 185 initiatives, the positive effect of EDCTP2 on integration is perceived as smaller.

This finding is supported by the results of the specific EDCTP2 consultation, where nearly half of the respondents were unable to assess the integration effects of EDCTP2.

Stakeholders seem to be very confident that EDCTP2 is making progress towards its main policy objectives. 84 % of survey respondents perceive EDCTP2 to contribute to increasing the number of new or improved medical interventions for Poverty Related Diseases.



A very large majority of 84% of respondents agrees that EDCTP2 strengthens the capacity of countries in sub-Saharan Africa to conduct clinical trials.



For other policy objectives, the specific consultation showed that many stakeholders are not aware of EDCTP2 activities aiming to attract and leverage additional financial investments from other public and private funders. Again, these activities and efforts by EDCTP2 seem not be well known among stakeholders as about half of the respondents are not aware of these activities.

7.5 Efficiency

Within the general public consultation no major deviation from the overall findings was found, thus confirming the efficiency of EDCTP2, notably that application for projects is less burdensome than for Horizon 2020 but more burdensome than for nation programmes.

The specific EDCTP2 consultation looked at additional efficiency dimensions, notably with respect to the funding mechanism, the priority setting process, conflict of interest prevention and issues related to the proposal and grant management systems.

For all these dimensions except for proposal evaluation and selection, the majority of respondents see a positive efficiency.

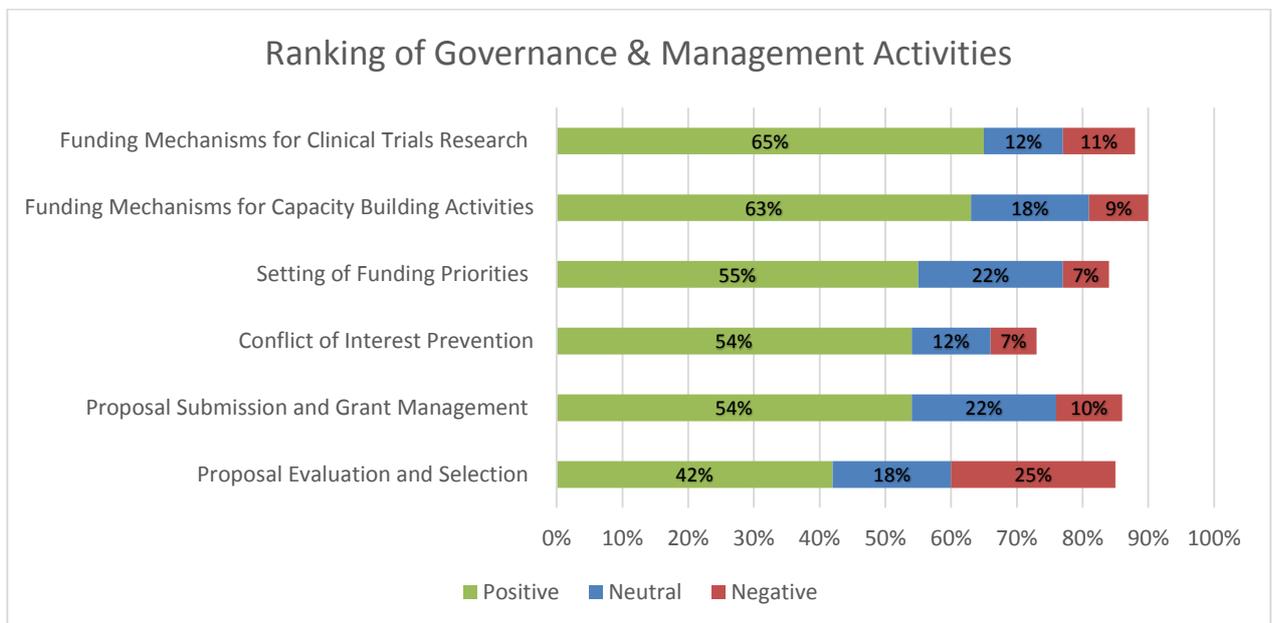


Figure 15: Ranking of Governance & Management Activities

7.6 Strengths, Weaknesses and Future recommendations

The questionnaire's final section consisted of three open questions concerning strengths, weaknesses and future recommendations.

Of the 63% of respondents who provided their opinion on the strengths of the EDCTP2 programme, 24% mentioned capacity building activities could be singled out as main strength. As main weakness, the grant management and proposal submission processes of EDCTP2 could be identified. The latter finding confirms the findings under the efficiency criterion. Consequently this issue was most frequently mentioned for recommendations for the improvement of the EDCTP2 programme.

8. EMPIR

The European Metrology Research Programme (EMRP) and its successor, the European Metrology Programme for Innovation and Research (EMPIR) are the main programmes for addressing metrology research on a European level. It includes applications of metrology through thematic areas, called Grand Challenges, as well as support for the broadening of the International System of Units (SI), standardisation activities, and knowledge transfer and capacity building.

A separate open public consultation, specific to the metrology initiatives³ EMRP and EMPIR was open between 1 July and 7 October 2016. 250 replies were received.

Who participated in the stakeholder consultation?

Contributions were received from a wide range of countries, with a high number of replies from: Spain, Germany, Bosnia and Herzegovina, France, the United Kingdom and Finland.

A few contributions were also received from Australia, Georgia, Kosovo, New Zealand, South Africa, Ukraine, and the United States.

Most replies came from metrology institutes together with national administration entities closely linked to the metrology institutes. Moreover, more than a quarter of respondents represented private companies.

Although a relatively large proportion of respondents had not directly participated in EMRP or EMPIR, most respondents had an interest in metrology. Standardisation together with metrology take-up makes up more than half of the interests of the respondents.

8.1 EU Added Value

The questions from the general part of the public consultation do not show significant differences for EMPIR / EMRP respondents, confirming the EU added value of the programme at both project and programme level.

Respondents to the separate EMPIR / EMRP public consultation were asked about the added value of European metrology research. Figure 16 presents an overview of the received responses. *Cooperation in Europe* and *Scientific outreach / excellence* are considered by the respondents to provide the highest added value in European metrology research.

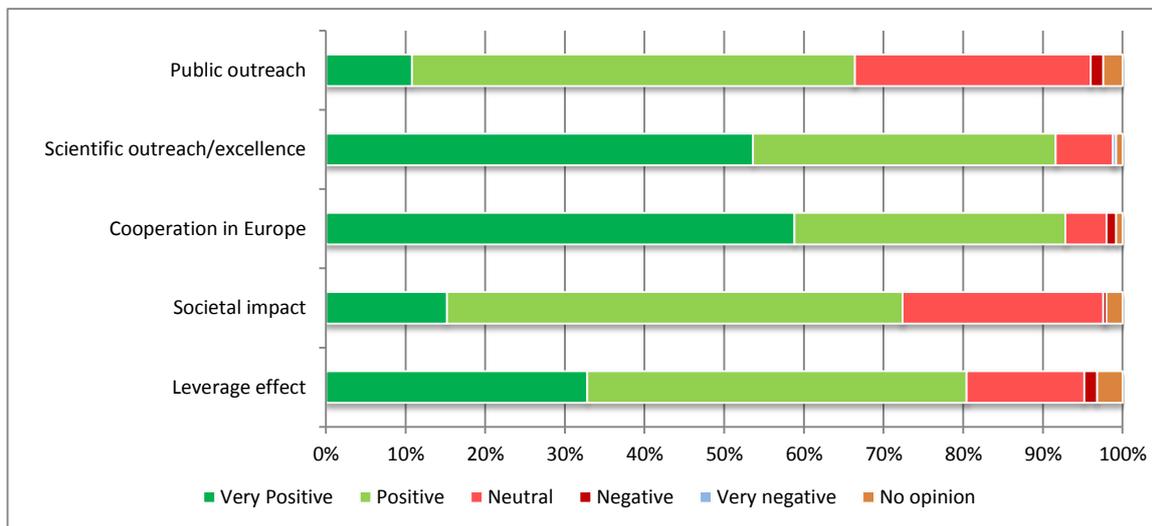


Figure 16: Assessment of the added value of metrology research

8.2 Relevance

The questions from the general part of the public consultation do not show significant differences for EMPIR / EMRP respondents, confirming the relevance of the programme for building a society and economy based on knowledge and innovation, they support the European Research Area and

³ http://ec.europa.eu/research/consultations/joint_programming_metrology/consultation_en.htm

society at large, are considered highly relevant in spreading excellence and widening participation and in general foster excellent science.

The first question from the separate EMPIR / EMRP public consultation asked about the relevance of European-wide joint programming (among national metrology institutions with EU co-funding) for strategic metrology research. A large majority of 93% of the respondents assessed European joint programming to be relevant for metrology research.

Furthermore, respondents to the separate EMPIR / EMRP public consultation were asked about the relevance of European metrology research. Figure 10 presents an overview of the received responses. Particularly *Grand Challenges such as health, energy, climate change and / or new emerging technologies, Raising Europe's profile as a knowledge hub for metrology research and The European economy and industrial competitiveness* are considered by the respondents to provide the highest added value in European metrology research.

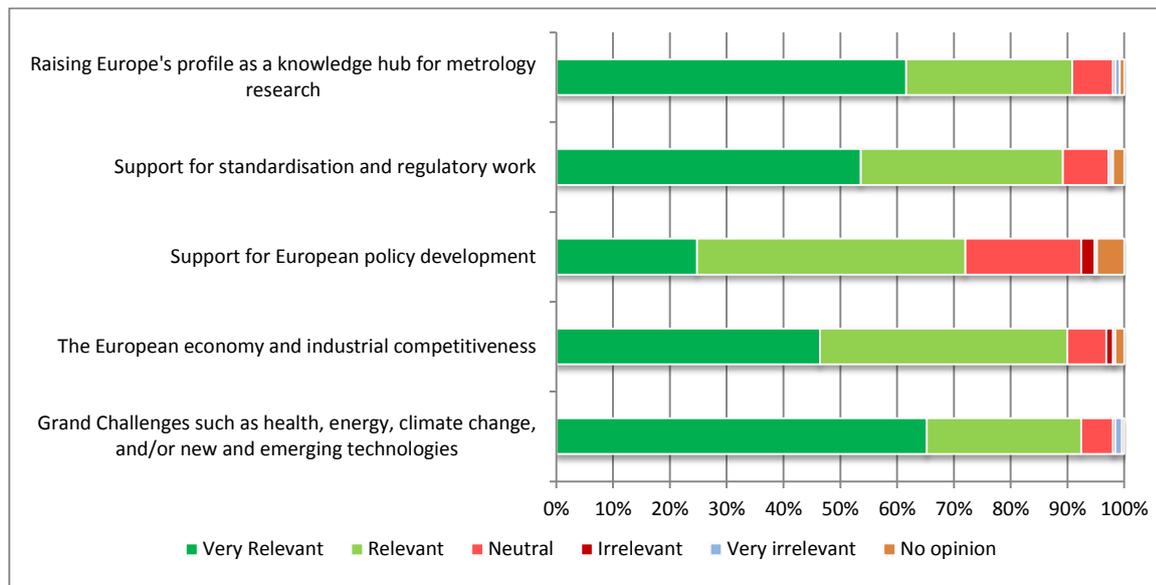


Figure 107: Assessment of the relevance of metrology research

Another set of questions was directed on how effective EMPIR is in contributing to policy goals, presented in Figure 11. A strong support is observed in both metrology specific goals as well as wider EU policy goals.

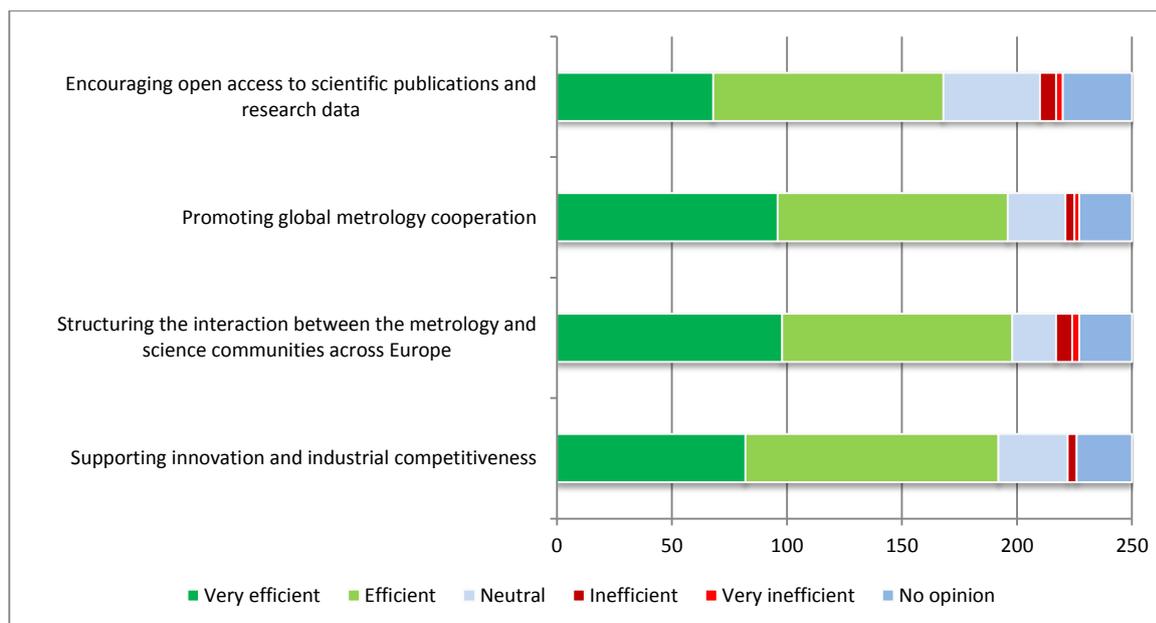


Figure 118: Effectiveness of EMPIR in contributing to policy goals

8.3 Coherence

The questions from the general part of the public consultation do not show significant differences for EMPIR / EMRP respondents, confirming the coherence of the programme with other similar EU initiatives. Furthermore, the objectives of the programme are perceived to be more geared towards Horizon 2020 rather than national policy objectives.

8.4 Effectiveness

The questions from the general part of the public consultation do not show significant differences for EMPIR / EMRP respondents, confirming the effectiveness of the programmes. The programmes contribute to the different levels of integration, in particular scientific integration. Moreover, the initiatives are recognized to allow for easier cross-country cooperation than national programmes or Horizon 2020 and allow projects that otherwise would not be realised.

Respondent to the separate EMPIR / EMRP public consultation have been asked to assess the effectiveness of each programme.

For EMRP, Figure 12 presents an overview of the how well the initiative addressed its thematic areas which are directly linked to the specific objectives of the programme. The majority of respondents answered positively for all areas, with industry being the most positively perceived (74%), while the health theme received the least positive support (58%).

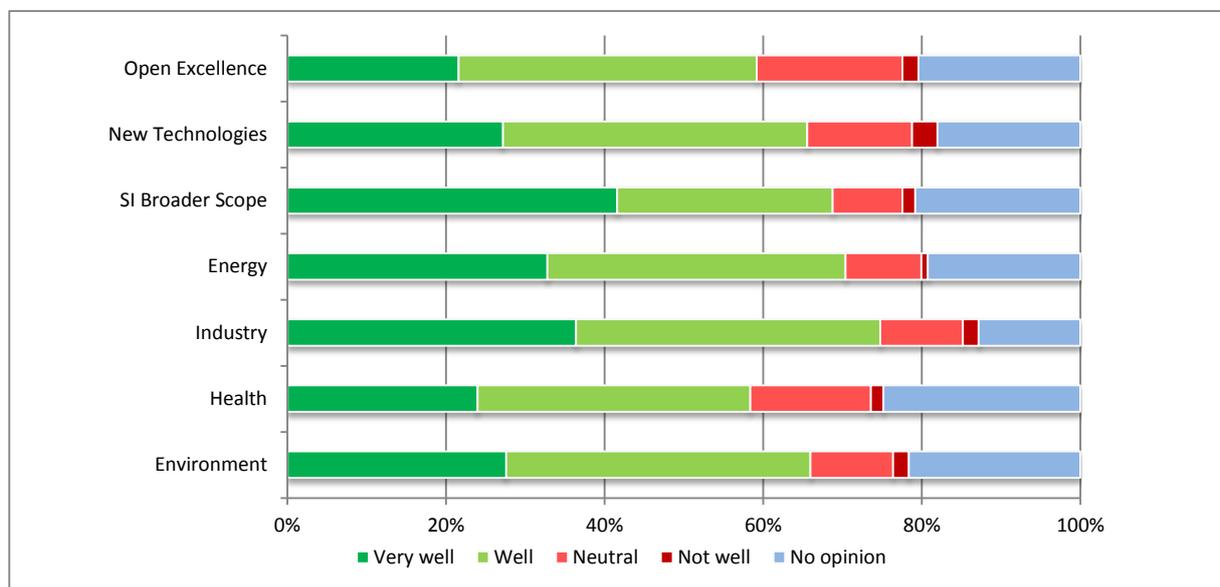


Figure 129: Assessment of the thematic areas covered by EMRP

In addition, participants to the survey were asked in the following two questions about the effectiveness of its "Researcher Grants". 61% of respondents considered that EMRP was successful in increasing the participation from the wider European research community through this type of grant.

Furthermore, respondents were asked how efficient EMRP has been in contributing to metrology training and capacity building through "Researcher Grants". In this case, the support was lower, with 52% of respondents agreeing that the grants have efficiently contributed to capacity building and knowledge transfer.

The final set of questions was on how well the EMRP initiative has contributed to the following societally related topics: *Training, Employment, Innovation Capacity, Growth and Competitiveness*. The majority of the respondents consider the contribution to be positive, except for the contributions to employment related actions, where approval is slightly above 40%. Innovation capacity and competitiveness were the topics to which EMRP has contributed to the most.

More than 80% of the respondents were in agreement that EMPIR contributes to the programme objectives by opening up the programme to external participants, other than those coming from EURAMET members.

Moreover, 53% of respondents are in agreement that the EMPIR pre-and co-normative calls support standardisation activities effectively. As standardisation activities are central to about a quarter of the respondents, this explains the 41% of *no opinion* replies.

Finally, the EMPIR capacity building actions (in particular within the Research Potential calls) were considered effective by 57% of the respondents. The research potential calls and related activities are intended to contribute to the EMPIR objective of developing scientific and technical capabilities in metrology research in countries with smaller, emerging National Metrology Institutes.

8.5 Efficiency

The questions from the general part of the public consultation do not show significant differences for EMPIR / EMRP respondents, confirming the efficiency of both programmes. Respondents consider the initiatives provide an appropriate level of administrative burden and are relatively straightforward and simple in their implementation and preparation. Funded projects are considered to be more burdensome for applicants than national projects, however less burdensome than Horizon 2020 projects.

8.6 Future

The final question of the questionnaire was whether a successor initiative should be supported. 93.6% replied yes.

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This report presents an overview of the outcomes of the Public Consultations related to the Evaluation of Article 185 initiatives. They cover notably two final evaluations of initiatives funded under Framework Programme 7 (the BONUS 'Joint Baltic Sea Research Programme' and the European Metrology Research Programme EMPR) and four interim-evaluations of initiatives funded under Horizon 2020 (the Active and Assisted Living R&D Programme (AAL2), the European and Developing Countries Clinical Trials Partnership 2 (EDCTP2), the European Metrology Programme for Research and Innovation (EMPIR) and Eurostars2 for R&D performing SMEs.

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