



European
Commission

Management Plan 2021

DG RESEARCH AND INNOVATION

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INTRODUCTION

2021 will mark the launch of **Horizon Europe - a new European Framework Programme for Research and Innovation** - which will replace its successful predecessor, Horizon 2020. With the start of Horizon Europe, DG Research & Innovation (DG R&I) will make an additional step in its externalisation of activities to executive agencies and other bodies.

Horizon Europe is the most ambitious research and innovation programme ever introduced in the European Union both in terms of budget as well as of new approaches aimed at maximising its impact. Its funding will support the green and digital transition for our societies and will foster a sustainable recovery from the global crisis that has emerged following the covid-19 pandemic.

In 2021, DG R&I will launch Horizon Europe **missions**, a completely new instrument introduced by the research and innovation framework programme to be deployed in close cooperation with other funding instruments across the relevant policy areas. Missions will address global challenges that affect citizens' daily lives by putting forward ambitious and inspirational but achievable goals, in the fields of cancer, healthy soils and food, climate-neutral cities, oceans and climate adaptation. For this reason, the involvement of citizens has been a key feature during the design phase and will continue to be ensured during their implementation.

2021 will also be the first year of the revamped **European Research Area** implementation in support of a forward looking and transformative EU R&I policy agenda. To support R&D public investments and reforms, DG R&I will contribute to the implementation of the Recovery and Resilience Facility.

The **COVID-19 global pandemic** will continue to influence lives and activities of European citizens. The European Commission will continue its efforts to finance, secure and distribute a safe vaccine to all in Europe. In order to tackle the impact of the COVID-19 pandemic at all levels, the European Commission has proposed a reinforced budget to repair, recover and shape a better way of living for the world of tomorrow: NextGenerationEU. The recovery package reflects a key role of research and innovation in addressing the impacts of the pandemic by reinforcing Horizon Europe's budget to fund vital research in health, resilience, green and digital transitions.

The pandemic has demonstrated the need for a more coordinated approach across the EU in the area of health. It has paved the way for the launch of the European Health Union in which research and innovation will be a key driver in delivering a better preparedness for future public health threats and for delivering knowledge driven innovation to inform policies and provide new solutions to beat diseases such as cancer.

In 2021, **DG R&I will contribute to the six headline ambitions of the Von der Leyen Commission**. The DG will also play an important role for strengthening a modern, high performing and sustainable European Commission.



Faced with long-term social and economic effects of the global pandemic, our vision remains unchanged: **a sustainable, safe, fair and prosperous future for people and planet**, based on solidarity and respect for common European values.



Our mission is to design and implement research and innovation policies and programmes in collaboration with Member States, international partners, stakeholders and citizens. These policies and programmes, supported by investment and relevant regulation, will **deliver new knowledge and game-changing innovation for the green and digital transformation**. We aim to have a high scientific, technological and societal impact, built on scientific evidence and strong input from citizens. DG R&I operates in an ethically robust, effective and efficient manner and keeps a strong focus on the European added value.

The policy can only be understood and owned by citizens, when supported by effective communication. An **external communication strategy** will accompany policy development at all stages with its culmination during the **European Research and Innovation Days**. The 2021 edition of the event will gather stakeholders, citizens and policymakers to shape the R&I landscape, working across policies, spurring innovation and triggering investment.

This Management Plan defines the most important output of DG R&I for 2021, in order to deliver on the objectives set in the Strategic Plan 2020-2024. It follows the structure of the Strategic Plan and fully reflects the priority actions identified in the Commission Work Programme for 2021.

THE R&I POLICY FOR ACCELERATING TRANSITIONS IN EUROPE

DG R&I SPECIFIC OBJECTIVES TO THE COMMISSION'S HEADLINE AMBITIONS

GENERAL OBJECTIVE 1: A EUROPEAN GREEN DEAL

- ▶ **Specific objective 1.1:** High-quality science, knowledge and innovative solutions support climate policies and help to preserve biodiversity, ecosystem and natural resources
- ▶ **Specific objective 1.2:** Mainstreaming of the public and private research and innovation investments for climate actions strengthens the European Green Deal's impact
- ▶ **Specific objective 1.3:** Co-creation of Horizon Europe and its missions and partnerships increases awareness of the key role of research and innovation for achieving climate neutrality

GENERAL OBJECTIVE 2: A EUROPE FIT FOR THE DIGITAL AGE

- ▶ **Specific objective 2.1:** High-quality science, knowledge and innovative solutions facilitate a digital transition in Europe, including a new European approach to Artificial Intelligence
- ▶ **Specific objective 2.2:** The revitalised European Research Area sets directions for societal, economic and ecological transitions in Europe and contributes to spreading excellence, closing research and innovation gap and working out a common global response to emerging challenges
- ▶ **Specific objective 2.3:** Research and innovation actions and the European Innovation Council in particular support development and scaling-up of SMEs with breakthrough and disruptive technologies

GENERAL OBJECTIVE 3: AN ECONOMY THAT WORKS FOR PEOPLE

- ▶ **Specific objective 3.1:** Research and innovation actions, increased R&I investments and the R&I component of the European Semester boost economic growth and jobs creation

GENERAL OBJECTIVE 4: A STRONGER EUROPE IN THE WORLD

- ▶ **Specific objective 4.1:** Regional research and innovation strategies and broader association policy contribute to promoting common European R&I values and creating a global Research and Innovation Space

GENERAL OBJECTIVE 5: PROMOTING OUR EUROPEAN WAY OF LIFE

- ▶ **Specific objective 5.1:** Research and innovation develop and deploy solutions, technologies and innovations to tackle emerging threats and improve crisis preparedness
- ▶ **Specific objective 5.2:** Research and innovation support the European health initiatives, including the European plan to fight cancer

GENERAL OBJECTIVE 6: A NEW PUSH FOR EUROPEAN DEMOCRACY

- ▶ **Specific objective 6.1:** European research and innovation support citizens' involvement, social inclusion and equalities in Europe, including through communication of the European R&I added value

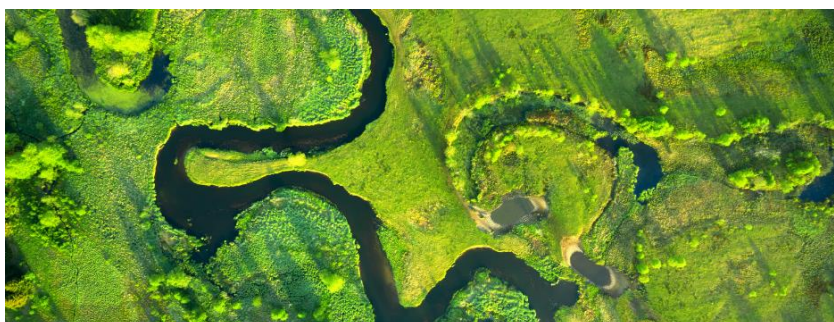
GENERAL OBJECTIVE 7: A MODERN, HIGH PERFORMING AND SUSTAINABLE EUROPEAN COMMISSION

- ▶ **Specific objective 7.1:** The Common Implementation Centre and the Common Policy and Programming Centre provide user-friendly services and tools to the European Commission for effective and efficient planning, programming and implementation of the Research and Innovation Framework Programme and other EU programmes

PART 1. Delivering on the Commission's priorities: main output for the year

General objective 1: A EUROPEAN GREEN DEAL

The world is facing unprecedented climate challenges and Europe is responding with the European Green Deal, an ambitious yet attainable action plan for a systemic transformation towards a climate-neutral continent by 2050.



Research and innovation will play a central role in:

- accelerating and navigating transition towards climate neutrality
- deploying, demonstrating and decreasing a risk of the new solutions
- engaging citizens in social innovation and helping them to adjust to climate change

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Research & Innovation have the capacity to accelerate a just and sustainable transition of societies and economies by demonstrating innovative solutions.

Throughout 2020, DG R&I has made a significant contribution to the European Green Deal initiatives, ranging from the Farm to Fork Strategy, the Sustainable Chemicals Strategy, the Biodiversity Strategy to the renovation wave, offshore renewable energy strategy and the

Clean Hydrogen Strategy. Moreover, the European Commission invested one billion euro under Horizon 2020 to respond to the climate crisis, provide more protection to Europe's biodiversity and habitats under threat, and accelerate a sustainable recovery. It aims to mobilise research and innovation to foster a just and sustainable societal transition by providing concrete solutions for the main priorities of the European Green Deal. The **Horizon 2020 Green Deal Call** includes eight thematic areas and two horizontal areas and selected projects are expected to start in autumn 2021.

In 2021, DG R&I will continue to follow up on the research and innovation aspects of the European Green Deal initiatives launched in previous year. For example, regarding the implementation of the EU biodiversity strategy for 2030 and Farm to Fork strategy. A long-term strategic planning will ensure that research and innovation in biodiversity deliver benefits beyond Horizon Europe and complement national and global efforts. The **IPBES (Intergovernmental Science-Policy Platform on Biodiversity and Ecosystem Services)** will be raised to an equivalent level to that of the **Intergovernmental Panel on Climate Change (IPCC)** for climate science to policy. DG R&I will also continue to implement the actions identified in the 2020 Management Plan: A new ambition for Atlantic Ocean research from the Arctic to the Antarctic, Plastic

free Mediterranean, Polar research, Black Sea R&I Cooperation. DG R&I will contribute to development of the Sustainable Chemicals Strategy for chemical products and processes in order to establish an EU-wide safe and sustainable-by-design support network.

In 2021, DG R&I will make significant contributions to the **Commission Work Programme 2021**:

- the **“Fit for 55 package”**, a concrete policy initiative planned for 2021 to deliver on the European Green Deal to achieve **a climate-neutral Europe by 2050**. In particular, the revision of the Energy Efficiency and Renewable Energy Directives and the Revision of the Regulation setting CO2 emission performance standards for new passenger cars and for new light commercial vehicles.
- the **circular economy package** with a participation to the sustainable products policy initiative, including a revision of the Eco-design Directive;
- contribute to the **Delegated Act of the EU Taxonomy Regulation on circular economy – water – pollution – and biodiversity** to ensure that R&I investments that are taxonomy aligned in those key sectors of the European Green Deal are considered as all other types of non-R&I investments and they benefit from the same legislative framework.
- contribution to **the Zero-Pollution Ambition** and participation to the implementation of the new Chemicals strategy as well as to the focus group working on the **“Towards a Zero Pollution Ambition for air, water and soil”** 2021 Action Plan;
- contribution to the development of the **sustainable and smart mobility initiatives** with a revision of the Directive on Intelligent Transport Systems (including a multimodal ticketing initiative), a revision of the Regulation on the trans-European transport network (TEN-T), an initiative on the EU 2021 Rail Corridor and the development of post-Euro 6/VI emission standards for cars, vans, lorries and buses:
 - Monitoring of all private green tech investment, while refocusing the annual Industrial Scoreboard to report on the targets in the European Green Deal;
 - contribution to the **Renewed Sustainable Finance Strategy Communication**.

In 2021, DG R&I will continue to cooperate with Member States and stakeholders to develop **joint investment agendas for research and innovation**. For example, DG R&I will pilot, with the Innovation Finance Advisory (IFA) department of the EIB, the development of an investment agenda for hydrogen and DG R&I together with DG ENER will start a revision of the Strategic Energy Technology Plan (SET-Plan) in close cooperation with Member States to ensure a revitalised contribution of the SET-Plan to the European Green Deal, including an update of the targets and objectives.

The **implementation of Horizon Europe**, in particular of cluster five (Climate, Energy and Mobility), will make a significant contribution to the European Green Deal. Over 35% of Horizon Europe spending will contribute to climate objectives.

There will be a new wave of research and innovation **partnerships** under Horizon Europe. Partnerships will help drive massive transformations in environment, society and the economy. DG R&I and other Commission services will work closely with industry and countries to support partnerships in critical areas such as transport - including batteries - clean hydrogen, energy intensive industries, low-carbon steel, circular biobased sectors, the built environment, manufacturing and biodiversity.

The **missions** in Horizon Europe will mobilise research and innovation, catalyse action, deliver impact, demonstrate solutions, and produce European public goods. At the same time, they aim to capture citizens' imagination and inspire confidence in the transformations ahead. After a preparatory phase in the first half of 2021 and a feasibility assessment, the first missions will be launched in the second half of 2021.



Horizon Europe Missions supporting Green Deal:

- Healthy oceans, seas, coastal and inland waters
- Climate-neutral and smart cities
- Soil health and food
- Adaptation to climate change and societal transformation

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The **European Innovation Council** 2021 Work Programme will introduce an EIC Accelerator challenge, which will fund transformative green innovations to contribute to the goals enshrined in the European Green Deal strategy and the Recovery Plan for Europe. This will also contribute to actions on the decarbonisation and modernisation of energy-intensive industries and the Renovation Wave for more energy-efficient buildings.

In 2021, the adoption of the Modernisation Package of the **Research Programme of the Research Fund for Coal and Steel (RFCS)** by the Council will support breakthrough technologies leading to near zero-carbon steel-making and research projects for managing the transition of the coal sector and regions in line with the Just Transition Mechanism.

In 2021, the contribution of research and innovation to the European Green Deal call will continue to play an important role **in DG R&I's communication activities**. DG R&I will make a significant contribution to the corporate Green Deal campaign. The implementation of the "Green Deal call" communication strategy will continue and will be extended to a

broader campaign on the role of research and innovation in the Green Deal. Moreover, a “Did you know” brochure with ten success stories related to the Green Deal will be disseminated among different communication channels to reach citizens and raise awareness about the role and impact of research and innovation in the context of the Green Deal.

Each scientific opinion from **the Group of Chief Scientific Advisors (‘GCSA’)** supports the Better Regulation Agenda on specific parts of the policy cycle by underpinning science-informed policymaking. The upcoming Scientific Opinions on the Biodegradability of Plastics in the Open Environment (End 2020/beginning 2021) and a systemic approach to the energy transition in Europe (Spring 2021) will support in particular the policy development of the Green Deal.

Policy activities will be strongly reinforced by external communication, including dedicated debates and panels during upcoming EU R&I Days, Food 2030 event, social media communication related to the Green Deal call, ‘Did you know’ booklet focusing on the European Green Deal and the Green Deal call as well as a set of factsheets dedicated to the winners of this call.

The DG Research and Innovation contribution to the Commission’s headline ambition ‘European Green Deal’ is reflected by the Research and Innovation actions under three specific objectives included to the performance tables in the annexes:

- Specific objective 1.1: High-quality science, knowledge and innovative solutions support climate policies and help to preserve biodiversity, ecosystem and natural resources
- Specific objective 1.2: Mainstreaming of the public and private research and innovation investments for climate actions strengthens the European Green Deal’s impact
- Specific objective 1.3: Co-creation of Horizon Europe and its missions and partnerships increases awareness of the key role of research and innovation for achieving climate neutrality.

General objective 2: A EUROPE FIT FOR THE DIGITAL AGE



Revitalised European Research Area (ERA)

sets directions for societal, economic and ecological transitions in Europe and contributes to spreading excellence, closing research and innovation gap in Europe and working out a common global response to emerging challenges.

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The Commission Communication on the “**New ERA for Research and Innovation**” and the subsequent Council conclusions, both adopted in 2020, call for a bold policy agenda to be designed and implemented in close cooperation between the European Commission and its Member States and where Associated Countries will be closely associated. It is

organised around four key strategic objectives: (1) Prioritising R&I investment; (2) Improving access to excellence; (3) Translating R&I results into the economy; and (4) Deepening the ERA. The revitalised **European Research Area** (ERA) sets directions for societal, economic and ecological transitions in Europe and contributes to spreading excellence, closing the research and innovation gap and formulating a common global response to emerging challenges. In addition, it provides the policy framework to ensure R&I rich national investment and reform plans under the Recovery and Resilience Facility.

A **new governance** will be set in place, starting from the adoption of a Pact for R&I aimed at deepening the implementation of the new ERA’s objectives, setting up a Forum for transition where the European Commission and Member States define, agree and implement an ERA policy Agenda, and a new ERA Scoreboard to monitor progress. The multi-level governance of ERA also calls for a strengthened policy dialogue with regions through the revamped Knowledge Exchange Platform 2.0, in close cooperation with the Committee of the Regions.

The new European Research Area and the European Education Area together will support higher education sector through a **Higher Education Transformation Agenda**. The Agenda will also cover ERA objectives such as strengthening research careers, mainstreaming Open Science practices, ensuring equal opportunities, engaging with citizens, and reinforcing transfer of knowledge and talents to other sectors through support for stronger ecosystems. In this context, the Commission will also monitor the progress by the **European Universities initiative**, piloted under Erasmus+ and Horizon 2020 and tested towards the future, and will engage in a consultation process with expert groups and

workshops. Setting up support mechanisms to deliver on this transformation agenda will require large-scale concerted investment actions, based on a roadmap enabling funding synergies between EU, national and regional actions, incl. support from ERDF/ESF, Horizon Europe, Erasmus, and InvestEU.

Developing a **European framework for research careers** will focus on synergies with employment and social policy, research policy institutional aspects, developing measures for talent management, monitoring and support services through an **ERA talent platform**. Synergies with employment and social policy will address the definition of the research profession input for researchers for the upcoming major update of the **European Skills Competences and Occupations (ESCO)** database and its subsequent adoption by national employment services in the frame of the EURES regulation.

Research Infrastructures (RIs), including the **European Open Science Cloud**, and **Technology Infrastructures (TIs)** play a central role in the renewed ERA, notably as crucial enablers of research and innovation. The increasing data-intensity and demand for multi-disciplinarity in research require a solid and sustainable Research and Innovation base. In this regard, the Research infrastructure programme under Horizon Europe will put strong emphasis on close cooperation and coordination of efforts with Member States (and Associated Countries). This will be done through the **European Strategy Forum on Research Infrastructures (ESFRI)** and an updated roadmap before end of 2021 focusing on matters such as joint planning, sustainable funding, global networking, anchoring in existing or new regional knowledge and innovation hubs, and societal challenges.

In addition, **the ERIC Regulation**, the legal instrument, enabling Member States to come together to jointly establish a body with legal personality under European law and to collectively provide for its funding, is an essential driver for the creation of pan-European Research Infrastructures and so for the integration of the European landscape.

The second implementation phase of the **European Open Science Cloud (EOSC)** will start in 2021 based on a radically new, stakeholder-driven strategic approach. The new EOSC Association (established in Q2 2020)



Better working conditions for researchers

The improvement of working conditions of European researchers will remain a priority for DG Research and Innovation as this strengthens the European Research Area and enables a successful digital transition.

will become operational in 2021 and expand its membership in order to represent the broader EOSC stakeholder community. A more systemic, two-tiered approach to deploy an operational, open and FAIR EOSC ecosystem will be initiated in 2021 through the launch of an EOSC co-programmed European Partnership involving the Commission, the EOSC Association and a new ERA-related strategic structure involving the Member States and Associated countries.

In addition, DG Research and Innovation will work on a full characterisation of the research data market in Europe (EU 27, Horizon 2020 associated countries and UK) through a thorough and detailed description of the complex “research data ecosystem”. The aim will be to acquire a deeper comprehension of the players, volumes, practices and related costs of this ecosystem. This study will be fundamental in developing mainstream FAIR and open data practices by the researchers in the renewed ERA.

The transfer and valorisation of research and innovation results into the economy and society is one of the crucial objectives of ERA. DG R&I will issue European Guiding Principles for **knowledge valorisation** and code of practice for **smart use of IP** with Member States and stakeholders. In support of the 2020 IP Action Plan Communication– an IP Awareness Raising will

be launched for the wider R&I community focusing also on SMEs. The practical guide for researchers on Standards and Standardisation will be revised and up-dated with a broader context for issuing an ERA Code of best practices for researchers on standardisation. At the same time, DG R&I will guide the development of **common technology roadmaps** from basic

research to deployment with industry and Member States linking key partnerships under Horizon Europe with industrial ecosystems.

In 2021, DG R&I will make a significant contribution to major **Commission policy initiatives** planned under this headline ambition. In particular:

- DG R&I will contribute to the update of **the new industrial strategy for Europe** to take into account the impacts of the COVID-19, the global competitive context, and the acceleration of the twin green and digital transitions with inputs on the



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Research and innovation for digital future

The implementation of Horizon Europe, in particular the Cluster on Digital, Industry and Space, new European Innovation Council and new measures for stronger European Research Area will significantly accelerate the digital transition.

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Industry 5.0, Common industrial technology roadmaps for EU industrial ecosystems and on technology infrastructures. Action plans will be developed on Industry 5.0 and contribute to the update of the Artificial Intelligence Coordination plan with a focus on industrial robots.

DG Research and Innovation will contribute to **the Europe's digital decade** a roadmap where goals will be clearly defined for 2030, such as for connectivity, skills and digital public services. Research and Innovation will also be fundamental in taking action across different areas, notably with the legislation covering the safety, liability, fundamental rights and data aspects of **artificial intelligence and a Data Act** to set the right conditions for better control and conditions for data sharing for citizens and businesses. DG R&I will contribute therefore to the **regulatory framework on Artificial Intelligence**. The first new Horizon Europe **Work Programme for ERA**, and the widening and spreading excellence part in particular, will promote an improved access to excellence across Europe, and notably in low-R&I performing countries. The first calls under Horizon Europe will cover both the current Widening instruments and the new measures agreed under the 'Advancing Europe package'.

In 2021, the **European Innovation Council** will have a separate Work Programme with funding and business advisory services for projects and companies with the aim of identifying and supporting breakthrough technologies and innovations with the potential to scale up internationally and become market leaders.

DG Research and Innovation will contribute to the **European strategy for data** which recognises EOSC as the common data space for science, research and innovation that will progressively be expressed with the nine new sectoral data spaces foreseen by the strategy. Best practice on data FAIRness implementation gained in the context of EOSC will be used to link the ten data spaces foreseen in the strategy. DG research and Innovation will help in developing EOSC as a flagship example of synergies between EU policies, in its role in the renewed ERA, the European data strategy and, more widely, the European data economy.

Moreover, in the spirit of developing **joint investment agendas with Member States**, a reinforced R&I-focused dialogue with Member States will also be set up to ensure the soundness of the necessary R&I investments and reforms. This will be a key component of the ERA Forum for Transition that will include the definition of joint actions between Member States to deliver on the ERA objectives.

Synergies between Horizon Europe and other MFF instruments are crucial to maximise the impact of EU investments in R&I. In 2021, DG R&I will pay particular attention that R&I investments and reforms are adequately covered in the new Cohesion Policy programmes (2020-27) and that operational synergies between Horizon Europe and R&I-related Cohesion Policy funds are fully exploited.

Synergies between Horizon Europe and other MFF instruments are crucial to maximise the impact of EU investments in R&I. In 2021, DG R&I will pay particular attention that R&I investments and reforms are adequately covered in the new Cohesion Policy programmes (2020-27), to ensure that operational synergies between Horizon Europe and R&I-related Cohesion Policy funds are fully exploited. To this end, a network of R&I managing authorities responsible for research and for structural measures will be set-up in order to ensure a constant dialogue between the two communities. In addition, operational synergies among Horizon Europe and the Research Programme of the RFCS will be exploited with the aim of maximising R&I resources supporting the development of breakthrough technologies leading to near zero-carbon steel-making.

In 2021 DG R&I will deliver **Industrial Technology Prospect Reports** and **the first industrial technology roadmap** in order to support the implementation of the Industrial Strategy and to accelerate the transfer of research results into the real economy in view of the updated Industrial Strategy 2021. The DG's contribution to the 'Europe fit for Digital Age' headline ambition will be heavily promoted through the numerous external communication actions.

DG R&I will develop a dedicated campaign promoting the new European Research Area and its role for securing the EU single market in research and innovation, supporting Member States in strengthening their R&I systems, providing brain circulation and strengthening career opportunities for European researchers. Careers development in research and innovation will be also a main topic of the 'Researchers Conference on ERA and researchers career' as well as EURAXESS Conference 2021. The external communication activities involving National Contact Points in all Member States will also support Spreading Excellence and Widening Participation policy, aiming at increased participation in Horizon Europe of the beneficiaries from the less performing countries and regions.

The DG's contribution to the Commission's headline ambition 'Europe fit for Digital Age' is reflected by the R&I actions under three following specific objectives included to performance tables in the annexes:

- Specific objective 2.1: High-quality science, knowledge and innovative solutions facilitate a digital transition in Europe, including a new European approach to Artificial Intelligence
- Specific objective 2.2: The revitalised European Research Area sets directions for societal, economic and ecological transitions in Europe and contributes to spreading excellence, closing research and innovation gap and working out a common global response to emerging challenges
- Specific objective 2.3: Research and innovation actions and the European Innovation Council in particular support development and scaling-up of SMEs with breakthrough and disruptive technologies.

General objective 3: AN ECONOMY THAT WORKS FOR PEOPLE

In 2021, DG R&I will make a significant contribution to major **Commission policy initiatives** planned under this headline ambition. In particular:

- The design and **implementation of the Recovery and Resilience Plans**, deeply anchored in the European Semester. Building on the existing R&I Country Specific Recommendations, the plans' assessment will focus on R&I related evidence-based analysis identifying bottlenecks and needs to boost investment and reforms.
- An **enhanced R&I-focussed policy dialogue with the Member States** and the new **Horizon Policy Support Facility 2.0** will support ERA countries in maximising quantity, quality and impact of their R&I investments and implement evidence-based and strategic reforms, also drawing on the combination of learnings between peers and high-level expert's advice and assistance, ensuring full complementarity with the Technical Support Instrument. In order to facilitate the financial investments into R&I in Europe, DG Research and Innovation will contribute substantially to the **revision of EU State Aid rules**. This contribution will focus on the SMEs risk finance, regional investment, energy & the environment.
- In the frame of the review of the **EU Antitrust Block Exemption Regulation**, DG R&I is contributing to the revision of the Horizontal Cooperation Guidelines concerning research and development collaboration and standardisation. The aim is to facilitate and stimulate more R&D between university and research organisations and companies, and between companies.
- Research results and evidence based policy recommendations stemming from the EU R&I programmes will feed into the implementation of **the European Pillar of Social Rights Action Plan**, contributing to ensure that no one is left behind.

In support of **the European Semester and country recommendations**, a second edition of the **Transitions Performance Index** (new report, 72 country profiles and update of website with world map) will be published in 2021.

The external communication activities will strongly support the DG's activities under this headline ambition. 2021 will mark the launch of Horizon Europe accompanied by communication and outreach campaign. The events launching the new R&I framework programme will take place in several Member States, including the launch organised by the Portuguese Presidency early in February. The Commission will be involved in its planning, organisation and promotion. Social media, information campaigns, a set of informative factsheets on novelties of Horizon Europe, videos and website contents will support the implementation of the programme throughout 2021. Dedicated campaigns and factsheets have been planned also for launch of Horizon Europe missions and new partnerships.

The DG R&I contribution to the Commission’s headline ambition ‘An economy that works for the people’ is reflected by the R&I actions under the following specific objective included to the performance tables in the annexes:

- Specific objective 3.1: Research and innovation actions, increased R&I investments and the R&I component of the European Semester boost economic growth and jobs creation

General objective 4: A STRONGER EUROPE IN THE WORLD

In 2021, DG R&I will continue working towards strengthening strategic cooperation in research and innovation with partners around the world.

As foreseen in its strategic planning, the DG will complete the revision of its strategy for international cooperation in research and innovation with **a Communication on the Global Approach to Research, Innovation, Education and Youth**. The Communication will focus on international cooperation in the EU’s top-level policy priorities, ensuring a strong contribution to the twin transitions and to Europe’s resilience to health and other crises and to strengthening the EU’s leadership in the world. It will create synergies with related proposals in the international field (e.g. on the update of the Industry Strategy, on the Southern Mediterranean and on reinforcing multilateral institutions) and propose new ways of working through:



Research and innovation to combat COVID-19

In 2021, DG R&I will continue its efforts to tackle different aspects of the COVID-19 pandemic - both at the European and the global scale. An international online matchmaking platform will be launched to boost collaboration and exchange of scientific results between the best R&I teams and projects focused on COVID-19 and its impact.

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- the creation of global alliances and multilateral partnerships, and securing the international engagement of Horizon Europe, including its Missions and Partnerships, as the basis of world-class research;

- Reinforcing cooperation with key partner countries and regions in the EU’s proximity, (e.g. Western Balkans, Eastern Partnership and Southern Neighbourhood) and

beyond (Africa, Latin America and the Caribbean, and like-minded countries and regions such as USA, Canada, Japan, South Korea, Australia/NZ) where association to Horizon Europe is a key instrument;

- Implementing open strategic autonomy by promoting global openness in R&I cooperation while safeguarding EU interests and technological sovereignty;

- Taking the lead in promoting constructive framework conditions for research globally, so implementing the external dimension of the new ERA.

In the course of 2021, the first rounds of exploratory talks for **the Horizon Europe Association Agreements with non-EU countries** will be launched. This will lead to the opening of formal negotiations and signature of association agreements with third countries interested in association, including the Enlargement, EEA countries and those ENP countries that have in place Protocols for Participation in EU Programmes. For other third countries interested in association, the Commission will engage in exploratory talks and, depending on progress in such talks, progressively recommend to the Council the opening of negotiations.

In the EU's neighbourhood, **the Western Balkans (WB) Agenda** for Research, Innovation, Education, Culture, Youth and Sports is the fruit of a co-creation and large consultative exercise involving all the services of DGs JRC, EAC and R&I as well as other relevant services in DGs AGRI, GROW, CNECT, REGIO. It aims to contribute to the economic development, regional cooperation, and strengthening of the innovation capacity of the Western Balkans partners. For the implementation of ERA priorities, ERA Country profiles provide an overview on achievements and challenges, and describe the Western Balkans' efforts in supporting the association to the Framework Programme.

The R&I dimension of the **Eastern Partnership (EaP)** aims at boosting the innovation capacities of EaP partners by intensifying their integration with the EU R&I systems. To achieve this, five **post-2020 R&I deliverables for the EaP** will be incorporated in the EaP's revised architecture. These deliverables, expected to be adopted at the 2021 EaP Summit, outline tangible outcomes to be measured against specific indicators to measure progress undertaken in the partners' R&I ecosystems.

Cooperation with the Mediterranean region should be also strengthened in 2021 through a joint R&I Agenda and plan of implementation based on priorities identified in 2020 by the 'Union for the Mediterranean Platform for Research and Innovation'. In this context, DG R&I will contribute actively to the Joint Communication on a renewed Partnership with the Southern Neighbourhood.

Following the change of administration in the **United States**, DG R&I aims to exploit the potential for stronger and more **strategic collaboration** scaling up the benefits of R&I cooperation with this partner and exploring possibilities for new alliances to combat global challenges.

In order to strengthen the EU's geopolitical position vis-à-vis **China**, intense work will continue in order to finalise negotiations of **the EU-China Joint Roadmap** for R&I collaboration, with focus on reaching a level playing field and reciprocity in framework conditions for research and innovation. The formal endorsement of the Joint Roadmap depends on the progress of technical discussions with China, discussions at higher level

under the Innovation Cooperation Dialogue, and the completion of required procedures on both sides.

DG R&I will also increase its cooperation with **Africa**, including through a dedicated comprehensive set of initiatives targeting cooperation with Africa under the first Horizon Europe work programme, including the renewal of the European – Developing countries clinical Trials Partnership (EDCTP3). Following the successful organisation of the first ever **EU-African Union (AU) Research and Innovation Ministerial**, policy cooperation will contribute to the development of knowledge economies in Africa, notably as part of EU-AU High Level Policy Dialogue on science, technology and innovation.

Our regional cooperation with Latin America and the Caribbean will gain new impetus in 2021 with **the adoption of the EU-CELAC 2021 – 2023 Strategic Roadmap**. The Roadmap will guide the implementation of joint priorities as identified at the Senior Officials meeting of the EU-CELAC Joint Initiative on Research and Innovation held in 2020, such as mobility of researchers, research infrastructures, , green transition, digital transformation, innovation and open access.

Stronger collaboration with Japan in common priority areas will be sought through linking Horizon Europe missions and the Moonshot programme, in line with the Letter of Intent signed in 2020.

DG R&I will also work with strategic partners (e.g. Japan, South Korea, India, Brazil, and countries of the Gulf region) to **enhance co-funding mechanisms in Horizon Europe** to support international participation. In addition, several initiatives R&I should be identified in the different policy dialogues framed **by bilateral S&T Agreements with partner countries**.

DG R&I will continue engaging in international cooperation in the field of science through specific actions in 2021 such as the development of a **Science Diplomacy Booster pilot**. Close collaboration will take place with the EEAS and Member States (through SFIC) and targeted outreach activities will be organised by the Science Counsellors posted in EU Delegations around the world.

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Regarding the Arctic region, the European Commission plans to prepare a **Joint Communication on the Arctic**. DG Research and Innovation will develop activities around this topic aiming to further strengthen Polar and in particular Arctic research cooperation, to respond to major societal challenges such as climate change adaptation and sustainable development in the Arctic region.

External communication, including social media and news alerts, will support the promotion of broader association and international cooperation policy under Horizon Europe. A roadshow promoting Western Balkans Agenda and Horizon Europe Association has been scheduled in 2021. External communication will strengthen all R&I international activities contributing to combating coronavirus and the impact of the COVID-19 global pandemic by promoting international collaboration among research projects. In order to achieve this, an international online matchmaking platform will be launched in 2021.

The DG R&I contribution to the Commission's headline ambition "A Stronger Europe in the World" is reflected by the R&I actions under the following specific objective:

- Specific objective 4.1: Regional research and innovation strategies and broader association policy contribute to promoting common European R&I values and creating a global Research and Innovation Space

General objective 5: PROMOTING OUR EUROPEAN WAY OF LIFE

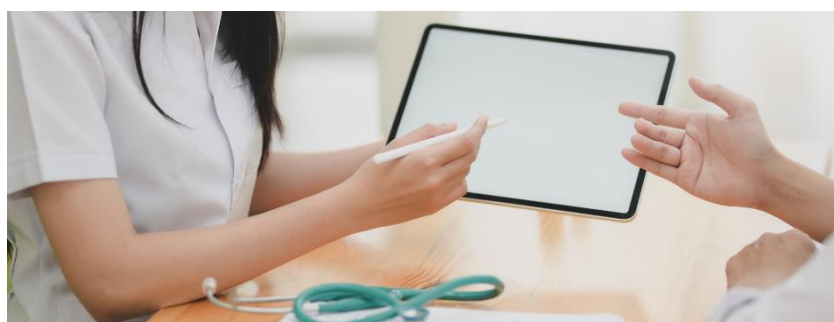
In 2021, DG R&I will make a significant contribution to major **Commission policy initiatives** planned under this headline ambition. In particular:

- In 2021, DG R&I will support the setting up of a dedicated European authority, **the EU Health Emergency Preparedness and Response authority (HERA)**. The communication 'Building a European Health Union: Reinforcing the EU's resilience for cross-border health threats' refers to the setting up of a dedicated European authority, the EU Health Emergency Preparedness and Response authority (HERA). Based on an action proposed in the ERAvsCorona action plan with Member States and Associated Countries, the Commission has committed to developing a new European R&I Partnership for Pandemic Preparedness with the Member States.
- The New Pact on Migration adopted by the Commission aims to pave the way for a new **strategy for internal and external migration governance** in which DG Research and Innovation will play a role. The Commission will publish the Action Plan on Integration 2021-2027. The action plan will develop new tailored objectives as regards the integration of migrants in the EU, including the objective of monitoring a large number of funded projects on migrant integration to distil policy implications, enhancing the evidence base driving the EU's actions on integration.

The **implementation of Horizon Europe**, including the Health Cluster will significantly support and accelerate the promotion of our European way of life and contribute to the European Health Union.

For example:

- Based on an action proposed in the ERAvsCorona action plan with Member States, DG R&I will develop the **new European R&I Partnership for Pandemic Preparedness** with the Member States. This partnership could bring together/coordinate/align national investments and activities on preparedness research by establishing a prioritised and strategic R&I agenda and common working approaches.
- Following the publication of the outline for the mission on cancer presenting five areas for proposed action (understanding; preventing; optimising diagnosis and treatment; survivorship and quality of life and ensuring equitable access), **the launch of the mission on cancer** with the adoption of its implementation is foreseen for 2021, after the completion of the preparatory phase. Close synergies will be developed with the Europe Beating Cancer Plan.
- Partnerships **on Rare Diseases, Health Innovation, Chemical Risk assessment for Health as well as on Health Care Systems Transformation** based on the co-creation process.



Towards modern health care systems

A Partnership on Health Care Systems Transformation will pool a critical mass of European, national and regional scientific resources to face challenges. It will allow health and care systems owners and organizers to boost relevant research, uptake and scale-up innovations and to accelerate necessary improvement.

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These partnerships will help to unleash fully the potential of the changes needed to make sure that European Health Care systems are rebuilt in such a way to be resilient, innovation-friendly, fair, efficient and financially sound. The partnership on Health Care Systems Transformation and its **output** will feed into the EU4Health programme. The Partnership for Health Innovation aims to enable the integration of cross-

sectoral technologies, know-how, products, services and workflows for people-centred health care. Its ambition is to support the delivery of timely and well-informed health solutions (prevention, diagnosis, treatment). The partnership aims to keep EU citizens in good health, decrease disease burden for patients, caregivers and health care professionals.

The upcoming scientific opinion on strategic resilience to crises (spring/summer 2021) will contribute to the post-COVID-19 response. The Group of Chief Scientific Advisors will continue to work together with the European Group on Ethics in Science and New Technologies (EGE) and Peter Piot, Special Advisor to the President of the European Commission on COVID-19, to develop an opinion on strategic resilience to crises in Spring/Summer 2021.

The third edition of the European Research and Innovation Days will take place in June 2021, aiming to gather around 14.000 participants from all Member States and beyond. The event provides the opportunity to discuss a future R&I landscape with stakeholders and citizens thus promoting the R&I policy and informing of its importance for achieving common European goals and tackling global challenges.

External communication will also strongly support the DG's activities contributing to health policy, including the launch of the micro-nanoplastics and health cluster, urban health cluster, Innovative Health Initiative Partnership (IHI) and Cancer Mission under Horizon Europe. The DG's contribution to the Commission's headline ambition 'Promoting our European Way of Life' is reflected by the R&I actions under two specific objectives included to the performance tables in the annexes:

- Specific objective 5.1: Research and Innovation develop and deploy solutions, technologies and innovations to tackle emerging threats and improve crisis preparedness
- Specific objective 5.2: Research and innovation support the European health initiatives, including the European plan to fight cancer

General objective 6: A NEW PUSH FOR EUROPEAN DEMOCRACY

In 2021, DG R&I will make a significant contribution to major **Commission policy initiatives** planned under this headline ambition. In particular:

- DG R&I will also play an important role in the **Green Paper on ageing** foreseen for adoption at the beginning of 2021 and will open the debate on the long-term impacts of ageing, notably on care and pensions, and on how to foster active ageing. DG R&I's contribution will highlight the impacts of the exclusion of elderly in society as well as the impacts of aging on productivity, while proposed ideas for the creation of a market of goods and services which would allow elderly to live in a sustainable and inclusive society that would offer them easy access to health and social care systems.
- As regards **the rights of children**, DG R&I will provide evidence and concrete proposals on promoting inclusive education and providing a safe and healthy environment for children as part of the EU strategy on the rights of the child.
- As a follow-up to the 2020 Commission European Democracy Action Plan and the 2020 Citizenship report, **citizen deliberations** will be launched, supporting the engagement of European Citizens in the transition to the European Green Deal, facilitating the elaboration of a roadmap for the required transitions across all EU countries with the active participation of citizens. The knowledge from R&I projects and the practical experiences with new forms of citizens' participation, as well as the results of these citizen deliberations in terms of proposals to shape future EU policies, will be DG R&I's contribution to the **Conference on the Future of Europe**.

Horizon Europe sets **gender equality as a cross-cutting priority** and the strengthening of the gender dimension in R&I content as an operational objective. In order to implement this legal basis, a new eligibility criterion will be introduced, requiring that public organisations applying to Horizon Europe have a **gender equality plan (GEP)** in place, and the integration of gender analysis into R&I content becomes a requirement by default. Moreover, the new ERA Communication sets the development of inclusive GEPs as a priority action.

The 2021 actions are oriented towards the efficient implementation of Horizon Europe and the new ERA frameworks' gender equality objectives, supporting an inclusive and sustainable institutional change in R&I organisations, included as part of the Higher Education transformation agenda.

A new **Dissemination and Exploitation Strategy for Horizon Europe** will contribute to maximising and demonstrating the European R&I added value for the society and citizens.

The **Horizon Impact Award** will be repeated in 2021, as a successful initiative to incentivise our beneficiaries and to demonstrate how Research and Innovation projects bring real solutions to concrete societal challenges. The continuous development of the **interactive Horizon Result Platform** will provide all citizens and **stakeholders with easy and open access to R&I results and innovations.**

The collaborative **Framework for Feedback to Policy** in Horizon Europe strengthens the “evidence based policy making” culture, contributes to better regulation within the Commission and overall building trust of European citizens in science, research and innovation. This Framework aims at ensuring the uptake of policy relevant R&I project outcomes in our policymaking and programming cycle, contributing to sound R&I policies and intervention actions on European, regional and local level.



EUROPEAN RESEARCH & INNOVATION DAYS

In the spirit of co-creation and co-designing

The European Research and Innovation Days is the European Commission’s flagship event bringing together policy makers, stakeholders and citizens to debate and to shape the future of R&I. Its goal is to increase citizens’ awareness of positive impact of research and innovation on our societies, economies and everyday life.

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Finally, **open dialogue** with all stakeholders of the R&I framework programmes (e.g. beneficiaries, policy makers, experts, citizens, investors etc.) and a revised **outreach strategy** to explain how Horizon Europe is implemented will improve our communication and lead to better coverage and inclusion of

participants. Online events will become more interactive, with enriched digital content.

To increase the involvement of citizens and stakeholders in communication and co-design events, a dedicated Outreach platform will be launched in 2021. The DG’s communication services will organise a virtual exhibition of the most impactful R&I success stories and results, to raise awareness on how R&I EU-funded projects have developed important solutions to improve citizens’ daily lives. Horizon Europe Outreach Strategy will be implemented for improved communication on implementation of the programme and provide participants with detailed information on the R&I framework programme and its calls.

The DG's contribution to the Commission's headline ambition 'A New Push For European Democracy' is reflected by the R&I actions under the following specific objective:

- Specific objective 6.1: European research and innovation support citizens' involvement, social inclusion and equalities in Europe, including through communication of the European research and innovation added value

General objective 7: A MODERN, HIGH PERFORMING AND SUSTAINABLE EUROPEAN COMMISSION

The implementation of Horizon Europe will be among the main activities in 2021. The first ever Strategic Plan will be published, setting out the key strategic orientations and destinations for the Programme for 2021-2024. Assuming that the publication of the Horizon Europe Regulation goes ahead as planned, the first main Work Programmes are expected to be published in April 2021, with the Work Programmes for certain programme parts (ERC, EIC, for example), expected earlier. The Work Programmes, developed in co-creation with all the services in the Commission, and after an unprecedented consultation of stakeholders, will focus the Research and Innovation effort on the Green and Digital transitions, and on the resilience of the EU, especially for the post-COVID era.

New elements in Horizon Europe will be implemented in 2021. Firstly, the Commission proposal for an improved set of **institutionalised European Partnerships** will be launched in the first quarter 2021 to address some of Europe's most pressing challenges through concerted research and innovation initiatives. Secondly, the launch of five ambitious **Missions** addressing major societal concerns - climate neutral cities, restoring oceans, soils for life, climate resilient Europe and conquering cancer. These missions are important instruments to connect Europe with citizens, putting research and innovation at the heart of initiatives that should have an influence on society.

2021 will see the launch of the **Common Policy Centre (CPC)**. This centre is designed to ensure that all policy and programming activities in the context of Horizon Europe are appropriately managed in a collective setting. The CPC should contribute to the strategic planning process, ensuring coordination for programming and planning, programme monitoring and evaluation, budget management and horizontal questions relating to European partnerships and missions. The establishment of the CPC as a common service will be a major objective for 2021.

Foresight and external expertise will be used to anticipate better the impacts of regulation on innovation, in line with **the Innovation Principle**. To follow up on Council Conclusions from November 2020 a progress report on EU and national approaches to experimentation clauses and regulatory sandboxes will be presented to the Council Better Regulation working party. Stakeholder-led innovation deals can be used to identify regulatory barriers for instance in the context of missions or the European Innovation Council Forum.

To ensure a forward-looking research and innovation policy, R&I Foresight, in partnership with Member States, will ensure that European Research and Innovation policy is best placed to serve the Digital and Green transitions and the shape the future of Europe to the future we want. Policy briefs on the green transition are planned for 2021.

There will be regular reporting on the results of the Framework Programme, and research and innovation policy more generally, for example: policy briefs from the Economic and Social Impact of Research (ESIR) and Transformative Research and Innovation Initiatives and the Annual Report on Research and Technological Development Activities. Horizon Europe monitoring flashes and digitised monitoring frameworks will be put in place to show how Horizon Europe is helping the EU tackle the Covid-19 crisis and reaching its climate objectives under the European Green Deal.

With the launch of Horizon Europe in 2021, DG R&I will push forward a renewed Dissemination and Exploitation Strategy, contributing to the optimisation of the economic and societal impact of Horizon Europe, and making sure that projects results are used to feed policymaking.

DG R&I is also progressing towards the integration of a global approach towards Knowledge Management, ranging from knowledge sharing between DG R&I's and the implementing bodies to the increased valorisation or micro-data for R&I policy design and monitoring, in the Commission and more generally in the ERA context.

The **Common Implementation Centre** (CIC) provides the framework for implementing the Research & Innovation framework programmes (Horizon 2020 and Horizon Europe). Its overarching priorities are simplification, harmonisation, and equal treatment of beneficiaries. This is achieved through optimised tools and processes, including for partnerships, missions, synergies, feedback to policy-making, and the Dissemination and exploitation of results.

In 2021, the Common Implementation Centre will present the **Implementation Strategy for Horizon Europe** and, on this basis, put in place the implementation framework needed for a timely start of the programme. It covers the processes and tools of the entire project lifecycle, including legal documents, guidance and training. This will help reduce red tape and treat applicants and beneficiaries in a consistent manner, regardless of which Commission service is handling their proposals and grants.

The CIC will complete the **Horizon Europe Model Grant Agreements** on the basis of the new corporate Model Grant Agreement. This will introduce, for example, wider reliance on beneficiaries' usual practices for internal invoicing and, in line with the corporate approach, simplified calculation of personnel costs based on daily rates. The CIC will develop a user-friendly Annotated Model Grant Agreement, in close cooperation with the horizontal services.

Following the recent endorsement by the College of a new portfolio allocation of the Horizon Europe framework programme to the Executive Agencies, the CIC will continue to lead the **finalisation of the preparation for the delegation of Horizon Europe** implementation tasks to Executive Agencies under the new MFF, including the **Horizon 2020 legacy**. The CIC will also **prepare the framework for the supervision** of the Executive Agencies, Joint Undertakings and other funding bodies receiving delegation to implement Horizon Europe.

The CIC will work with the R&I family to **design the control strategy for Horizon Europe** (ex-ante and ex-post controls and anti-fraud) in line with the sound financial management principles and aiming at a simpler and, to the furthest extent possible, error free Horizon Europe (for more details see part 2.B).

In close collaboration with Legal Service and DG BUDG, the CIC will finalise the preparation of a **simpler model contract for experts** based on a single call for expression of interest published in the portal addressing all programmes together.

The Common Implementation Centre leads the **corporate IT suite for grant management (eGrants)** and ensures smooth operation and continuous enhancement of **the Funding and Tenders Portal**, which serves as a one-stop shop for all applicants, beneficiaries, and external experts. The eGrants IT tools and the portal are already used by 28 Commission programmes. In 2021, the CIC will continue to adapt eGrants and the Funding and Tenders Portal to the needs of Horizon Europe and the next MFF. The onboarding of new programmes will continue with the view of supporting all centrally managed funding programmes under the next MFF.

The DG's contribution to the Commission's general objective 'A modern, high performing and sustainable European Commission' is reflected by the R&I actions under the following specific objective:

- Specific objective 7.1: The Common Implementation Centre and Common Policy and Programming Centre provide user-friendly services and tools to the European Commission for effective and efficient planning, programming and implementation of the Research and Innovation Framework Programme and other EU programmes

PART 2. Modernising the administration: main output for the year

The internal control framework¹ supports sound management and decision-making. It notably ensures that risks to the achievement of objectives are taken into account and reduced to acceptable levels through cost-effective controls.

DG R&I has established an internal control system tailored to its particular characteristics and circumstances. The effective functioning of the service's internal control system will be assessed on an ongoing basis throughout the year and be subject to a specific annual assessment covering all internal control principles.

A. Human resource management



While the DG structure has undergone a major evolution, and several processes, working modalities and working spaces have been adapted to the ambition in the past two years, a deeper organisational culture shift is a longer process that demands continued effort.

The challenge and, at the same time, the opportunity that the Directorate-General

faces now is to move towards its complete transformation into an administration fit for the 21st century, building on the work already done and capitalising on the momentum created at corporate level by the current context and its strong impact on greening, digitisation and reflections on post-Covid operations in government administrations.

¹ [Communication C\(2017\)2373 - Revision of the Internal Control Framework](#)

The beginning of 2021 will be marked by events, which are relevant in the development of a local HR Strategy, such as the delegation of programme implementation to the Executive Agencies and other EU bodies, the reorganisation of the Directorate-General and the allocation of resources. In parallel, we will work on the local HR Strategy and considering the timing of these relevant events, we estimate that the local HR Strategy could be finalised in the first semester, while making the maximum effort to finalise earlier in the first months of 2021.

In parallel, and to exploit synergies with female talent development, DG Research and Innovation will continue to encourage talented female colleagues to express their interest in increasing their range of responsibilities and to apply for management posts.

In 2021, DG R&I will implement the internal communication strategy 'People and policy: talk, listen, share, engage'. It contains a number of new actions, which will have an important impact on staff engagement. These actions will be measured and evaluated according to corporate standards. The change process R&Innovate, launched in July 2019 and involving strategic aspects of internal communication, staff engagement and organisational development, is still on-going. Its follow-up is assured by representatives from senior management, HRBC and the Internal communication team

B. Sound financial management

This section describes the measures put in place to provide to the Authorising Officer by Delegation with reasonable assurance that **resources have been used in accordance with the principles of sound financial management and that cost-effective controls**, which give the necessary guarantees for legality and regularity of underlying transactions **are in place**.

Year 2021 will be a year of transition for DG Research and Innovation with the start of the new programme Horizon Europe and the delegation of the activities of Horizon 2020 and Horizon Europe to the Executive Agencies. In 2021, the largest part of the payment expenditure will be for payments to Horizon 2020 grants and to other implementing bodies such as the Executive Agencies, Joint Undertakings, Public-Public-Partnerships and European Investment Bank / European Investment Fund (for H2020 legacy financial instruments).

Ex-ante controls are rigorously implemented for each transaction (commitments and payments). Standard ex-ante control measures are in place for Horizon 2020 and will be in place for Horizon Europe. They are tailored to the different forms of costs and combine trust-based baseline checks and risk-based targeted controls.

The ex-post control for grant management, part of the common audit strategy adopted in 2016, is largely centralised in the Common Audit Service (CAS) for the whole Research and Innovation Family. The CAS undertakes all ex-post audits (representative and

complementary), including those concerning the Executive Agencies and the Joint Undertakings, and ensures a harmonised approach, minimising the audit burden on beneficiaries and maintaining and contributing to sound financial management. The robust Horizon 2020 ex-post audit strategy contributes to the assessment of the legality and regularity of Horizon 2020 grants' payments by means of ex-post financial controls.

Together, ex-ante and ex-post controls provide the Authorising Officers by Delegation (AODs) with the necessary elements of assurance on the research and innovation budget under their responsibility. The **Common Implementation Center (CIC)** will work with all R&I family services and the European Court of Auditors to strengthen the common ex-ante control approach for H2020, and to **design the control strategy for Horizon Europe** (incl. ex-ante and ex-post controls and anti-fraud)

The internal control system of DG Research and Innovation is designed to **maintain error** rates within an acceptable range. For Horizon 2020, DG R&I remains firmly committed to its objective in reducing the cumulative residual error rate to a percentage below, or as close as possible to, 2%. Given the results of the audit campaign up until 2020 and the observations made by the European Court of Auditors in its annual reports in 2018 and in 2019, the CIC, in close cooperation with DG BUDG and the IAS, are defining **an action plan, which aims to reduce further the multiannual error rate of H2020**, and pave the way for a **simpler** and, to the furthest extent possible, an **error free Horizon Europe**. Actions include further simplification, increased used of simplified forms of funding (including lump sums), focused communication campaigns to more “error-prone” types of beneficiaries with higher than average error rates, such as SMEs and newcomers, and enhanced training to internal project officers and External Audit Firms performing audits on behalf of the Commission. By focusing on the most common errors, these events will be short and simple, reaching more participants and achieving higher impact.

In the context of further reducing the error rates, the CIC will examine the **existing tools for ex-ante controls**. The CIC will carry out a consultation with the stakeholders in order to collect their views on what improvements should be developed in the grant management risk module or via additional business activity monitoring reports.

It should be noted that although the start of the implementation of these actions will be immediate, their positive effect in the form of reduction in the multiannual error rate may take time to materialise.

As concerns the **use of simplified forms of costs**, the **H2020 lump sum** pilot will continue in 2021. This pilot, which gave rise to more than 400 lump sum grants, will be assessed, to identify the strengths and weaknesses of the pilot in order to improve the current approach. The results of this assessment will support the decision as to what extent, and for which actions, lump sum funding will be used in Horizon Europe. In addition, the feasibility of a unit cost option for personnel cost will be analysed.

Indicators² based on the 17 principles of the Internal Control framework were updated at the beginning of 2020. They will be reviewed at the end of 2020 and will be used for the assessment of the internal control system in the Annual Activity Report 2021.

The Common Implementation Centre provides common services in legal support, ex-post audit, IT systems and operations, business processes, programme information and data and dissemination and exploitation to all Research and Innovation DGs, the Executive Agencies and the Joint Undertakings implementing Horizon 2020 and Horizon Europe. It helps to coordinate and deliver the H2020 programme across nine other Commission Directorates-General (DG AGRI, DG CNECT, DG DEFIS, DG EAC, DG GROW, DG HOME, DG MOVE, DG ENER and JRC), five Executive Agencies³ (REA, ERCEA, ISMEA⁴ CINEA⁵ and the new HaDEA⁶), and eight Joint Undertakings (BBI, CleanSky2, ECSEL, EuroHPC, FCH2, IMI2, SESAR, Shift2Rail).

In 2021, in addition to the above mentioned DGs, the CIC will extend its support in the areas mentioned to DGs CLIMA, EMPL, SANTE, ENV and MARE who are joining the R&I family in Horizon Europe and to new Funding Bodies (Article 185 and Article 187 of the TFEU, which will be set-up in the course of 2021) implementing the Horizon Europe Framework Programme. Acting as a hub for the above activities, the CIC helps reduce costs using economies of scale.

The costs of supervision of grant management, and delegated/externalised bodies (Executive Agencies, Joint Undertakings, Public-Public Partnerships, and EIB/EIF) will be kept to the minimum that is appropriate for a satisfactory balance with the risks to sound financial management.

In order to improve the accuracy of the financial and management reporting of local systems, action plans are currently being implemented and will continue in 2021. With regards to the (significant) part of its budget implemented through indirect management, DG Research and Innovation relies on the reports and accounts provided by the relevant implementing bodies. This information is considered reliable sufficient and, therefore, supervision does not affect 2021 activities.

² Internal Control Monitoring Criteria

³ as set-out in the Communication to the Commission on Delegation of the management of the 2021-2027 EU programmes to executive agencies (C(2020)7876/3 dated 11/11/2020)

⁴ ISMEA - The European Innovation Council and SMEs Executive Agency

⁵ CINEA – The European Climate, Infrastructure and Environment Executive Agency

⁶ HaDEA - The European Health and Digital Executive Agency

C. Fraud risk management

The **Common Anti-Fraud Strategy** in the Research and Innovation family (RAFS 2019) and its corresponding Action Plan deal with the fraud risks related to the implementation of the Research and Innovation programmes concerning Grant Management. The Common Audit Service (Unit RTD.B2-CAS) coordinates this strategy, suggests actions, and chairs the Fraud and Irregularities in Research (FAIR) Committee. This unit is also the OLAF correspondent for the Directorate General Research and Innovation (DG R&I). In addition, the Common Audit Service plays a prominent role in facilitating coordination within the R&I family in relation to OLAF cases involving more than one stakeholder.

For year 2021, enhanced pro-active, targeted data analysis to identify beneficiaries presenting specific risks will continue as the primary action, in order to inform the selection of risk-based audits. The FAIR Committee will remain central for the implementation of the RAFS and its Action Plan, as well as for the coordination between the R&I family on anti-fraud matters and on OLAF cases and recommendations. In addition, DG Research and Innovation will continue to collaborate closely with OLAF on case selections, investigations and its yearly financial monitoring exercises, and actively participates in the OLAF-chaired FPDnet meetings (both plenary and subgroup). Lastly, RTD.B2-CAS will initiate via the FAIR discussions on the design of the future Horizon Europe Common R&I Anti-Fraud Strategy.

DG Research and Innovation also has a separate Anti-Fraud Strategy, which was updated in 2019 and covers areas that are not related to Grant Management, i.e. fraud risks related to financial instruments, procurement, expert management, internal fraud etc. Its Action Plan includes one action aiming to raise awareness among DG Research and Innovation staff about the ethics rules of the Commission, with a particular emphasis on possible conflicts of interests in DG R&I.

D. Digital transformation and information management

With Horizon 2020 and the setting up of the Common Implementation Centre, simplification and harmonisation turned into a policy goal. Gradually, **harmonised business processes and IT tools** were deployed to cover by fully electronic means all stages of the grant lifecycle via eGrants and the **Funding & Tenders Portal as the one-stop shop** for applicants and beneficiaries.

Today **eGrants** has automated processes from publication through submission, evaluation, grant agreement preparation, project follow-up, payments, closure of projects to complete support to ex-post audit, interaction with external audit firms and implementation of any audit findings. It further covers selection, contracting and payment to experts and validation of beneficiaries.

This success led to the decision to provide by the start of the next MFF fully electronic management of all centrally managed EU funding programmes. **The on-boarding of**

programmes beyond Horizon 2020/Horizon Europe started by aligning requirements of these programmes with the procedures and IT tools in place. The implementation of the eGrants suite of IT tools evolved from an R&I tool to a corporate endeavour for the next MFF. As such, **eGrants** contributes to the Digital Transformation of the Commission, with a high visibility to the external stakeholders. These IT tools will be further developed, to realise their full potential, for instance in terms of **support to policy making** as technologies today allow harvesting information from large corpus of unstructured or semi-structured documents, even across programmes.

Data and knowledge assets

DG R&I has designed an R&I Data Strategy, and is working on a wider Knowledge Management Strategy, and will accelerate their implementation in 2021. Some of the key elements are:

- pushing for the use of data for Policymaking, in the Commission but also throughout Europe (e.g. European Data for R&I Policy Initiative)
- contributing to the corporate initiative on the Country Knowledge
- working very closely with the corporate One Stop Shop, developing for instance, one of the Teams/M365 pilot receiving Strong support from the corporate deployment team, at the crossroads of Knowledge Management and Feedback to Policy
- putting transparency and data sharing/interoperability at the forefront (e.g. extended Horizon Dashboard, projects and results repository)

Data protection

With Horizon 2020 and the setting up of the Common Implementation Centre, simplification and harmonisation turned into a policy goal. Gradually, harmonised business processes and IT tools were deployed to cover fully electronically all stages of the grant lifecycle via eGrants and the Funding & Tenders Portal as the one-stop shop for applicants and beneficiaries.

With the aim of having a rigorous implementation of the data protection rules and principles by its staff, DG Research and Innovation is developing its data protection awareness raising activities. In particular, in 2021, DG Research and Innovation will continue the provisions of:

- **A 1,5 hr data protection course at induction days for newcomers (one session per month);**
- **A 2,5 hr data protection training for all staff (one session per month);**
- **Two data protection quizzes (10+11 questions, on-going);**

- **Drafting/updating records/privacy statements and addressing specific data protection business cases in close collaboration with the concerned colleagues.**

Digital Workplace

The Commission's Digital Workplace Strategy, placed in the context of the Synergies & Efficiencies Review in the ICT Domain, implements the vision to provide staff with the right IT tools, platforms and services, enable users to work and collaborate anywhere, anytime with fit-for purpose security and the ability to optimise their work experience and productivity. It will be adaptive and flexible to incorporate different types of users, new behaviours and new technologies.

DG Research and Innovation holds the ambition to play a leading role in this domain, and to embrace fully the opportunities for new ways of working that have been made so apparent by the Covid-19 pandemic. It aims to stay at the forefront of corporate Digital Workplace strategies, and Human Resources strategies that will transform our workplace into the workplace of the future.

The DG will pursue the uptake of the Microsoft 365 environment, and will pay particular attention to the way in which this is merged with the existing Intranet and collaboration environments. Furthermore, the DG will stress the need for all staff to become proficient in the use of the newly installed web / video-conferencing tools, including their use for communication with Member States' representatives.

Document Management

The DG will pursue, in close cooperation with the Secretariat-General, the necessary actions related to Synergies and Efficiencies in the Document Management domain. Furthermore, the introduction of the new paperless E-Sign, allowing signature of legally binding documents with external parties, will be followed up through awareness raising, coaching and training. As and when the Covid-19 pandemic recedes, the work with operational services in the legacy paper-archive will once again intensify.

E. Sound environmental management

DG R&I is an active contributor to the EMAS (EU Eco-management and audit) scheme, with notable successes - in particular at the level of reduction of paper-use. The current global attention for Climate Change and the adoption of the European Green Deal has given fresh impetus and energy to these greening efforts. In spring 2020, the DG adopted a ten-point greening plan. Significant progress was made in delivering on this plan, in areas as diverse as conference organisation (the 2020 R&I days was a fully virtual conference), and staff awareness / volunteering (a herb-garden was established in the courtyard of the main DG R&I building).

Two of the open actions fall in the field of 'mobility and air-travel'. They aim at a significant, direct and measurable impact on Green House Gas (GHG) emissions. The challenge is to use the lessons of Covid-19 to deliver sustained reductions in numbers of missions, in the travel of experts and in physical attendance to conferences, whilst at the same time safeguarding the social values that are inherent in physical meetings with stakeholders and citizens. To this end, the DG has already invested in audio-visual equipment for all management offices and all meeting rooms. Installations will be finalised January 2021.

Meanwhile, the 10 point plan also governs smaller actions in the traditional EMAS scope, such as actions on waste reduction / separation, reduction of circulation of newspapers and scientific / research journals, amongst other actions.

As we deliver on actions of the ten-point plan, we will add new ones. The update is likely to include an action aiming to increase the efficient use of IT resources – an energy-saving action that resonates well with sound management of documents and good practices in collaboration.

Green public Procurement

Since 2019 DG R&I, uses the eSubmission tool for the reception and opening of tenders in all open procedures. In 2020 DG R&I will continue to develop the eProcurement corporate tools, which allow the electronic reception and opening of tenders and for procedures on reopening of competition under existing framework contracts.

The recent introduction of the Qualified Electronic signature will allow, in the medium term, the electronic signature of contracts, thus reducing the associated carbon footprint.

The staff of the public procurement team in DG R&I offers advice, in the context of the revision of the files prior to launch of the procedures and on the green procurement criteria to be considered for specific services (i.e. organisation of events, promotable materials, catering services, etc.) applying the centrally developed tool kit which is available at: https://ec.europa.eu/environment/gpp/toolkit_en.htm









F. Example(s) of initiatives to improve economy and efficiency of financial and non-financial activities







The 'European Research & Innovation Days 2020' has been officially certified as "CO2 Neutral Event". The emissions from this event consisted of 194 tCO2e related to the physical part and eight tCO2e related to the virtual part (internet). Building on this successful example, events in 2021 will seek to obtain CO2-NEUTRAL label in line with the PAS 2060, the international standard for CO2-Neutrality, as a guarantee for credible climate action.

ANNEX: Performance tables

PART 1. Delivering on the Commission's priorities: main output for the year

General objective 1: A EUROPEAN GREEN DEAL

General objective 1: A EUROPEAN GREEN DEAL		
<i>Specific objective 1.1: High-quality science, knowledge and innovative solutions support climate policies and help to preserve biodiversity, ecosystem and natural resources</i>		<i>Related to spending programme(s): Horizon 2020, Horizon Europe, EURATOM</i>
Main output in 2021:		
New policy initiatives		
Output	Indicator	Target
 Contribution to amendment of the Renewable Energy Directive to implement the ambition of the new 2030 climate target	Inclusion of appropriate content and/or proposed activities on research and innovation.	Q2
 Contribution to amendment of the Energy Efficiency Directive to implement the ambition of the new 2030 climate target	Inclusion of appropriate content on research and innovation.	Q2
 Contribution to revision of the Energy Performance of Buildings Directive	Inclusion of appropriate content and/ or proposed activities on research and innovation.	Q4
 Contribution to revision of the EU Emissions Trading System	Comments submitted on draft Inception Impact Assessment and draft Open Public Consultation	Q2
 Contribution to Reducing methane emissions in the energy sector	Inclusion of appropriate references to research and innovation.	Q2
 Contribution to Carbon Border Adjustment Mechanism (CBAM) and a proposal for CBAM as own resource	Inclusion of appropriate references to research and innovation.	Q2
 Contribution to Effort Sharing Regulation (ESR)	Inclusion of appropriate references on research and innovation.	Q2
 Contribution to revision of the Regulation on the inclusion of greenhouse gas emissions and removals from land use, land use	Inclusion of appropriate references to research and innovation.	Q2

change and forestry (LULUCF)		
 Contribution to revision of the Directive on deployment of alternative fuels infrastructure	Inclusion of appropriate references to research and innovation.	Q2
 Contribution to revision of the Regulation setting CO2 emission performance standards for new passenger cars and for new light commercial vehicles	Inclusion of appropriate content and/ or proposed activities on research and innovation.	Q2
 Revision of the Third Energy Package for gas to regulate competitive decarbonised gas markets	Inclusion of appropriate references to research and innovation.	Q4
 Contribution to revision of the Energy Tax Directive	Open Public consultation (22 July 2020 – 14 October 2020) 3rd ISSG meeting took place on 8 June 2020	Q2
 Contribution to the Zero-Pollution Action Plan (Communication: Towards a Zero Pollution Ambition for air, water and soil – building a Healthier Planet for Healthier People) as regards human health impacts and the role of R&I.	Number of references to R&I and human health in the document. The Zero-Pollution Plan will include a clear visible chapter on R&I activities and address human health as an important driver for reducing pollution.	Q1 and Q2
Contribution to the Delegated Act of the Taxonomy Regulation on circular economy – water – pollution – and biodiversity	R&I as an integral part of the Delegated Act and R&I input to the definition of the Technical Screening Criteria to be established.	Q4
Staff working document on sustainable by design for advanced materials	Staff working document adopted	Q4
 Contribution to the “Biodiversity and toxic-free environment” package	Inclusion of appropriate content on research and innovation.	Q1 + Q2 + Q4
Output Arctic Science Ministerial (ASM3) Work closely with the countries holding the ASM3 secretariat (Iceland, Japan), the EEAS and other Commission Services to provide coordinated input into the planned Ministerial Declaration to be signed in May 2021.	Commission decision and Council mandate for the signature of the ministerial declaration	Q1-Q2
Mission Ocean, Seas and Waters Mission implementation covering zero pollution as a key objective	Implementation of Mission started	Q4







External communication actions		
Output/ Result	Indicator	Target
Press release/news alert and tweet promoting the EU Taxonomy Delegated Act on circular economy-water-pollution-biodiversity and implications for R&I	Number of impressions	Approx. 6000 impressions
	Number of people who receive the news alert	Approx. 200 people.
Green Deal call social media activities (until the end of January)	Number of posts	2 posts per week
	Number of impressions	Around 18k impressions per post
	Number of engagement	Engagement rate: ca. 0.7%
“Did you know” booklet focussing on Green Deal and Green Deal call areas – print and online (in all EU languages)	Number of readers	1.150
	Number of downloads	1.200
Food 2030 event	Number of attendees	140
Factsheet on winners of the Green Deal call	Number of downloads	78
Other important output		
Output	Indicator	Target
Revision of the SET-Plan	Successful launch and EC co-steering of the SET-Plan beyond 2020.	All along 2021 (ongoing process)
ESIR (Expert group on the economic and societal impact of research and innovation) advice on a transformative R&I policy	Policy Briefs (twice a year)	Q2 and Q4
	Participation at R&I Days	Q2
Protecting European citizens’ health from polluted and deteriorating environments: finalizing the preparation of a European partnership on chemical risk assessment with Member States	Partners confirm their formal commitment through the submission of a proposal to set up the partnership under Horizon Europe.	Q3
Review of the IPBES scoping reports on transformative change, nexus, and business. Review of IPBES/IPCC report on biodiversity and climate change and its summary for policy makers	Adoption of the Scoping Reports and Final Report	Q2
Implementing the Action plan on Chemicals strategy by developing EU safe and sustainable-by-design criteria for chemicals	sustainable by design criteria for chemicals taken up by DG ENV	Q4
Implementing the Action plan on Chemicals strategy: Establish an EU-wide safe and sustainable-by-design	sustainable by design network set up with prominent R&I stakeholders	Q2

support network		
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Specific objective 1.2: Mainstreaming of the public and private research and innovation investments for climate actions strengthens the European Green Deal's impact		Related to spending programme(s): Horizon 2020, Horizon Europe, EURATOM
Main output in 2021:		
New policy initiatives		
Output	Indicator	Target
Contribution to the Delegated act of the Taxonomy Regulation on taxonomy-related disclosures.	Ensure sustainable investment in R&I are properly reported by large companies	Q2
Contribution to the Renewed Sustainable Finance Strategy Communication	R&I is integrated in the strategy and new R&I actions are announced (e.g. increase the involvement of the scientific community in the development of the EU Taxonomy)	Q1
Initiatives linked to regulatory simplification and burden reduction		
Output	Indicator	Target
Launch of second phase of Mission Innovation beyond 2020.	Establishment of operational links with the Climate Neutral and Smart Cities Mission.	Q2
Major external communication activities		
Output/ Result	Indicator	Target
Press release/news alert and tweet promoting the Renewed Sustainable Finance Strategy and implications for R&I	Number of impressions	Approx. 6000 impressions
	Number of people who receive the news alert	Approx. 200 people
Press release/news alert and tweet promoting the Delegated act of the Taxonomy Regulation on taxonomy-related disclosures.	Number of impressions	Approx. 6000 impressions
	Number of people who receive news alert	Approx. 200 people.
Other important output		
Mission Innovation (MI) on clean energy - launch of the EC co-led mission, including on clean hydrogen	Successful and timely launch of the Mission Innovation missions	Q2
Implementation of the Hydrogen Strategy, including the launch of a European Hydrogen Investment Strategy	Successful and timely launch of the Strategy with references to R&I anchored throughout.	Q1
Horizon Europe Monitoring Flash report: European Green Deal and Covid-19	Publication	Q2
Industrial Scoreboard 2021 focusing on the Green Deal Climate targets for industry	Published and downloaded over 100 times	Q4

Preparation of ERA Common industrial technology roadmaps with energy intensive industries, MSs and other stakeholders (ERA priority action No 5), underpinned by technology prospects reports	-Established cooperation structures to develop technology roadmaps under ERA - Number of roadmaps developed	Q4
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Specific objective 1.3: Co-creation of Horizon Europe and its missions and partnerships increases awareness of the key role of research and innovation for achieving climate neutrality		<i>Related to spending programme(s): Horizon 2020, Horizon Europe, EURATOM</i>
Main output in 2021:		
New policy initiatives		
Output	Indicator	Target
Research Fund for Coal and Steel Modernisation Package (Revision of Decisions 2003/76/EC and 2008/376/EC under DG R&I's remit).	Negotiation and adoption by the Council of EU.	Q1-Q2
The 2021-2024 strategic research and innovation plan in the framework of the Specific Programme Implementing Horizon Europe – The Framework Programme for Research and Innovation	Adoption of the Commission Implementing Decision on the 2021-2024 strategic research and innovation plan in the framework of the Specific Programme Implementing Horizon Europe – The Framework Programme for Research and Innovation	Q1, subject to the prior political agreement on the Horizon Europe legal acts on the FP/RfP and the Strategic Plan
The 2021-2022 'main' work programme in the framework of the Specific Programme Implementing Horizon Europe – The Framework Programme for Research and Innovation	Adoption of the Commission Implementing Decision on the 2021-2022 'main' work programme in the framework of the Specific Programme Implementing Horizon Europe – The Framework Programme for Research and Innovation and its necessary subsequent amendments.	Q2, subject to the prior political agreement on the Horizon Europe legal acts on the FP/RfP and the Strategic Plan
Amendment of the 2021-2022 'main' work programme in the framework of the Specific Programme Implementing Horizon Europe – The Framework Programme for Research and Innovation	Adoption of the Commission Implementing Decision on the amendment of the 2021-2022 'main' work programme in the framework of the Specific Programme Implementing Horizon Europe – The Framework Programme for Research and Innovation and its necessary subsequent amendments.	Q4
Proposal of a Council regulation on Article 187 initiatives:– Institutionalised partnerships	Commission proposal	Q1
Proposal for a Decision of the European Parliament and Council	Commission proposal	Q1


(Article 185 initiatives)		
Application of EU Taxonomy in Horizon Europe	Inclusion of the Do No Significant Harm principle of the EU Taxonomy as an overarching and general principle to Pillar II in Horizon Europe WP 2021-2022.	Q2
Contribution to the development of a partnership between the EIB and the EC for the Missions	Launch of a partnership with the Innovation and Finance Advisory of the EIB for the development of investment strategies and further implementation if relevant	Q1(development) Q2 (implementation)
 European Partnership for Batteries	Establishment and successful roll-out of partnership activities.	Q2
 European Partnership on Driving Urban Transitions to a Sustainable Future	Establishment and successful roll-out of partnership activities.	Q3
 European Partnership on Connected, Cooperative and Automated Mobility	Establishment and successful roll-out of partnership activities	Q2
 European Partnership on Transforming Europe's Rail System'	Establishment and successful roll-out of partnership activities	Q2
 European Partnership on the "2Zero – Towards zero emission road transport"	Establishment and successful roll-out of partnership activities.	Q2
 Horizon Europe Mission on Climate Neutral and Smart Cities	Establishment of an Implementation Plan for the Cities Mission	Q3 2021
Significant evaluations and fitness checks		
Output	Indicator	Target
Foresight for the Green Deal, to support Strategic Planning in Horizon Europe	Reports	Publication Q4
Evaluations and fitness checks		
Output	Indicator	Target
External communication actions		
Output/ Result	Indicator	Target
Citizen's engagement activities for missions	Launch of activities for each mission (the specific missions will be defined in the course of 2021 on the base of recommendations of the mission boards.)	Q3 and Q4
Other output		
Launch of the European Partnership on Clean Hydrogen	Set-up and successful rollout of Partnership activities in 2021.	Q1

Launch of the European Cofund Clean Energy Transition	Set-up and successful rollout of Partnership activities in 2021.	Q1
Launch of a Pilot on Hydrogen in the context of ERA	Set-up and successful rollout of the pilot initiative.	N/A (first need to reach agreement on the scope and complementarity with MS strategies and initiatives)
Clean aviation institutionalised partnership (Horizon Europe – Cluster 5)	Set-up and successful rollout of Partnership activities in 2021.	Q3-Q4
Clean Steel European co-programmed partnership (Horizon Europe – Cluster 4)	Set-up and successful rollout of Partnership activities in 2021.	Q2-Q3
Zero-emission Waterborne transport European co-programmed partnership (Horizon Europe – Cluster 5)	Set-up and successful rollout of partnership activities in 2021.	Q2-Q3
Mission implementation plans (MIPs)	Completion of 5 MIPs	Q1
Establishment of mission-specific governance provisions	Agreement of the Steering Board	Q1
Launch of missions, following the review of the preparatory phase	Launch of five missions. Note, depends on the reviews	Q3/Q4
Launch of the European Partnership on the European Open Science Cloud	Set-up and successful rollout of partnership activities in 2021.	Q2
Memorandum of Understanding with energy intensive industries – co-programmed partnership Processes4Planet	<p>Signature of the MoU</p> <p>Approval of first annual report of the partnership illustrating additional activities/investments</p> <p>Performance of partnership against Key Performance Indicators agreed with industry</p> <p>Cooperation agreements with 2 to 4 other partnerships; Identified Synergies with other partnerships.</p>	<p>Q1 (signature)</p> <p>Q4 (approval of the report)</p>

General objective 2: A EUROPE FIT FOR THE DIGITAL AGE

General objective 2: A EUROPE FIT FOR THE DIGITAL AGE		
Specific objective 2.1: High-quality science, knowledge and innovative solutions facilitate a digital transition in Europe, including a new European approach to Artificial Intelligence		<i>Related to spending programme(s): Horizon Europe</i>
Main output in 2021:		
New policy initiatives		
Output	Indicator	Target
Contribution to the implementation of the Communication on enabling the digital transformation of health and care in the Digital Single Market	1+ Million Genomes Declaration: Federated infrastructure for cross-border sharing of genomic and other health data	Q4
European Health Data Space connected to the European Open Science Cloud (EOSC)	Following the publication of the Pharma Strategy, WP 2021/2022 published including relevant actions.	Q2
Contribution to the Digital Europe strategy objectives and the updating of the new industrial strategy for Europe through R&l actions in Horizon Europe-Cluster 2	WP 2021/22 published incl. actions for Digital Europe.	Q2
Input to the update of the Artificial Intelligence Coordination Plan of action with focus on industrial robots	Industrial robots investments included as a priority by Member States	Q1
Other important output		
Output	Indicator	Target
Contribution to the implementation of the European Strategy on Artificial Intelligence	Established cooperation with the concerned EC services and the first European Network of AI Excellence Centres	Q2 (According to the planning and actions of White Paper COM(2020) 65)
Characterisation of the research data market in Europe (EU 27, Horizon 2020 associated countries and UK)	Report	Q4
Reinforce the COVID-19 Data Portal by making clinical and epidemiological data available in conjunction with omic data.	Portal launched	Q4
EURAXESS Digital Cross-Country competence hubs	Launch of the pilot project	Q4 2021
Improve access to country specific information on R&l careers and opportunities through additional EURAXESS National Portals	Launch EURAXESS Tunisia national portal	Q4 2021
Facilitate open and transparent recruitment and improve access to research jobs in Europe	Number of research jobs published on the	100,000

	EURAXESS portal	
	Number of registered organisations on the portal	25,000
Digital and user friendly EURAXESS portal supporting both researchers and employers	Number of pageviews per month	2 million pageviews/month
Improve user experience on the EURAXESS Portal and national portals advancing towards the new ERA Talent Platform	Integration of Chatbot Update CMS to Drupal 9 Migrate to EU Login	Q3 Q4 Q4
Improve data collection capabilities of the EURAXESS platform in light of the new ERA	Improvement of current data collection tools by revamping the list of indicators	Q3

Specific objective 2.2: The revitalised European Research Area sets directions for societal, economic and ecological transitions in Europe and contributes to spreading excellence, closing research and innovation gap and working out a common global response to emerging challenges		<i>Related to spending programme(s): Horizon Europe</i>
Main output in 2021:		
New policy initiatives		
Output	Indicator	Target
Missions communication 	Adoption of the Communication	Q2
European Research Area (ERA) Pact	Adoption of the Pact for R&I and design of a renewed ERA governance	Broad adoption by Member States. First half of 2021
Higher Education Transformation Agenda	Consultation of MS and stakeholders Analysis of European Universities pilot initiative Cooperation toolbox and investment agenda Delivery of Agenda (aiming at possible Communication)	Q4 2021
External communication actions		
Output/ Result	Indicator	Target
European Research Area Communication campaign to promote the implementation of actions in the ERA Communication	Number of contacts made during the campaign Number of views, embeds and downloads	1.000.000 views per video 20.000 impressions per post Engagement rate 0,7%
Horizon Europe Widening campaign through NCPs	Dissemination events in widening countries	Reaching all Widening Countries, including associated countries as

		appropriate
Researchers Conference on ERA and researchers career	Number of participants Social media mentions Attendee satisfaction survey/poll	Q2 date to be confirmed If physical 100-150 If hybrid number depends on allowed number at the time Majority of positive comments/posts/articles
EURAXESS Conference 2021	Number of participants Social media mentions Attendee satisfaction survey/poll	Q3 date to be confirmed If physical 200-250 If hybrid number depends on allowed number at the time Majority of positive comments/posts/articles
EU Contest for Young Scientists (EUCYS) in Salamanca	Number of participants and views, embeds and downloads of A/V material Media interest /Social media mentions/engagement Student's satisfaction (Survey? Poll?)	September 2021 750.000 views 18.000 impressions per post Engagement rate 0,8% Majority of positive comments/posts/articles
IP Awareness Raising and stakeholder consultations for the wider R&I community (IP Action Plan Communication) Social media activities Stakeholders consultation	Number of posts Number of impressions Number of engagement Number of participants to the stakeholders consultation including the European Patent Office	1 per week in Q4 2021 10000 impressions per post Engagement rate: ca. 0.9% 2000
Knowledge Valorisation forum (interactive web platform on Europa website)	Number of participant countries Number of visits Number of page views	EU 27 Member States 4000 12000
Other important output		
Output	Indicator	Target
Annual Report on Research and Technological Development Activities of the European Union and Monitoring of Horizon 2020 in 2020	Adoption of the Commission Communication on the Annual Report on Research and Technological Development Activities of the European Union and Monitoring of Horizon 2020 in 2020	Q3
Establishing the strategic coordination process for partnerships with the Member States	Strategic Coordination process established	Q1
Study on ERA Priority 3 measures (stock taking and future developments)	Analytical report Policy Brief, cost-benefit analysis on future recommendations	Q1 Q2


Acceleration services for the higher education sector	Horizon Europe work programme 2021	Q4
European Competence framework for researchers	Update of the European Skills Competences and Occupations database and EURES regulation	Q4
Development of a policy initiative to bring science and innovation closer to citizens at their own cities	Announcement at the R&I Days 2021	Q2
Development of an ERA Hubs initiative	Completion of mapping of related hubs and clusters across Europe Development of technical specifications of an ERA Hubs concept	Q4
Continuous implementation of the Charter & Code through the Human Resources Strategy for Researchers mechanism (HRs4R) with a particular attention to the cyclical peer reviewed assessment of the Institutions involved in the process	Charter&Code and HR strategy uptake, number of institutions involved in the process. Enlargement and strengthening of the Community of Practices Organization of events for the dissemination of the relevant information and the training of the experts involved in the process	From Q1 to Q4
Foresight - in collaboration with Member States - supporting the 2nd Strategic Planning period on Horizon Europe	Meetings (on line) with Member States agencies; Public joint output	From Q2 to Q4
DG R&I input to the updated Industrial Strategy: ERA technology roadmaps, industry 5.0 and EU technology infrastructures	Inclusion of ERA industrial technology roadmaps technology infrastructures and concept industry 5.0	Q1
European Research Area Scoreboard	Definition adoption of an agreed ERA Scoreboard	Q4 Q2 2022
Strengthened bilateral dialogue	Reinforced dialogue with Member States in the context of the ERA Forum for transition	End of 2021
Establishing the strategic process to coordinate and synergise European and national policies and investments in EOSC	Strategic Coordination process established as part of the new ERA governance	Q4
Analysis of authors' rights to enable sharing of publicly funded peer-reviewed articles without restriction	Policy recommendations	Q4
Development of policy recommendation to ensure reproducibility of the research results to be introduced in Horizon Europe	Preliminary policy recommendations	Q4


Open Research Europe publishing platform	Launch of platform for use by Horizon 2020 and Horizon Europe beneficiaries	Q1
Commission Implementing Decision for Extreme Light Infrastructure (ELI)	Decision adopted	Q1
Commission Implementing Decision on the Aerosol, Clouds and Trace Gases Research Infrastructure (ACTRIS)	Decision adopted	Q4
Commission Implementing Decision on Research Infrastructure for Phenotyping and Archiving Model Mammalian Genomes (INFRAFRONTIER)	Decision adopted	Q2
ESFRI Roadmap	Publication of the 2021 edition	Q4
Knowledge Exchange Platform 2.0 as first action of the Joint Action Plan	Enhanced dialogue with regions and CoR on ERA	2 joint thematic seminars with CoR and 3 peer to peer local events JAP implementation biannual reporting Q2 and Q4

Specific objective 2.3: Research and innovation actions and the European Innovation Council in particular support development and scaling-up of SMEs with breakthrough and disruptive technologies		<i>Related to spending programme(s): Horizon 2020 and Horizon Europe</i>
Main output in 2021:		
New policy initiatives		
Output	Indicator	Target
Introduction of an EIC Accelerator challenge to support game-changing innovations and technologies in strategic Digital and Health technologies (identification of a set of Europe's most promising start-ups and innovative SMEs). Introduction of EIC Pathfinder Challenges leading to innovative technological solutions grounded in high-risk/high-gain research and development. Introduction of a specific Pathifnder Challenge in the digital field in aware and self-developing Artificial Intelligence systems.	Share of companies supported by EIC developing breakthrough digital or health related innovations (maintain or increase of share compared to EIC pilot - 23% for Health and 36% for Digital)	by end 2021
External communication actions		
Output/ Result	Indicator	Target
European Research Area Communication campaign to promote the implementation of	Number of contacts made during the campaign	1.000.000 views per video 20.000 impressions per post

actions in the ERA Communication	Number of views, embeds and downloads	Engagement rate 0,7%
Horizon Europe Widening campaign through NCPs	Dissemination events in widening countries	Reaching all Widening Countries, including associated countries as appropriate
Researchers Conference on ERA and researchers career	Number of participants Social media mentions Attendee satisfaction survey/poll	Q2 date to be confirmed If physical 100-150 If hybrid number depends on allowed number at the time Majority of positive comments/posts/articles



General objective 3: AN ECONOMY THAT WORKS FOR PEOPLE

General objective 3: AN ECONOMY THAT WORKS FOR THE PEOPLE		
Specific objective 3.1: Research and innovation actions, increased R&I investments and the R&I component of the European Semester boost economic growth and jobs creation		<i>Related to spending programme(s): Horizon 2020, Horizon Europe</i>
Main output in 2021:		
New policy initiatives		
Output	Indicator	Target
Council Regulation on Euratom Research and Training Programme 2021-2025	Adoption of the Regulation by the Council.	As soon as possible
Euratom Work Programme 2021-2022	Adoption of the Work Programme.	Depending on the adoption of the Council Regulation on Euratom Research and Training Programme 2021-2025.
Innovative Health Initiative 	Launch of the partnership following adoption of the legal base	Q4
Establishment of the new European Metrology Partnership (Art. 185 TFEU)	<ul style="list-style-type: none"> - Agreement reached by EP/Council on EC proposal - First work programme under new partnership adopted - Agreement by EP/Council in Spring 2021 Call for proposals of first WP launched by end of	Q4
Approved Recovery and Resilience Plans by the Council	Presence of R&I in the Recovery and Resilience Plans (RRPs)	Q4


 Contribution - Establishment of an EU green bond standard legislative, incl. impact assessment, Article 114 TFEU	R&I is part of the legislative proposal	Q2
Major enforcement actions		
Output	Indicator	Target
Integration of a gender dimension in R&I content across Horizon Europe work programmes, building on the recommendations from the EC Expert Group Gendered Innovations.	Training of EC officers, expert evaluators and NCPs	At least 2 information sessions in 2021 for EC staff on the importance of the integration of sex and gender analysis into R&I content, as well as on unconscious gender bias in R&I. - Briefing material developed for evaluators on the integration of gender dimension in research and innovation content in different WPs
Support organisations in adopting Gender Equality plans, in order to comply with the new eligibility criterion to be enforced as of 2022 for Horizon Europe applicants (public bodies, research organisations and higher or secondary education establishments)	Cross-DG R&I engagement towards this goal, in complement to the launch of a pilot knowledge and support facility on GEPs through H2020. --Briefing material developed for Research performing and research funding organisations and public bodies (incl factsheets, video and support developed under SwafS gender equality projects).	-DG R&I Directorates, Agencies All along 2021
External communication actions		
Output/ Result	Indicator	Target
Press release/news alert and tweet promoting the integration of R&I in the EU Green Bond Standard	Number of impressions Number of people who receive the news alert	Approx. 6000 impressions Approx. 200 people.
<u>Horizon Europe</u> communication & outreach campaign Tour des Capitals (events) News Alert/Press release on WP adoption Social media activities Factsheets (toolkit) Video Website	Number of attendees Number of online views of media releases Number of posts Number of impressions Number of engagement Number of downloads Number of views Number of visits	2300 600 1 post per week Around 21.000 impressions/post Engagement rate: ca. 0.8% 100 downloads per factsheet 30.000 8000
<u>EU missions</u> campaign		

Press release on final missions	Number of online views of media releases	500
Social media activities	Number of posts Number of impressions Number of engagement	1 per week in second half of 2021 18.000 impressions per post Engagement rate: ca. 0.9%
Website	Number of visits	3000
Political factsheet per final mission (5)	Number of downloads (in total for all 5 factsheets)	500
European Partnerships communication actions		
Media relations	Number of online views of media releases	100
Social media activities	Number of posts Number of impressions Number of engagement	20 10.000 impressions per post Engagement rate: ca. 0.7%
Website	Number of visits	1000
Factsheet explaining Partnerships in general	Number of downloads	80
Transformative Research and Innovation Policy initiative (TRIP)		
Website/platform	Number of visits	2500
Other important output		
Output	Indicator	Target
Horizon Policy Support Facility 2.0	Launch and initial projects	First semester 2021: 3 'PSF Challenge' + 3 'PSF Country' exercises Second semester 2021: start of a second set of exercises


General objective 4: A STRONGER EUROPE IN THE WORLD

General objective 4: A STRONGER EUROPE IN THE WORLD		
Specific objective 4.1: Regional research and innovation strategies and broader association policy contribute to promoting common European R&I values and creating a global Research and Innovation Space		<i>Related to spending programme(s): Horizon Europe</i>
Main output in 2021:		
New policy initiatives		
Output	Indicator	Target
 Commission Communication on a Global Approach to Research, Innovation, Education and Youth	Publication of the Communication on schedule	Q2 2021
Conclusion and signature of new generation of association agreements and ensuring their entry into force (with provisional and retroactive effect) for 14-20 countries	Conclusion and signature of the new generation of association agreements with Enlargement, ENP countries and other third countries	Q3
Adoption of the Eastern Partnership post-2020 deliverables	Deliverables specific to R&I incorporated in wider post-2020 EaP Deliverables to be presented at EaP Summit	Q2
Adoption of the Western Balkans Agenda	Prepare and sign a Joint Ministerial Declaration, endorsing the Agenda at the EU, Member States and the Western Balkans level	Q2
Maximising ERA-wide synergies with Associated Countries in response to COVID-19	Timely identification of cooperation opportunities and effective participation of Associated Countries in ERAvsCorona Action Plan implementation	Q1 to Q4
Evaluations and fitness checks		
Output	Indicator	Target
Take-up of Smart Specialisation Strategies for the Western Balkans	Finalised reports of S3 mapping; EDP and/or guidelines of implementation when applicable	End of 2021
External communication actions		
Output/ Result	Indicator	Target
 Media support to the publication of the Global Approach Communication	Social Media impact; views of associated articles, number of impressions, number of followers/fans/subscribers, number of interactions	Engagement rate: > 1%; Engagement per post: 130 – 200; Impressions expected between 13.000 and 15.000;


Contribute to the EU response to the COVID-19 crisis by promoting international collaboration among research projects engaged in Covid-19. Launch of an international online matchmaking platform.	Number of visits, number of visitors identified by browsers, number of page views, number of users of the platform	Around 500 registrations in the first 6 months
Enhance science diplomacy through the network of EU science counsellors and R&I correspondants. Outreach (webinars, podcasts) activities organised by the Science Counsellors	Number of participants to webinars, number of indirect audience (number of streaming of recordings), number of online visitors, number of listening audience, number of online interactions	Around 2600 participants and 650 interactions in total, considering all Science Counsellors
News Alerts on the signature of new association agreements (one each)	Number of readers (page view); Indirect audience reach (social media).	Direct page view expected: 4k; Social media impressions expected: 13.000 – 15.000;
Roadshow promoting Western Balkans Agenda and Horizon Europe Association (possibly virtual). One roadshow/country	Number of participants Indirect audience reach (indicators of media reach: social media interactions, likes, etc.).	Estimated participants per event around 150 per country: Social media impressions expected: 13.000 – 15.000; Social media engagement rate expected: >1%;
Info events presenting Horizon Europe in all Associated Countries	Number of participants Indirect audience reach (indicators of media reach: social media interactions, likes, etc.)	Estimated participants per event – around 70 per country: Social media impressions expected: 13.000 – 15.000; Social media engagement rate expected: >1
Other important output		
Output	Indicator	Target
Joint EU-China R&I Roadmap	Endorsement by both sides (on the EU side - following endorsement by the Council after adoption of Commission Decision)	4Q (<i>*negotiations with a third country</i>)
Contribute to the development of knowledge economies in Africa in line with comprehensive Africa Strategy	Launch of transversal 'Africa Initiative' in the first Work Programme of Horizon Europe	Q1
	Development of an EU-AU R&I investment strategy	Q4
	Contribute to the launch of the EU-Africa Global Health Partnership (follow-up to EDCTP)	Q4
EU-CELAC 2021 – 2023 Strategic Roadmap for the implementation of the Brussels Declaration and EU-	Endorsement by both sides (on the EU side - following endorsement by the Council	Q2 (<i>*negotiations with a third country</i>)

CELAC Action Plan on Science, Technology and Innovation	after adoption of Commission Decision)	
Enhanced strategic collaboration with the US	Joint initiatives, such as Joint and/or Coordinated calls agreed	Q4 (<i>*negotiations with a third country</i>)
 R&I dimension of the joint communication on a renewed Partnership with the Southern Neighbourhood	R&I as one of the main pillars in the communication	Q1
Enhancing the cofunding mechanisms to be used in Horizon Europe	Horizon Europe cofund mechanism agreed by target countries	Q4 (<i>*negotiations with a third country</i>)
Policy Dialogues under S&T Agreements	Organisation of the so-called “Joint Committee Meetings” with several partner countries	Q4 (<i>*negotiations with a third country</i>)
Promotion of Europe as a working and living attractive destination for international R&I talents	Revamp of the EURAXESS Worldwide webpages	Q2

General objective 5: PROMOTING OUR EUROPEAN WAY OF LIFE


General objective 5: PROMOTING OUR EUROPEAN WAY OF LIFE		
Specific objective 5.1: Research and Innovation develop and deploy solutions, technologies and innovations to tackle emerging challenges and improve crisis preparedness		<i>Related to spending programme(s): Horizon 2020, Horizon Europe</i>
Main output in 2021:		
New policy initiatives		
Output/ Result	Indicator	Target
The Global Health EDCTP3 joint undertaking is launched 	Legal base for the institutionalised partnership adopted	Q3/Q4
Other important output		
Output	Indicator	Target
Preparation of the formal negotiation phase for association of third countries to the Euratom Research and Training Programme 2021-2022.	Exploratory talks with two to three third countries	Depending on the adoption of the Council Regulation on Euratom Research and Training Programme 2021-2025
External Communication Actions		
European Research & Innovation Days 2021	Number of attendees	14.000 (policy conference and exhibition)
	Nr visits to the website during the event	70.000
	Engagement tool (mobile app)	4.000 citizens, 1.400 messages and 400 bottom-up meetings; 55

	Media attendance	co-design sessions
	Number of Social Media impressions	60 journalists; 160 news pieces on media 65 Mln. Twitter impressions

Specific objective 5.2: Research and innovation support the European health initiatives, including the European plan to fight cancer		<i>Related to spending programme(s): Horizon 2020, Horizon Europe</i>
Main output in 2021:		
New policy initiatives		
Output	Indicator	Target
Mission cancer launch	Mission on cancer launched	Q2
Working approaches for the EU R&I Pandemic Preparedness Partnership agreed upon with Member States. 	A document outlining the working approaches for the partnership including key elements for developing a prioritised, strategic R&I agenda for the partnership agreed upon	Q4
Contribution to the revision of the Cell, Blood and Tissues legislative acts	R&I aspects appropriately considered in the revised text.	Q3 2021
Major external communication activities		
Output/ Result	Indicator	Target
Horizon Europe launch event per cluster: Micro-nanoplastics and health cluster Urban health cluster Launch of the Institutionalised partnerships for HE: Innovative Health Initiative Partnership (IHI)	Number of participants Views SM engagement	200 participants/event 18.000 impressions/post Engagement rate 0,8%
HE Cancer Mission	views, embeds and downloads of A/V material	750.000 views 18.000 impressions/post Engagement rate 0,8%
EDCTP Forum (18-21/10/2021) - Maputo launching of the Global Health EDCTP3 Joint Undertaking	Nr of attendees	+/- 80
Launch of the European Health	Nr of attendees	1.000.000 views

Emergency Preparedness and Response Authority		
Other important output		
Output	Indicator	Target
Kick-off the co-creation process for the European Partnership on Rare Diseases	A series of co-creation events with Members States (and possibly Associated countries)	Q2

General objective 6: A NEW PUSH FOR EUROPEAN DEMOCRACY

General objective 6: A NEW PUSH FOR EUROPEAN DEMOCRACY		
Specific objective 6.1: European research and innovation support citizens' involvement, social inclusion and equalities in Europe, including through communication of the European R&I added value	<i>Related to spending programme(s): Horizon Europe</i>	
Main output in 2021:		
New policy initiatives		
Output	Indicator	Target
 Contribution to the Green Paper on ageing	Adoption of Green Paper on ageing (R&I aspects regarding active and healthy ageing appropriately considered in the Green Paper)	Jan 2021
Contribution to the Conference on the future of Europe	Citizen's deliberations regarding the transition needed for the European Green Deal organised. Results of the deliberations are published.	Q4
Horizon Europe Dissemination & Exploitation Strategy and its related D&E action plan for 2021-2022	Adoption by the CIC governance	End 2020 / Q1 2021
Collaborative Framework for Feedback to Policy	Updating and expanding the use of the feedback to policy framework. Provide guidance to Policy and Project officer	Continuous
Major enforcement actions		
Output	Indicator	Target
Integration of a gender dimension in R&I content across Horizon Europe work programmes, building on the recommendations from the EC Expert Group Gendered Innovations.	Training of EC officers, expert evaluators and NCPs	At least 2 information sessions in 2021 for EC staff on the importance of the integration of sex and gender analysis into R&I content, as well as on unconscious gender bias in R&I.

		- Briefing material developed for evaluators on the integration of gender dimension in research and innovation content in different WPs
Support organisations in adopting Gender Equality plans, in order to comply with the new eligibility criterion to be enforced as of 2022 for Horizon Europe applicants (public bodies, research organisations and higher or secondary education establishments)	Cross-DG R&I engagement towards this goal, in complement to the launch of a pilot knowledge and support facility on GEPs through H2020. --Briefing material developed for Research performing and research funding organisations and public bodies (incl factsheets, video and support developed under SwafS gender equality projects).	-DG R&I Directorates, Agencies All along 2021
External communication actions		
Output/ Result	Indicator	Target
Outreach platform to engage stakeholders and citizens in communication and co-design events related to the main R&I priorities	Nr of events	Min 100
	Nr of attendees/event	Min 100/event
Virtual exhibition of the most impactful R&I Success stories and results, to raise awareness through engaging communication tools on how R&I EU-funded projects have developed important solutions to improve citizens' daily lives.	Nr of EU R&I Stories displayed	80
	Nr of visualizations throughout the year	30.000
Horizon Europe Outreach Strategy for improved communication on implementation aspects and better coverage of participants	Adoption by the CIC governance	Q1
Horizon Impact Award 2021 - EU funded projects whose results have created societal impact across Europe and beyond (<i>targets based on the digital format of the award ceremony at the Research and Innovation Days 2020</i>)	News announcements (europa.eu) total page views	3984
	Media reports (earned Media)	78
	Social Media (Twitter) activity: - Impressions per tweet - Engagements per tweet	- 20.000 - 170
	Engagement rate per tweet	>1%
	Audiovisual material (YouTube)	80.000 total views
	R&I Days event: HIA ceremony 2021 attendance	1.245 attendees

General objective 7: A MODERN, HIGH PERFORMING AND SUSTAINABLE EUROPEAN COMMISSION

General objective 7: A MODERN, HIGH PERFORMING AND SUSTAINABLE EUROPEAN COMMISSION		
<i>Specific objective 7.1: The Common Implementation Centre and the Common Policy and Programming Centre provide user-friendly services and tools to the European Commission for effective and efficient planning, programming and implementation of the Research and Innovation Framework Programme and other EU programmes</i>		
Main output in 2021:		
New policy initiatives		
Output	Indicator	Target
Delegation Instruments for Horizon Europe Executive Agencies (for which DG RTD is Lead Parent DG)	Adoption by Commission decision	Q1
Single Basic Act establishing the Joint Undertakings under Horizon Europe	Adoption of the Commission proposal	Q1
Model contribution agreements for Joint Undertakings implementing Horizon Europe	Adoption by Common Implementation (CIC) Center Executive Committee	Q3/Q4
Horizon Europe Control Strategy	Adoption by Common Implementation (CIC) Steering Board	2021
Initiatives linked to regulatory simplification and burden reduction		
Output	Indicator	Target
Horizon Europe Model Grant Agreements on the basis of the new corporate Model Grant Agreement and the corporate Annotated Grant Agreements regarding Horizon Europe specifics	Completion and updates, when needed	Continuous
Funding and Tenders Portal adapted to the next MFF	Coverage of European Commission funding and procurement opportunities	95% of European Commission direct grants covered by end-2021
eGrants IT suite adapted to the next MFF (Horizon Europe and other Commission programmes under direct grant management)	Coverage of European Commission programmes	Finalise the operational on-boarding of 95% of the Direct Granting programmes by 2022
	Efficiency and user-friendliness	Continuously high user satisfaction as measured in annual surveys
Other important output		
Output/ Result	Indicator	Target
Establishment of the Common Policy	Annual Work Plan of the CPC	Q1

Centre to ensure that all policy and programming activities in the context of Horizon Europe are appropriately managed in a collective setting	agreed by the Executive Committee	
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PART 2. Modernising the administration: main output for the year

A. Human resource management

Objective: DG R&I employs a competent and engaged workforce and contributes to gender equality at all levels of management to effectively deliver on the Commission's priorities and core business		
Main output in 2021:		
Output	Indicator	Target
To continue the R&Innovate process taking into account internal staff surveys and lessons from teleworking experience during COVID 19 confinement, aiming among others to consolidate the organisational culture, to increase staff engagement and support the culture of collaboration and sharing in the Directorate-General	To adopt and implement a local HR Strategy	First semester 2021
To update the organisational structure as a consequence of the delegation of programme implementation to Executive Agencies and other EU bodies, aiming to ensure an optimal allocation of staff to policy priorities and an even workload balance among staff, while meeting the reductions targets of the Directorate-General	To adopt a new organisation structure	by end 2021
To reach the target of first female appointments on middle management positions	2 first female appointments out of the target of 6 established by end of 2022	By end 2021
To improve staff engagement	65% in the 2021 Commission staff	By end 2021

B. Sound financial management

Objective: The authorising officer by delegation has reasonable assurance that resources have been used in accordance with the principles of sound financial management and that cost-effective controls are in place which give the necessary guarantees concerning the legality and regularity of underlying transactions

Main output in 2020:

Output	Indicator	Target
Effective controls: Legal and regular transactions	Risk at payment for H2020 grants	Between 2 % and 5% of relevant expenditure
	Estimated risk at closure for H2020 grants	As close as possible to 2%, but not necessarily lower than 2% of relevant expenditure
Effective controls: Safeguarded information	Number of security incidents with impact on the confidentiality, integrity or availability of Information Systems, reported during the year	No incident
Efficient controls	H2020 time-to-pay for H2020 grants	100% of payments on time
	Operational budget execution	100% of operational commitment and payment appropriations (C1)
	H2020 Time-to-inform for H2020 grants	100% of grants with a time-to-inform within 5 months
	H2020 Time-to-grant for H2020 grants	100% of grants with a time-to-grant within 8 months
	Cumulative implementation rate of FP7 audit results	95% by the end of 2021
	Cumulative implementation rate of FP7 extrapolations	85% by the end of 2021
Cost of controls, Effectiveness control	Overall estimated cost of controls for DG R&I	Below 3 % of funds managed

C. Fraud risk management

Objective: The risk of fraud is minimised through the application of effective anti-fraud measures and the implementation of the Commission Anti-Fraud Strategy (CAFS)⁷ aimed at the prevention, detection and correction⁸ of fraud

Main output in 2021:

Output	Indicator	Target
Enhanced data analysis	Selection of beneficiaries for risk-based audits	Continuous
	Increased number of risk-based audits	Continuous
Fraud Prevention and Irregularities in Research Committee (FAIR)	Number of meetings	2 by 31 December 2021
Increased level of staff awareness about the Commission ethics rules and ethical issues, and in particular the risk of conflicts of interests	Implementation of the actions included in the Anti-Fraud Strategy of DG Research and Innovation	100%
Presentation raising the awareness of Ethics obligations in the Induction Day for new comers	% of newcomers having received ethics awareness in the induction days	100%

D. Digital transformation and information management

Objective: DG R&I is using innovative, trusted digital solutions for better policy-shaping, information management and administrative processes to forge a truly digitally transformed, user-focused and data-driven Commission

Main output in 2021:

Output	Indicator	Target
Staff of DG Research & Innovation is equipped with a laptop	Percentage of staff of DG Research and Allocation equipped with a laptop	95%
Management offices and meeting rooms are	Percentage of management offices and meeting rooms equipped with	50%

⁷ Communication from the Commission 'Commission Anti-Fraud Strategy: enhanced action to protect the EU budget', COM(2019) 196 of 29 April 2019 – 'the CAFS Communication' – and the accompanying action plan, SWD(2019) 170 – 'the CAFS Action Plan'.

⁸ Correction of fraud is an umbrella term, which notably refers to the recovery of amounts unduly spent and to administrative sanctions.

equipped with video/web conferencing equipment	video / web conferencing equipment	
New and current staff is being trained to use Microsoft 365 and Teams	Percentage of staff having benefitted from training or coaching in Microsoft M365 and Teams	100% of newcomers and 30% of statutory and non-statutory staff trained
Newcomers in DG Research and Innovation are trained on data protection	Percentage of staff attending awareness raising activities on data protection compliance	100% of newcomers trained
Existing staff of DG Research and Innovation trained on data protection (in particular local specific training for IT intra-muros in collaboration with the IT unit)	Percentage of staff attending awareness raising activities on data protection compliance output	20% of existing staff trained

E. Sound environmental management

Objective: DG R&I takes full account of its environmental impact in all its actions and actively promotes measures to reduce the related day-to-day impact of the administration and its work

Main results and output in 2021:

Output	Indicator	Target
Installation of web / video conferencing equipment	Percentage of systems installed	90% by end 2020
Installation of waste-sorting stations in the ORBN building	Percentage of stations installed	100%
Phasing-out of remaining circulation of newspapers, periodicals and scientific journals	Percentage of current subscriptions being phased out	75% by end 2021
Global estimate of reductions in GHG emissions from missions, expert-travel and events / conferences	To be established on the basis of expenditure and other data available from the IT systems concerned	30% by end 2021, against a baseline of 2019