



ASSESSING THE IMPACT PATHWAYS OF IA/RIA SC5 PROJECTS THROUGH THE USE OF PORTFOLIO ANALYSIS

**D5.6.2: Workshop Package**

Project acronym	IMPACT-SC5
<b>Title</b>	Assessing the Impact Pathways of IA/RIA SC5 Projects through the use of Portfolio Analysis
<b>Agreement number</b>	869746
<b>Deliverable</b>	D5.6
<b>Document title</b>	D5.6.2 Workshop Package
<b>Document type</b>	Report
<b>Due date of deliverable</b>	31/05/2020
<b>Actual submission date</b>	31/05/2021
<b>Reference</b>	IMPACT-SC5
<b>Dissemination level</b>	Public
<b>Version</b>	Final
<b>Status</b>	Draft
<b>Date</b>	31/05/2021
<b>Project start date</b>	1 November 2019
<b>Duration</b>	20 months

This project has received funding from the European Union’s Horizon 2020 research and innovation programme under grant agreement No 869746



# Contents

<b>1</b>	<b>Introduction .....</b>	<b>3</b>
<b>2</b>	<b>Workshop introduction .....</b>	<b>4</b>
2.1	Objectives and format.....	4
2.2	Workshop format .....	4
<b>3</b>	<b>IMPACT-SC5 project .....</b>	<b>6</b>
3.1	Presentation of the project and its methodology.....	6
3.2	Results at programme level.....	6
3.3	Policy conclusions.....	7
3.4	Evaluation recommendations .....	8
<b>4</b>	<b>Annex.....</b>	<b>9</b>
4.1	Website description and programme outline .....	9
4.2	Speaker biographies .....	11

## 1 Introduction

The current document constitutes the **deliverable D5.6 (#5.6.2): Workshop Package** elaborated in the framework of the IMPACT-SC5 project, which has received funding from the European Union's Horizon 2020 Research and Innovation Programme under Grant Agreement No 869746.

Overall, the IMPACT-SC5 project – “*Assessing the impact pathways of IA/RIA SC5 projects through the use of portfolio analysis*” – aims to review the impacts of the projects granted under Horizon 2020 Societal Challenge 5 (SC5) as described in its Work Programmes and Calls (e.g. Water-2014, Waste-2015, EE-2014, etc.). This evaluation and impact assessment focuses on the 87 Research and Innovation Action (RIA) and Innovation Action (IA) projects funded under the SC5 Work Programme 2014-2015 and looks at them in terms of their scientific, economic, societal and environmental performance, both individually and across portfolios of projects.

All the information obtained from the literature review, the survey and the interviews were previously analysed at project level, in Work Package 2 “Exploration of SC5 projects” and at portfolio level, in Work Package 3 “Contextualization and impact assessment”. Activities under Work Package 4, “Policy Recommendations” are being finalized and will be presented during the Final Dissemination Workshop on 16 June 2021. This document represents the sixth deliverable of Work Package 5: “Workshop Package”. This Package prepares for the Final Dissemination Workshop and includes the workshop programme, speaker biographies, and outlines of the consortium's presentations. The final versions of the presentations (D5.6.3) will be distributed to the participants on the day of the workshop. The presentations are meant to explain the approach of the study, present the conclusions and recommendations to trigger short questions and answer sessions with participating experts.

In order to facilitate the reading of this deliverable, it has been structured in the following manner:

- **Chapter 1** provides introductory information about the context in which this deliverable has been elaborated.
- **Chapter 2** introduces the workshop for which this package is being prepared.
- **Chapter 3** provides the outlines of the presentations prepared by the consortium to inform and engage a panel and participants to provide feedback on the policy and project management recommendations.
- **Chapter 4** is the Annex to this document with supporting information.

## 2 Workshop introduction

The IMPACT-SC5 Final Dissemination Workshop aims at communicating and promoting the results of our IMPACT-SC5 project among EU and national policymakers, R&I policy evaluation experts as well as any other interested stakeholders. In parallel, during the context of the workshop insights and input will be collected on the policy and project management recommendations from the participants to feed the final report of our study.

During this final dissemination workshop, we will present the findings of the IMPACT-SC5 project including policy and project management recommendations. Within the context of impact pathway approach, we invite participants to critically reflect on our findings to develop guidelines and tools for:

1. writers of the work programmes and call topics.
2. implementing agencies tasked with the evaluation and monitoring of projects.
3. applicants.

Under Task 5.2 (Identification and engagement of stakeholders), a list of 680 stakeholders was developed covering the above participant categories. This ensures a broad and wide-reaching awareness of the project and participation in the workshop. The workshop was planned to take place at European Commission premises in Brussels. Due to COVID-19 restrictions, the workshop will be organised fully online.

### 2.1 Objectives and format

The Final Dissemination Workshop has the following objectives:

- Communicating and promoting the results of the IMPACT SC-5 project among:
  - National policymakers.
  - R&I policy evaluation experts.
  - Other interested stakeholders.
- Collect input and insights on the policy and project management recommendations from the participants. These results will feed into the final report of the project.
- Reflect on findings of the project so far.

### 2.2 Workshop format

The three-hour program is split into four sessions: 1) welcome and introduction, 2) IMPACT-SC5 project, 3) panel discussion, and 4) open discussion.

The first session (20 mins), welcome and introduction, starts off with a quick explanation of the workshop and its goals. Then, the European Commission DG RTD will give a presentation about the change from Horizon 2020 to Horizon Europe and its policy and implementation. At the time of preparing this workshop package, the precise content of the presentation is not known. We have requested that it covers the following topics:

- Green Deal, Digital Europe, Missions.

- 
- The role of Impact Pathways in implementation and monitoring.

Session two (60 mins) will give an overview of the SC5 project. The partners will present the objectives, methods, results and recommendations of the project. After each topic there is opportunity for questions (Q&A). The following topics will be presented:

- Presentation of the projects and its methodology.
- Results at the programme level.
- Policy conclusions.
- Evaluation recommendations.

Session three (30 mins) will be a 'closed' discussion with selected panellists. Questions will be prepared beforehand. Questions from the audience might also be addressed using the chat function or using a digital Q&A tool, such as Slido.

Session four (60 mins) is an open discussion with practitioners from national/EU policy, funding and implementation agencies, project coordinators and partners and anyone interested to contribute to enhancing impact from research and innovation. The aim is to validate and improve our recommendations for policy implementation and project management.

The full description and programme can be found in Annex 1 of this document.

### 3 IMPACT-SC5 project

In this block of the workshop, the consortium partners will present the project methodology, results, conclusions and recommendations through four separate presentations. Each presentation will be about 10 minutes followed by a Q&A. The duration of this block is one hour. The following sections present the outlines of each presentation.

#### 3.1 Presentation of the project and its methodology

To clarify to the audience what the objective, scope and approach was of the IMPACT-SC5 project, we will start the workshop with a presentation comprising the following topics.

- Presentation of the IMPACT-SC5 project
  - Objective and scope
  - Definition of “impact pathway”
  - Specific objectives
- SO1: Intervention logic framework and list of indicators
  - Impact pathway approach
  - Intervention logic framework
  - List of indicators
- SO2: Establish the evidence base
  - Literature review
  - Survey
  - Interviews
- SO3: Definition and evaluation of project portfolios
  - Project portfolios and project clusters
  - Project portfolio evaluation methodology
- SO4: Co-creation of policy recommendations
  - Policy co-creation workshops
  - Policy conclusions and recommendations for the “impact pathway” implementation
- Remarks on implementation issues
  - Data availability
  - Data quality
  - GDPR

#### 3.2 Results at programme level

Having introduced the project overall, we turn to the results produced by the projects. The following is the outline for the presentation of the project’s results at programme level.

##### **Introducing the 87 SC5 projects under investigation**

- Facts & Figures on the SC5 projects under scrutiny
  - Funding Scheme and Topic

- Implementation Period
- Participating Organisations
- Cost and Funding

**Key scientific results achieved**

- Creating high quality new knowledge, reducing knowledge gap
- Strengthening human capital in R&I
- Fostering diffusion of knowledge and open data
- Partnerships and international openness

**Key societal results achieved**

- Addressing EU Policy priorities
- Strengthening the uptake of innovation in society

**Key economic results achieved**

- Generating innovation-based growth
- Leveraging investment in R&I
- Development and adoption of innovative technological solutions

**3.3 Policy conclusions**

From the presentation of the results, we move to the conclusions to be drawn from those. The outline for this presentation, following the outline of the deliverable report, is the following:

- Portfolio analysis of scientific impact pathway
  - Short-term impacts
  - Medium- and long-term impacts
- Portfolio analysis of societal and environmental impact pathway
  - Short-term impacts
  - Medium- and long-term impacts
- Portfolio analysis of economic impact pathway
  - Short-term impacts
  - Medium- and long-term impacts
- Policy implications: key lessons and EU added value
- Synergies and horizontal collaboration within SC5 and beyond
- Cross-cutting issues

- 
- Toward impact-informed programme cycle in Horizon Europe
  - Overall conclusions

### 3.4 Evaluation recommendations

The final step in our assessment is to turn our findings and conclusions regarding the impact pathways of projects and project portfolios into policy and project management recommendations, to ensure a legacy of this project. The presentation outline to discuss the recommendations are:

- Recommendations on methodological and data issues associated with the impact pathways & lessons learnt
  - Project level: issues encountered and key takeaways
  - Portfolio level: issues encountered and key takeaways
  - Programme level: issues encountered and key takeaways
- From impact overview to impact pathways: recommendations on how to integrate impact pathways in the programming cycle
  - Monitoring of impact pathways

## 4 Annex

### 4.1 Website description and programme outline



#### **Final dissemination workshop**

**16 June 2021, 10:00-13:00 CEST**

[Register for the final workshop](#)

The IMPACT-SC5 Final Dissemination Workshop aims at communicating and promoting the results of our IMPACT-SC5 project among EU and national policymakers, R&I policy evaluation experts as well as any other interested stakeholders.

In parallel, during the context of the workshop insights and input will be collected on the policy and project management recommendations from the participants to feed the Final report of our study.

This will be an online workshop, to be held on 16 June 2021. from 10:00 to 13:00 CEST.

The [IMPACT-SC5](#) project evaluated 87 projects from the Horizon 2020 Societal Challenge 5 ‘Climate Action, Environment, Resource Efficiency and Raw Materials’. These 87 projects were Research and Innovation Actions (RIA) and Innovation Actions (IA) awarded under the 2014-2015 work programme.

Moving from Horizon 2020 to Horizon Europe, the European Commission wants to be able to determine the impact of projects beyond the duration of a project with its immediate (short-term) results: impact pathways.

A novel element to IMPACT-SC5 is therefore the development of an evaluation framework and set of indicators to determine if, based on the short-term results, longer-term shifts in science, society and economy could be expected. This assessment was not only carried out for the 87 individual projects, but also for logical groupings of projects (portfolios).

During this final dissemination workshop, we will present the findings of the IMPACT-SC5 project including policy and project management recommendations. Within the context of impact pathway approach, we invite participants to critically reflect on our findings to develop guidelines and tools for a) writers of the work programmes and call topics; b) implementing agencies tasked with the evaluation and monitoring of projects; c) applicants.

Horizon Europe describes ‘pathway to impact’ as: logical steps towards the achievement of the expected impacts of the project over time, in particular beyond the duration of a project. A pathway begins with the projects’ results, to their dissemination, exploitation and communication, contributing to the expected outcomes in the work programme topic, and ultimately to the wider scientific, economic and societal impacts of the work programme destination.

The following is the programme outline.

Time (duration)	Topic	Speaker
10:00-10:20 (20 mins)	<b>Welcome and introduction</b>	IMPACT-SC5 consortium
	<b>From Horizon 2020 to Horizon Europe – policy and implementation:</b> <ul style="list-style-type: none"> <li>• Green Deal, Digital Europe, Missions</li> <li>• The role of Impact Pathways in implementation and monitoring</li> </ul>	European Commission DG RTD, Šimon Trlifaj, Economic and Policy Analyst
10:20-11:20 (60 mins)	<b>IMPACT-SC5 project</b> In this block, the partners will present the objectives, methods, results and recommendations.	
	<b>Presentation of the project and its methodology</b>	TECNALIA, Xabier Uriarte Olaeta, Naiara Uribe

Time (duration)	Topic	Speaker
		Labandeira, IMPACT-SC5 Coordinator
	<b>Results at programme level</b>	Q-PLAN, Kevin Trendafilii
	<b>Policy conclusions</b>	VTT, Janne Lehenkari
	<b>Evaluation recommendations</b>	Q-PLAN, Foteini Psarra
After each presentation there is opportunity for Q&A		
11:20- 11:50 (30 mins)	<b>Panel discussion / presentation on impact pathways</b>	Šimon Trlifaj, Economic and Policy Analyst, European Commission DG RTD,  Nicholas S. Vonortas Director, Institute for International Science and Technology Policy Professor IISTP & Department of Economics
11:50-12:00	BREAK	
12:00-13:00 (60 mins)	<b>Open discussion with practitioners</b> from national/EU policy, funding and implementation agencies, project coordinators and partners and anyone interested to contribute to enhancing impact from research and innovation. The aim is to validate and improve our recommendations for policy implementation and project management.	All participants

## 4.2 Speaker biographies

### Šimon Trlifaj, European Commission

A 2018 graduate of CEU's Master in Public Administration (MPA) with an undergraduate degree in Economics and Finance from Charles University in Prague. Currently working as an analyst in several directorates-generals under the Junior Professionals Programme:

- DG Research and Innovation (October 2020 to now): impact monitoring and evaluation of EU's research and innovation programme, Horizon Europe.
- DG GROW (April 2020 to September 2020): economic analysis of chemicals' regulation.
- Secretariat-General (October 2019 to March 2020): barriers to EU's single market, research and innovation partnerships.

**Nicholas S. Vonortas, Elliot School of International Affairs**

Nick Vonortas is Professor of Economics and International Affairs at The George Washington University in Washington D.C. He is a faculty member of the Department of Economics, of the Institute for International Science and Technology Policy (IISTP), and of the Trachtenberg School of Public Policy and Public Administration. He is currently the Director of the IISTP and the MA program on International Science & Technology Policy.

His teaching and research interests are in industrial organization, in the economics of technological change, and in technology and innovation policy and strategy. He specializes on strategic partnerships/innovation networks, investment under uncertainty, technology transfer, knowledge-intensive entrepreneurship, and R&D program evaluation. He has published widely on these issues.

**Naiara Uribe Labandeira, Tecnalía**

Naiara Uribe holds a Bachelor's Degree in Business Administration from the University of the Basque Country (ES) and a Master's degree in International Trade. Since 2014, she is working at Policies for Innovation and Technology area (POINT) at Tecnalía. She is responsible for managing European and international projects supporting innovation related strategic-policy making. Prior to joining Tecnalía, she has worked at consultancy having over 15 years of professional experience in design, implementation of public policies, strategies and instruments to boost innovation and regional competitiveness, having provided advisory services to both technological institutions and public administration.

**Xabier Uriarte Olaeta, Tecnalía**

Senior consultant at the Policies for Innovation and Technology department of TECNALIA Research & Innovation. He holds a degree in Industrial Engineering by the Faculty of Engineering of the University of the Basque Country (1988) and a Master on Systems Engineering and Process Control by the Euskoiker Foundation (1988). After an early career as industrial software developer he moved on to work in the field of innovation management first and then in the design and implementation of digital local agendas for local and regional administrations. In recent years he has been working in the field of policies for innovation and technology development.

**Kevin Trendafili, Q-PLAN**

Kevin has a background in research and innovation policy studies and has been working for Q-PLAN international for over three years. Q-PLAN's main activities include the elaboration of studies on behalf of the European Commission and participation in international projects of Research, Technological Development and Innovation.

---

**Janne Lehenkari, VTT**

Janne started his academic career in History of Science and Ideas at the University of Oulu in Finland. Then he continued his studies in innovation through a PhD and post-doc at the University of Helsinki. He started working at VTT almost 9 years ago. VTT is the leading research and technology company in the Nordic countries. Their task is to advance the utilisation and commercialisation of research and technology in commerce and society. Through scientific and technological means, they turn large global challenges into sustainable growth for businesses and society.

**Foteini Psarra, Q-PLAN**

Fonteini holds a Bachelor's degree in Business Administration from the University of Macedonia (GR) and an MSc in Operational Research from Strathclyde University (UK). Since 2001 she has been working on European and international research projects as a researcher and project manager of studies and projects addressing the evolution of research, technological development and innovation on regional, national and European level. Currently, she is exploring the novel trajectories of Innovation stimulated by its interaction with social and economic developments, and depicted in (ICT-enabled) Social Innovation, Design Innovation, etc.