European
Commission

Management Plan 2016

Directorate-General for Research and Innovation

Contents

PART 1. Overview of main outputs for the year

Relevant general objective(s): A New Boost for Jobs, Growth and Investment	
Specific objective 1.1: To strengthen Europe's R&I systems and achieve the European Research Area through working with Member States	Related to spending programme(s):

In 2016 DG Research and Innovation will continue undertaking a number of actions towards improving coordination and effectiveness of Member States' R&I systems. One clear output is country-specific recommendations (CSRs) in the context of the annual European Semester exercise.

A number of activities are foreseen also in the context of the Horizon 2020 Policy Support Facility (PSF), the new policy instrument that gives Member States and countries associated to Horizon 2020 practical support in the design, implementation and evaluation of reforms that enhance the quality of national R&I investments, policies and systems. Planned activities in 2016 include: the publication of final reports on the Horizon 2020 Policy Support Facility (PSF) Peer Reviews of Moldova, Hungary, Ukraine and post-Peer Review of Latvia, deliverables of the current and planned PSF mutual learning exercises (i.e. on administration of tax incentives; evaluation of business R&D grants; evaluation of complex public private partnerships; performance based funding of public research; public procurement for innovation; and interoperability of national research programmes) and carrying out relevant analyses of specific R&I issues, including recommendations on the specific support to Malta, Slovakia, Slovenia and Romania.

Specific objective 1.2: To establish the right framework conditions to capitalise on the results of European research and innovation by involving all actors in the innovation process ("Open Innovation")	Related to spending programme(s): Horizon 2020

Main outputs in 2016:

Main policy outputs

Description	Indicator	Target
Innovation Deals	Launch of Innovation Deals pilot	June 2016

Main expenditure outputs

Description	Indicator	Target
Focus area on Industry 2020 in the circular economy (Work-Programme 2016)	Launch of pilot action to demonstrate the economic and environmental feasibility of the circular economy	Pilot action launched
EU Prize for Women Innovators 2016	Number of prizes awarded	3 (Spring 2016)
The European Capital of Innovation awards (iCapital)	Number of prizes awarded	3 (April 2016)

In 2016 DG Research and Innovation will explore the potential of "Innovation Deals", i.e. joint declarations of intent to identify EU regulatory uncertainties that can hinder innovation. This will be done through the launch of a pilot, as well as having been integrated in the call on "Industry 2020 in the Circular Economy" (DG RTD contribution: €270.5 million) which will contribute to boosting and renewing Europe's industrial capacities while ensuring sustainability.

DG Research and Innovation is working to improve framework conditions for SMEs whose

innovation efforts require financial support. The improvement of their access to finance and the diversification of financial products accessible thanks to 'Access to Risk finance' is substantial, in terms of budget allocation, and in strategy for a European open innovation ecosystem. In addition DG RTD supports an increased participation of SMEs into Horizon 2020, as well as with measures under "Innovation in SMEs". This will be realised in collaboration with other "Research Family" services.

In the context of the European Fund of Funds, 2016 should see the establishment of the legal framework, together with a call of expression of interest to select fund manager(s).

Synergies between Horizon 2020 and European Structural and Investment Funds (ESIF) have been strengthened in the new legislative framework and in the preparation of the ESIF programming documents, in which DG RTD was closely involved, and have a central role to play in maximising the impact of both instruments. In this context, the "Seal of Excellence", the certificate awarded to above-threshold proposals that cannot be funded under Horizon 2020, was launched in October 2015 as a pilot initiative. ESIF and other funding sources could then support those project proposals. In the initial "pilot" phase the action concerns only proposals applying for the SME Instrument.

In 2016 DG Research and Innovation will produce a brochure that describes the rationale for developing links between the different funding sources and explains how they can be combined in a synergetic manner. It will showcase examples of synergies that have emerged at strategic, programming and project implementation levels and also highlight initiatives with a high potential for synergies.

Circular economy implies a trans-disciplinary perspective that integrates technology, business models, finance, governance, regulation, skills, etc. with multi-stakeholders involvement, beyond the traditional sectoral approach. The goal is also to unlock investments in future, sustainable solutions that address environmental and climate change issues. This is the reason that the Horizon Work Programme 2016-2017, in the area of climate action, environment, resource efficiency and raw materials, prioritises actions that take a systemic approach to promote a resource efficient, greener and more competitive economy and that 50% of the budget focuses on large-scale demonstration projects.

The upcoming Slovak Presidency would like to address the topic of young researchers. This will be done through various means throughout the course of the Presidency, including adopting a 'Bratislava Declaration on Young Researchers', and Council conclusions. This will be a joint declaration by researchers, member states and stakeholders, outlining the obstacles that stand in the way of a research career, as well as possible solutions to overcome them.

Specific objective 1.3: To ensure an effective and efficient implementation of Horizon 2020 and other RTD programmes and maximise synergies		Related to spending programme(s): Horizon 2020, Euratom Research and Training Programme, Research Fund for Coal and Steel
Main outputs in 2016:		
Policy–related outputs		
Description	Indicator	Target date
Revision of the Research Fund for Coal and Steel Guidelines (2014/RTD/001)	Council Decision	1st quarter 2016
Commission Communication on the ex-post evaluations of the EC and Euratom 7th Framework Programmes (2015/RTD/004)	Communication from the Commission	1st quarter 2016
Main expenditure outputs		
Description	Indicator	Target
Calls for proposals and budget committed (under Horizon 2020 and Euratom Work-programmes 2016-2017)	Launch of calls for proposals and budget committed[1] as foreseen in the Horizon 2020 and Euratom Work-programmes 2016-2017 for 2016	100%
Participation of private for profit entities in RFCS	Share of the RFCS funds going to private for profit entities	40%

In 2016 Horizon 2020 will continue to fund researchers and innovators at the cutting edge of their research disciplines, working on the latest breakthroughs in science. In line with the "Open Science, Open Innovation, Open to the World" agenda set by Commissioner Moedas, the Work Programme is designed to open up European research and innovation, for instance, by attracting more SMEs; ensuring better use of research results and strengthening research cooperation with other countries. It will also greatly enhance the impact of EU research funding, in line with the EU Budget focused on Results strategy launched by the Commission Vice President Kristalina Georgieva, responsible for budget and human resources.

In alignment with the new Commission's agenda, Horizon 2020 Work Programme 2016-2017 will contribute to the Jobs, Growth and Investment Package helping to strengthen Europe's global competitiveness, create new and sustainable jobs and promote growth. All the calls for proposals and activities will contribute substantially to this policy area as well as contributing to other areas too.

Around €2 billion of the total funding in the Work Programme 2016-17 will go to small and medium-sized enterprises (SMEs), including €186.2 million from DG RTD through the SME instrument, which should benefit over 2000 highly innovative SMEs. On top of that, financial instruments, targeted in particular to SMEs, will increase the opportunities for funding to

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[1] The calls of proposals and budget committed for the Societal challenges "Energy" and "Climate" and Euratom, under Horizon 2020 and Euratom Work Programmes 2016-2017, are presented under Specific Objectives 1.3 and 3.1, as an effort to make a split between the two Specific Objectives would be artificial.

support research and innovation (with a budget of €335 million in 2016). The Financial instruments operate in collaboration with the European Investment Bank and the European Investment Fund. As entrusted entities, they implement each financial instrument facility on behalf and in partnership with the European Commission. These investments will be intensified with the support of the European Fund for Strategic Investments (EFSI).

Four Joint Technology Undertakings address strategic technologies in the areas of health, bio-economy, transport and energy that underpin growth and jobs in key European sectors while further investment will be leveraged through contractual PPPs.

€80 million will be available in 2016 to foster the development and long term sustainability of new pan-European research infrastructures while further €88 million will support the integration and openness of key national infrastructures.

DG RTD will allocate €230.8 million[2] in the LEIT-NMBP part of Horizon 2020 which contributes to industrial leadership through the development and deployment of four of the six Key Enabling Technologies (KETs) – nanotechnologies, advanced materials, industrial biotechnology, and advanced manufacturing and processing – enabling innovation in all key industrial sectors. The funded projects are outcome oriented, and will bring solutions closer to applications and the market. Many of the applications address several societal challenges, notably health, energy and climate, as well as the circular economy.

The call on personalised medicine (contribution of DG RTD: €290 million in 2016) will boost European industry and the so-called silver economy by investing in strategies for earlier and more effective prevention, diagnosis and treatments, and help Europe address the ageing population and chronic disease burden.

The Mobility for Growth call (contribution of DG RTD: €142.1 million in 2016) will strengthen transport's role as the artery of the single market.

Closing the research and innovation divide among countries to bring excellence to all corners of the EU will remain a key objective with the "Widespread" call (€90.8 million in 2016).

The Commission has introduced a number of specific actions under the 'Spreading Excellence and Widening Participation' part in Horizon 2020, to address the internal disparities which persist across the EU in terms of research and innovation performance. Under the Widening participation heading, COST will contribute to fostering inclusive research and innovation policy by bringing together 'pockets of excellence', outstanding researchers who are not yet well integrated in European and global research, also enhancing capacity building.

During the EU Dutch Presidency, WIRE 2016 conference will be organised focusing on enhancing the innovation agenda in EU regions and the lessons learnt in the implementation of the smart specialisation strategies in the context of the current programming period.

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[2] This figure does not include the contribution of LEIT-NMBP to the focus area "Industry 2020 in the circular economy" and the contributions to the cPPPs Factories of the Future (FoF) and SPIRE.

Relevant general objective(s): A Connected Digital Single Market		
Specific objective 2.1: To increase impact and excellent science through openness ("Open Science")		Related to spending programme(s): Horizon 2020
Main outputs in 2016:		
Policy–related outputs		
Description	Indicator	Target date
Proposal to establish free flow of data within the Digital Single Market (2016/CNECT+/001, RTD associated)	Communication from the Commission to the European Parliament, the Council, the EESC and the CoR	3rd quarter 2016
Communication on a European Cloud Initiative ((2015/CNECT+/021)	Communication from the Commission to the European Parliament, the Council, the EESC and the CoR	2nd quarter 2016
Main expenditure outputs		
Description	Indicator	Target
Demonstration of how wide availability of scientific data and data-analysis services for European researchers can be ensured through a cloud infrastructure (Horizon 2020 Work-Programme 2016-2017)	Launch of European Open Science Cloud pilot	Pilot action launched (end 2016)
Action to develop a GEOSS European data hub to facilitate open access to European Earth Observation data (Horizon 2020 Work-Programme 2016-2017)[3]	Launch of the action	Action launched

Europe needs to increase its efforts in order to benefit from the full potential of big data, digital technologies and data-driven science. To extract maximum value from data, there is the need to deploy a leading-edge and pan-European digital infrastructure comprising next generation supercomputers, connectivity and data infrastructures – a European Open Science Cloud for Research. The European Open Science Cloud Initiative aims to position the EU in a leading role globally in scientific infrastructures, while ensuring that European stakeholders reap the full benefits of data-driven science and services for the digital economy and wider society.

The Horizon 2020 Research Infrastructures Work programme 2016-2017 includes two areas of intervention on the European Open Science Cloud for Research as well as Data and Distributed Computing e-infrastructures for Open Science for a total of EUR 50 million of EU contribution (DG RTD contribution: €18million in 2016). This will support in particular the launch of a pilot

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[3] Deliverable in line with the Horizon 2020 Work-Programme for 2016-2017 (see page 60 under SC5-20-2016 of Document 12 annexed to Commission Decision C(2015) 6776 adopted on 13/10/2015).

action demonstrating how wide availability of scientific data and data-analysis services for European researchers can be ensured through a cloud infrastructure.

The role of Open Science is clearly identified in the three pillars of the Digital Single Market. Under the third pillar of the DSM Strategy entitled "Maximising the growth potential of the Digital Economy" in particular, DG Research and Innovation is actively pushing the role of Open and data-driven Science as an enabler for scientific discovery, open innovation, trust and societal impact. To this end an important action in 2016 will be the set-up of the Policy Platform with the representatives of the main stakeholders of Open Science (OSPP) under the NL Presidency Conference to be held in April 2016.

Relevant general objective(s): A Resilient Energy Union with a Forward-Looking Climate Change Policy		
Specific objective 3.1: To implement the Research, Innovation and Competitiveness dimension of the Energy Union, together with a forward-looking climate-change policy		Related to spending programme(s): Horizon 2020, Euratom
Main outputs in 2016:		
Policy–related outputs		
Description	Indicator	Target date
Energy Union Integrated Strategy on Research, Innovation and Competitiveness (2016/RTD+/001)	Communication from the Commission	November 2016
Association of Ukraine to the Euratom Research and Training Programme (2015/RTD/013)	Commission Decision	2nd quarter 2016
Main expenditure outputs		
Description	Indicator	Target
Calls for proposals and budget committed (under Societal Challenges "Energy" and "Climate" in the Horizon 2020 Work-Programme 2016-2017)	Launch of calls for proposals and budget committed as foreseen in the Work-programme for 2016	100%
Calls for proposals and budget committed (under the Euratom Work-Programme 2016-2017)	Launch of calls for proposals and budget committed as foreseen in the Work-programme for 2016	100%
Pilot action on Nature-Based Solutions (Horizon 2020 Work-Programme 2016-2017)	Launch of pilot action to demonstrate the benefits and cost-efficiency of Nature-Based Solutions for climate and water resilient cities	Pilot action launched
Pilot action on Climate Services (Horizon 2020 Work-Programme 2016-2017)	Launch of pilot action to strengthen the nascent market of climate services for climate change mitigation and adaptation	Pilot action launched

The "Integrated Strategy on Research, Innovation and Competitiveness", to be adopted in November as part of the 2016 State of the Energy Union package, will focus on the immediate actions needed to decarbonise the EU economy in accordance to the EU's medium and long-term climate and energy goals. The strategy will encompass the most relevant sectors for

energy and climate, i.e. energy and transport, but also industrial production, agriculture/bioeconomy and housing - in an integrated manner to ensure that the overall goals are not lost in the trade-off between the individual sectors.

In relation to the implementation of the Integrated SET Plan, the process of agreeing a set of targets for each of the 10 actions listed in last September's Commission Communication[4] will continue and will be completed in 2016. DG RTD is in the lead for four of those actions. It is expected that targets will be agreed and endorsed by the SET Plan Steering Group (comprising EC and participant countries) together with the most relevant stakeholders from industry and research organisations. These agreements will be presented in the form of Declarations of Intent. Implementation Plans will then be developed, and progress towards achieving the agreed targets will be measured on a regular basis.

In 2016, DG RTD will execute its part of the Work-Programme for the energy societal challenge, which represents a funding of €383 million spread over a number of calls, including the Competitive Low-carbon Energy call which underpins the commitment to diversify energy sources.

In addition, research funded by the Euratom Work-Programme 2016-2017 will contribute in 2016 to the Energy Union's objectives by improving nuclear safety and waste management, as well as by reducing energy dependence and maintaining technological leadership in fission and fusion.

Furthermore, the Strategic Transport Research & Innovation Agenda (STRIA) identifies seven main technological areas including targets and long-term strategies, which are relevant to the Energy Union goals.

Finally, DG Research and Innovation will continue in 2016 monitoring the Horizon 2020 expenditure related to sustainability (target: 60%), climate (target: 35%) according to the agreed "Rio Markers" methodology, as requested in the Horizon 2020 legal base. Also biodiversity-related expenditure will be monitored according to the agreed "Rio Markers" methodology, as requested for the MFF.

Relevant general objective(s): A Stronger Global Actor		
Specific objective 4.1: To translate Europe's strengths in science and technology into a leading global voice ("Open to the World")		Related to spending programme(s): Horizon 2020
Main outputs in 2016:		
Policy–related outputs		
Description	Indicator	Target date
Armenia Agreement on Association to Horizon 2020 (2014/RTD/015)	Commission Decision	1st quarter 2016
Commission Decision on the Association of Georgia to Horizon 2020 (2015/RTD/001)	Commission Decision	1st quarter 2016
Kosovo* Agreement (association to Horizon 2020) (2014/RTD/023)	Commission Decision	2nd quarter 2016

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[4] C(2015)6317, Communication from the Commission "Towards an Integrated Strategic Energy Technology (SET) Plan: Accelerating the European Energy System Transformation".

Partnership for Research and Innovation in the Mediterranean Area (PRIMA) (2015/RTD/009)[5]	Commission financing decision or legislative proposal	3rd quarter 2016
Main expenditure outputs		
Description	Indicator	Target
Calls for proposals and budget committed (Horizon 2020 Work-Programme 2016-2017)	Launch of calls for proposals and budget committed as foreseen in Work-programme 2016	100%

* This designation is without prejudice to positions on status, and is in line with UNSCR 1244 and the ICJ Opinion on the Kosovo Declaration of Independence

As part of the contribution to making Europe a Stronger Global Actor, three new Agreements, associating one potential candidate and two eastern neighbourhood countries to the Horizon 2020 Work-Programme, are expected to be adopted by the Commission in 2016. Progress is also expected in the development of the Research and Innovation Partnership in the Mediterranean Area (PRIMA) and in strengthening the role (and influence) of the EU in global multilateral fora. In addition, first steps will be taken in the development of the EU-CELAC (the Community of Latin American and Caribbean States) Common Research Area. Targeted thematic cooperation activities will also be developed with international partners (through our S&T Agreements) and International Organisations on the basis on mutual benefit, scale and scope, to contribute to tackling global challenges.

Science Diplomacy activities will be continued too. As an example, International fora like UN HABITAT are increasingly calling for renewed environmental and economic diplomacy that is better tailored to an urban century. In relation to the Sustainable Development Goal (SDG) number 11 'Make cities inclusive, safe, resilient and sustainable', science, technology and innovation (STI) have been presented as a 'means of implementation' together with finance, trade, and capacity building. There is a clear recognition of the role of international R&I cooperation in fostering sustainable urbanisation and thus reinvigorating the global commitment towards a systemic New Urban Agenda.

A Service Facility in support of the strategic development of international cooperation in research and innovation will be launched in the second half of 2016[6], as well as a support scheme to attract non-EU resident highly skilled entrepreneurial innovators from abroad.

Following the International Conference, *Understanding and Tackling the Migration Challenge: The Role of Research* held on the 4-5 February 2016, the Work Programme for 2017 will be updated to integrate further research and innovation activities on migration. DG RTD will contribute to addressing the root causes of migration and to underpin policy responses by knowledge and data. It will also create a support a scheme to attract non-EU resident highly-skilled entrepreneurial innovators.

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[5] Depending on the outcome of the ongoing preparatory legislative work (impact assessment) the Commission will examine whether the Union should participate in the initiative and if so under what form a financial contribution to this initiative would be adopted (either as a Co-Fund joint programming action or under a legislative proposal in accordance with article 185 TFEU).

[6] A description of the objectives and of the services to be provided by the Service Facility is included in the Horizon 2020 Work Programme 2016-2017 (European Commission Decision C (2015)6776 of 13 October 2015), Societal Challenge "Europe in a changing world – inclusive, innovative and reflective Societies", under "Other actions", "Public Procurement", page 117).

A part of the efforts towards structuring marine research cooperation in the South Atlantic, a MoU memo is planned to be signed by the Commissioner and the South African minister for research in 2016 to enhance marine cooperation between the EU and South Africa. This will pave the way towards an All Atlantic Ocean Research Alliance from the Arctic to Antarctica. Regarding the BLUE MED initiative and its related Strategic Research and Innovation agenda, the initiative will be extended to the Southern Mediterranean countries in 2016. Specific activities will also be implemented in 2016 for the development of the Black Sea basin. A research and innovation session at the Stakeholder Conference on the blue economy of the Black Sea, in Odessa, Ukraine, will pave the way towards a new common research and innovation agenda in the Black Sea and can also become a new successful example of science diplomacy.

Moreover, the development of a Food Research Area strategy will help better coordinate, scale-up, structure and connect research and innovation for food and nutrition security in Europe and at international level. The Food Research Area strategy will be presented by World Food Day 2016.

PART 2.   Organisational management outputs for the year

Presentation of main outputs for organisational management:

A. Human Resource Management

In 2016 DG RTD will perform its annual workload assessment and benchmarking exercise (HR Reporting) in order to rebalance the workload of staff according to the priorities of the DG and with the ultimate goal of achieving an even workload balance among staff. Moreover, the results of the benchmarking "(comparison of like activities between directorates)", allows the DG to identify areas where efficiency gains could be achieved.

For DG RTD the exercise of rebalancing of staff workload is especially crucial given the steep taxation of its staff numbers (due to the externalisation of the Horizon 2020 Programme Management), the Commission Staff Cuts and Commission Redeployment tax as well its transition from a Programme Management DG to a policy DG.

Striking the right balance in distributing these reductions <u>per directorate</u> is crucial. A good distribution effectively means less risk for burn-out among staff and a better overall job satisfaction, which should positively influence Staff Satisfaction as well as Staff Engagement (Indicators 2 and 3).

Furthermore, in order to assist its staff in the transition from a 'Programme Management' to a 'Policy' DG, the Human Resources unit is addressing what job profiles are necessary for the future. This will be used in 2016 to revise the training curriculum as well as the Job Descriptions and Recruitment policy.

DG RTD will also launch in 2016 a specialised campaign of talent management for its female AD staff encouraging talented female colleagues to apply for management posts (Indicator 1).

Objective (definition): The DG deploys effectively its resources in support of the delivery of the Commission's priorities and core business, has a competent and engaged workforce, which is driven by an effective and gender-balanced management and which can deploy its full potential within supportive and healthy working conditions.		
Main outputs in 2016:		
Description	Indicator	Target
<u>Output 1:</u> The DG will perform its annual workload assessment and benchmarking exercise (HR Reporting) in 2016 in order to rebalance the workload of staff according to priorities and with the ultimate goal of achieving an even workload balance among staff.	Completion of two main deliverables that will support the Director General in his decision on how to optimally distribute the staff reductions across the DG: (A) the Staff reduction targets per Directorate for 2016, as well as the tentative staff reduction targets for 2017; The Staff reduction targets that the DG has to fulfil for 2016 (including the additional 1% redeployment tax imposed at end of 2015) are as	The staff reductions per directorate will depend on the benchmarking analysis undertaken early in 2016. The HR Reporting Process will be launched in early January 2016 and results should be known by 2016.

	follows: (1) Reduction by 79 Establishment Posts (2) Reduction by 21 Contractual Agent Posts (B) Possibly, and depending on the benchmarking results, a list of areas and actions proposed for efficiency improvement through redeployment or restructuring.	March/April 2016
<u>Output 2</u>: The DG will perform an internal Screening Exercise based on Job Descriptions, for secretarial and support functions	Completion of one main deliverable<u>:</u> Regular screening comparing the DG's Units in terms of the percentage of staff occupied in the secretarial and support functions. The target is to ensure that staff is deployed efficiently	This balancing exercise is an ongoing activity throughout the year.
<u>Output 3</u>: The DG will assist its staff in making the transition into a policy DG through an updated list of training courses, revised job descriptions and revised recruitment policy	Two main deliverables: - New courses to be introduced specifically in areas of interest for policy making - Design of standard policy job descriptions for policy officers, policy and/or research assistants, secretarial/back office staff	End of 2016 for both
<u>Output 4</u>: Launch in 2016 a specialised campaign of talent management for its female AD staff encouraging talented female colleagues to apply for management posts	Number of female applications to middle management positions	Pilot exercise with 12 female colleagues by December 2016
<u>Output 5</u>: Enhance staff physical and mental well-being at work	- Lunchtime conferences on issues such as on the benefits of walking, on psychosocial risk, on sleep, the exchange of information etc. -E-learning information sessions on managing stress and developing resilience or office ergonomics. -"Social corners" to be created, as well as additional showers installed	As time and budget restrictions permit, about 3-5 conferences, 2-4 e-learning sessions, one more social corner at COVE and 4 additional showers in ORBAN
<u>Output 6</u>: Enhance Internal Communication and Staff Engagement	- "Staff Seminars" where the latest developments in the DG are shared by management and where staff can express their views	2-4 Staff Seminars planned

B. Financial Management: Internal control and Risk management

Overarching objective: The Authorising Officer by Delegation should have reasonable assurance that resources have been used in accordance with the principles of sound financial management, and that the control procedures put in place give the necessary guarantees concerning the legality and regularity of the underlying transactions including prevention, detection, correction and follow-up of fraud and irregularities.

Objective (definition): Effective and reliable internal control system giving the necessary guarantees concerning <u>the legality and the regularity</u> of the underlying transactions

Main outputs in 2016:

Description	Indicator	Target
Ex ante controls	Number of transactions	Not relevant
	Total value of transactions	Not relevant
	TTP	90% compliant 31/12/2016
	TTI	90% compliant 31/12/2016
	TTG	90% compliant 31/12/2016
Ex post audit plan for grants	Implementation of the audit plan 2016 (number of audits results closed)	100% at 31/12/2016
Implementation of FP7 audits results	Cumulative implementation rate of FP7 audit results	80% 31/12/2016
Implementation of FP7 extrapolations	Cumulative implementation rate of FP7 extrapolations	75% 31/12/2016

In 2016, the major part of DG RTD's expenditure is related to FP7 and Horizon 2020 grants, complemented by payments to the other implementing bodies such as Agencies, Joint Undertakings and EIB/EIF. Ex-ante controls are rigorously implemented for each transaction (commitments and payments).

Regarding grants, the internal control system of DG RTD is designed in order to gain assurance mainly from ex-post audits. Together with the audit implementation measures, they all have an important cleaning effect on the budget, as well as preventive functions (by learning and deterrence effect).

Their impact is complemented by the beneficiaries' efforts to submit clean cost claims and by the certifying auditors' work. The Commission services make continuously huge efforts on training and informing them about the rules (Coordinators' Day; Participant Portal; communication campaigns).

As well as the results of these control efforts expressed in terms of Error Rate, the control output of DG RTD must also meet other legal requirements of the Financial Regulation: Time-to-Grant and Time-to-Pay are major performance indicators. Respecting them contributes to the regularity of the operations, but also to better and more efficient support for researchers.

Objective 2 : Effective and reliable internal control system in line with <u>sound financial management.</u>		
Main outputs in 2016:		
Description	Indicator	Target
Trainings on ex-ante controls (FP7)	Number of sessions (up to 30 participants)	4 by 31/12/2016
Trainings on business processes (Horizon 2020)	Number of participants (RTD/Research Family)	4000 by 31/12/2016
Harmonized and automated financial operations (Horizon 2020)	Harmonized, integrated and automated financial circuits for commitments and payments available in Sygma for all Horizon 2020	YES by 31/12/2016
Streamlined ex-ante control functions in the IT system (Sygma) (Horizon 2020)	Agreement on the business requirements within the implementing services	Yes by 31/12/2016

DG RTD's major expenditure related control activity is linked to the implementation of Research Framework Programmes. DG RTD's internal control system is constructed in line with the principles of sound financial management. Actions taken and further planned in DG RTD, especially those elaborated and coordinated by the Common Support Centre (CSC) contribute to the economy, effectiveness and efficiency of the operations all over the Horizon 2020 programme implementing services.

The DG's outputs in 2016 cover both FP7 and Horizon 2020, with increased emphasis on the latter.

For FP7 legacy, targeted training actions will continue with the overall aim to improve efficiency of ex-ante controls. For Horizon 2020 grant management, the goal in 2016 is to complete the implementation of harmonized reporting- and payment workflows which incorporate the highly automated financial circuits and are supported by the common grant management IT system suite (SyGMa-Compass with full integration with ABAC and ARES). The foundation of this corporate solution - which is used across the research family - is based on harmonised and streamlined business rules and processes. It is expected that there will be a decreased cost of operations, a reduction in administrative burden and a reduction of the risk of clerical and administrative errors in the payments. During 2016, ex-ante controls in Horizon 2020 will be further streamlined, with the same aim as mentioned above.

Objective 3: Minimisation of the risk of fraud through application of effective anti-fraud measures, integrated in all activities of the DG, based on the DG's anti-fraud strategy (AFS) aimed at the prevention, detection and reparation of fraud.		
Main outputs in 2016:		
Description	Indicator	Target
Update of DG RTD AFS	Yes or NO	YES by 31/12/2016
FAIR Committee	Number of meetings	2 by 31/12/2016
Implementation of the current AF action plan (Research Family level)	Estimated state of implementation of the actions (from report to Management)	60 % by 31/12/2016
AF awareness raising training sessions	Number of participants from RTD	60 by 31/12/2016
	Number of participants from other implementing Services	40 by 31/12/2016
Cases DG RTD referred to OLAF	Number of cases	None (All relevant cases will be transmitted to OLAF)

Cases initiated directly by OLAF	Number of cases	None (depends entirely on OLAF)

DG RTD shares with the other implementing services of the Research Framework programmes the main sectorial fraud risk, which is related to fraudulent cost claims in research grant agreements. Like for other business processes in grant management, DG RTD took the lead of the family and coordinates the anti-fraud strategy and actions that are established and implemented in common by all the involved services.

After the update of the sectorial AF strategy (Research Anti-Fraud Strategy, RAFS) in 2015, DG RTD will update its own AFS, knowing that the fraud risk in DG RTD is concentrated on FP7/Horizon 2020 grant management, and that this is tackled at the relevant level, in the Research Family's common action plan.

The Fraud and Irregularity Committee for Research (FAIR) is the main platform of coordination between the research family members in the field of anti-fraud. Its action is complemented by the local anti-fraud correspondents working meetings and a common anti-fraud training and common tools (guidance, IT developments) – as detailed in the RAFS action plan. FAIR committee makes a regular point on the state of play of this action plan.

The main fraud prevention measure lies in raising the fraud awareness amongst a target population (agents involved in direct grant management). The AF training course is in place since 2011 and has been updated in 2015. As the number of newcomers is generally high in the target population, and DG RTD's sessions are open to all the members of the family, there is a need to maintain the training at a rhythm of +/-6 sessions/year.

One of the main outputs of the fraud detection work consists in files referred to OLAF. Their number is regularly monitored and reported in the annual activity report, as well as the number of cases relevant to DG RTD that are initiated directly by OLAF. All cases of suspected fraud are reported to OLAF, there is no target.

Examples of specific efforts to improve economy and efficiency of financial and non-financial activities

Since the launch of Horizon 2020 and the creation of the Common Support Centre (CSC), the IT needs of the whole Research family, including the Executive Agencies, have been centralised and coordinated.

Additionally, maintenance and constant improvements to the IT applications are foreseen to guarantee the quality of the IT infrastructure.

This is an improvement over the situation during FP7 where there were a variety of systems managed by different DGs. A common system for the whole Research family will provide better services to beneficiaries of Horizon 2020. It allows for a continuous harmonisation and economies of scale in development and operations.

In 2016 the CSC continues the implementation of its activities as set in its mandate and the workplan of each service. One of the objectives is to complete the implementation of harmonized reporting- and payment workflows which incorporate the highly automated financial circuits and are supported by the common grant management IT system suite

(SyGMa-Compass with full integration with ABAC and ARES). The foundation of this corporate solution - which is used across the Research family - is based on harmonised and streamlined business rules and processes. It is expected that there will be a decreased cost of operations, a reduction in administrative burden and a reduction of the risk of clerical and administrative errors in the payments.

C. Better Regulation (only for DGs managing regulatory acquis)

The evaluation and impact assessment activities in 2016 will focus on the adoption of the FP7 Ex-post Evaluation package, the interim evaluation of the Euratom Research and Training Progamme 2014-18 and the preparations for the impact assessment of the Horizon 2020 and Euratom successor programmes.

According to the Decision on the Seventh Framework Programme of the European Community for research, technological development and demonstration activities 2007-2013 (FP7), independent experts carry out an external evaluation of the rationale, implementation and achievements of the Programme by the end of 2015. To this end, an external High Level Expert Group (HLEG) was set up in September 2014. It submitted its report to the Commission on 19 November 2015. This Communication (initiative (2015/RTD/004, adopted on 19 January 2016) sets out the findings and recommendations of the HLEG and Euratom Expert Group and the Commission's response. It is accompanied by a Staff Working Document (SWD) in which the Commission services have evaluated FP7 effectiveness, efficiency, relevance, coherence and EU added-value, in line with 'Better Regulation' requirements. In November 2015, the SWD on the FP7 Ex-Post Evaluation was successfully submitted to the Regulatory Scrutiny Board.

In 2016 DG RTD will launch the Interim Evaluation of the Euratom Research and Training Programme 2014-18 with the aim to complete it by end of May 2017 according to Council Regulation (Euratom) No 1314/2013. This evaluation will contribute to the preparations of the ex-ante impact assessment required for the proposal for the Euratom Research and Training Programme 2019-2020.

In addition, it is expected that the preparations for the impact assessment for the successor to Horizon 2020 and Euratom programmes post 2020 will start at the end of 2016. It is planned that the ex-ante impact assessments will be submitted to the Regulatory Scrutiny Board in 2018.

Objective (definition): Prepare new policy initiatives and manage the EU's acquis in line with better regulation practices to ensure that EU policy objectives are achieved effectively and efficiently Main outputs in 2016:		
Description	Indicator	Target
Commission Communication on the Response to the Report of the High Level Expert Group on the Ex Post Evaluation of the Seventh Framework Programme and the Staff Working Document on the ex-post evaluation of FP7.	Adoption by the Commission	19 January 2016

D. Information management aspects

Objective (definition): Data, Information and knowledge management Main outputs in 2016:		
Description	Indicator	Target
1. Setting up a Task Force within DG RTD to prepare a specific Action Plan for implementing the main recommendations of the Reflection paper on data, information and knowledge management at the European Commission (Deffaa's Group report).	Yes/No	Setting up the Task Force
2. Identify two pilot activities to allow testing of key processes and methodologies prior to broad roll-out within DG RTD	Degree of advancement (as a % of the completion of each pilot project) in the implementation of each of the two pilot activities by the end of 2016.	40% for the advancement in the implementation of **each** of the **two** pilot activities, as target for this output.

DG RTD wishes to implement the main recommendations of the Reflection paper on data, information and knowledge management at the European Commission (Deffaa's Group report). A Unit, within the "Resources" Directorate, will prepare a specific Information and Knowledge Action Plan for DG RTD.

The Unit will consider which of the optional indicators are appropriate and should be introduced.

Furthermore, as part of the Action Plan, identify two pilot activities which would allow for the testing of processes and methodologies prior to the broad roll-out within DG RTD.

Pilot project 1: ARES files should be made viewable across the entire Commission Services as a default (technical part of the pilot project), as opposed to the present technical default of documents viewable across DG RTD. The main aim would be to enable faster and broader sharing of information. In parallel, efforts will be carried out across the DG, to make sure that the percentage of documents with restricted access in ARES be kept to an absolute minimum, in cases of real and visible sensitivity of information. This would be directly linked to the advances planned for document and information management, as identified under Objective

Pilot project 2: Some of the core ideas first proposed by Commipedia should be exploited for all briefings (both for the Commissioner and for the top hierarchy in the DG) in DG RTD. At present, DG RTD relies upon BASIS for the briefings for the Commissioner, his Cabinet, and the Director General. Commipedia is far more than a simple repository of briefings, which can be searched for theme and content. With Commipedia, all staff in the DG would be able to update, on a continuous basis, all briefings. The result will be state-of-the-art, high-quality knowledge - or "deep smarts"- across the DG.

E. External communication activities

External communication in 2016 will focus on increasing awareness of four Commission political priorities, highlighting progress and successes (see bullets below). Special attention will be given to showcasing R&I initiatives that receive funding under the Investment Plan. Communication opportunities will also arise from the events under the Dutch and Slovakian presidencies priorities (investment in research and innovation, open science and young researchers).

Key communication opportunities for 2016 include:

- A New Boost for Jobs, Growth and Investment

The launch of a call for expression of interest in March/April among venture capital fund managers to establish a European Fund of Funds will represent a major communication opportunity to show how EU action is addressing one of the key barriers holding back innovation in the EU.

The start of the review process in April, linked to a Dutch presidency event, for the EU Bio-economy Strategy and Action Plan will mark a key step is reinforcing the key messages of the Circular Economy package.

In the area of Key Enabling Technologies (KETs) there are two conferences linked to the Dutch and Slovak presidencies ('IND2016 – KETs as drivers for the future of Industry', Amsterdam, in June and 'REinEU2016 - The Re-Industrialisation of the European Union', Bratislava, in October). These events will focus on the impact of KETs on the future of European industry and on the application of new and innovative technologies in manufacturing with the aim of strengthening the European industrial base. The events will also highlight the contribution of innovation to economic development and the re-industrialisation in Europe.

In the area of health the personalised medicine conference planned for June and the launch of the European Human Bio-monitoring Initiative (EHBMI) in December will present opportunities for reaching out to a broader audience with messages highlighting, inter alia, the need to improve health-related data sharing for speed up treatments.

And the Second Internal Conference on Science Advice for Government in September will provide a very visible platform to promote the work of the newly established High Level Group, which will be the core of the Commission's Science Advice Mechanism to provide timely and impartial advice.

- A Connected Digital Single Market

European Science Cloud will be on the agenda of the Dutch presidency conference on Open Science.

2016 will also see the launch of the new 2016-2025 strategic plan for the Global Earth Observation Systems and Systems. The communication objective will be to highlight how through the use of open data and enhance global cooperation GEO's mission to develop a sustained and comprehensive environmental observation and information system can have enormous societal benefits (e.g. crop production in Africa, Atlantic observation and the Arctic).

- A Resilient Energy Union with a Forward-Looking Climate Change Policy

The signing of the first deal under the InnovFin Energy Demonstration Pilot Projects risk financing facility for clean energy in the second quarter of 2016 represents an important milestone contributing to the Energy Union objectives by bringing new technologies to the market - in particular the next generation of renewables - and will attract much media attention. The loan of €25 million to the Windfloat project for renewable energy is a first-of-a-kind project for an innovative floating wind turbine.

Later in 2016 the SET Plan conference taking place in December under the Slovakian Presidency will also provide a major communication opportunity to present the Integrated Strategy for Energy Union Research, Innovation and Competitiveness and further reinforce the messages of the Energy Union.

DG RTD is the lead service supporting the 2016 Transport Research Arena event in Poland in April. The focus will be on the energy challenge and automation and it will provide a platform to showcase the latest innovations in this economically critical sector.

A further key focus point for communication actions will be the follow-up of the COP 21 conference and the Paris agreement. The role played by research and innovation, and the contribution of Horizon 2020, to underpin climate actions will remain a communication priority. In this context the international conference on 'Adaption Futures' which will take place in May under the auspices of the Dutch presidency, will be a significant milestone and will provide a further opportunity to pass key messages to a very broad audience.

- A Stronger Global Actor

The coming in to force of two new Association Agreements with Georgia and Armenia to Horizon 2020, planned for first semester of 2016, the celebration of the 40th anniversary of the EU-Canada diplomatic relations and the 20th anniversary of the S&T agreement; the SESAME council meeting and the 3rd Conference on Research Infrastructures (October 2016) will provide opportunities to raise awareness of EU international engagement in S&T and thereby help reinforce the Open to the World narrative.

Conferences organized under the Destination Europe initiative (together with the Member States, ERC and EAC) will continue to raise awareness of the opportunities Europe offers to researchers from all over the world.

A TEDx[7] style conference is being proposed to coincide with the UN's International Week of Science and Peace in November. This represents a major public outreach opportunity to underline the power of science diplomacy and global collaboration in areas such as food and nutrition, sustainable development, infectious diseases, and research infrastructures.

In December (date to be confirmed) the South Atlantic Flagship Initiative on marine cooperation will be launched at a high level conference in Lisbon. This initiative will be a milestone towards the 'All Atlantic Ocean Research Alliance', implementing the strategy

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[7] Technology, Entertainment and Design (TED) conferences were launched in 1984 and today covers topics from science to business to global issues in more than 100 languages. TEDx events are independently run events following the same format to help share ideas in local communities around the world.

agreed in May 2013, which will also embrace the successful ongoing work between Europe and North America.

In addition, planned communication activities around COP 21 and the GEOSs initiative will reflect their strong international aspects.

The OECD Blue Sky III conference (September 2016), bringing together top policy makers to set the STI measurement agenda, can provide communication opportunities on global responses to economic and social challenges.

Other key 2016 communication actions include: an international conference in February on 'Understanding and tackling the migration challenge: the role of research'; the EuroScience Open Forum in July; and the European Union Contest for Young Scientists in September.

Coordination will continue with the research and innovation family of Directorate-Generals and Agencies to exploit synergies and broaden the community of key multipliers. Wherever possible, and in collaboration with the EU's Representations and Delegations, communication actions will also be tailored to make them suitable for local dissemination to key multipliers. A particular focus will also be to work more closely with EEAS as regards highlighting the role that research and innovation plays in science diplomacy.

Objective (definition): Increase the direct reach of DG RTD communication actions Main outputs in 2016:		
Description	Indicator	Target
Number of unique visitors to Europa and Horizon Magazine websites and newsletters, Social media follows, and key known multipliers.	Number of unique visitors to Europa and Horizon Magazine websites and newsletters, Social media follows, and key known multipliers.	10 520 000 (increase of 3.0% compared to 2015)

In this context 'direct reach' is defined as the population who have manifested and interest in research and innovation issues either through behaviour (unique visitors to webpages) or choice (social media followers; registration to mailing lists). The data refers only to communication channels directly implemented, administered or contracted (e.g. the Horizon Magazine) by DG RTD. The data refers to reaches per platforms (web, Facebook account, twitter account, etc.).

Objective: Engagement	
Indicator 1.2 Fan engagement rate	
Baseline: Year end 2015	Target: Year end 2016
Facebook (Horizon 2020): 17.5	110%
Facebook (Innovation Union): 5.8	110%
Twitter (Horizon 2020): 12[8]	12
Twitter (Innovation union):4.4	5.3

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[8] Estimated value.

Annual communication spending (based on estimated commitments):	
Baseline (2015): 5.23MEURO	Target (2016): 5.24 MEURO

DG RTD's annual communication spending comprises two components: those actions implemented directly by the Communication unit, and those actions coordinated by this unit but implemented by other services within the Directorate-General. The medium term aim is to keep the budget below 5.5 MEURO.