

EVALUATION AND FITNESS CHECK (FC) ROADMAP			
TITLE OF THE EVALUATION/FC	Independent external evaluation of the European Institute of Innovation and Technology		
LEAD DG – RESPONSIBLE UNIT	EAC.B.3	DATE OF THIS ROADMAP	10 / 2015
TYPE OF EVALUATION	Evaluation	PLANNED START DATE	Q4 / 2015
	Interim	PLANNED COMPLETION DATE	Q4 / 2016
	Mixed	PLANNING CALENDAR	<a href="http://ec.europa.eu/smart-regulation/evaluation/index_en.htm">http://ec.europa.eu/smart-regulation/evaluation/index_en.htm</a>
This indicative roadmap is provided for information purposes only and is subject to change.			

A. Purpose
<p>(A.1) Purpose</p> <p>The evaluation of the European Institute of Innovation Technology (EIT) has three major goals:</p> <ul style="list-style-type: none"> <li>- to assess the EIT's work as identified in the EIT Regulation and Horizon 2020 Regulation, and in particular examine how the EIT fulfils its mission,</li> <li>- to contribute to improving the work of the EIT and its Knowledge and Innovation Communities (KICs) and</li> <li>- to provide an evidence base for designing the EIT's future activities and initiatives, including the next Strategic Innovation Agenda (SIA) of the EIT, and for assessing the need for a possible amendment of the EIT regulation.</li> </ul> <p>The results of the evaluation will contribute and feed into the Horizon 2020 mid-term evaluation and into the EIT review, both of which are due by the end of 2017. However, to comply with the evaluation requirements of the Horizon 2020 Regulation the EIT evaluation results must be available mid-2017 at the latest.</p> <p>The main output of the evaluation will be the Commission report to the European Parliament, the Council, the European Economic and Social Committee and the Committee of the Regions accompanied by a Staff Working Document (SWD). In compliance with the Better Regulation Guidelines, the SWD will provide an evaluation of the EIT based on the final evaluation report delivered by independent expert evaluators.</p> <p>The Governing Board of the EIT will take due account of the findings of the evaluations in the programmes and operations of the EIT.</p> <p>The evaluation will inform the Member States, the innovation community (notably research, higher education and business members of the community), the general public and other stakeholders about the performance of the EIT and its achievements. A follow up action plan will be drawn on the basis of the recommendations made in the evaluation report.</p>
<p>(A.2) Justification</p> <p>The independent external evaluation of the EIT is a mandatory requirement from the Regulation (EC) No 294/2008 as amended by the Regulation (EU) No 1292/2013 establishing the European Institute of Innovation and Technology (EIT Regulation). The EIT review is a mandatory requirement of the Regulation (EC) No 1291/2013 on establishing the Horizon 2020 Programme (Horizon 2020 Regulation). The strategic priorities of the EIT in the period 2014-2020 are set out in the EIT's Strategic Innovation Agenda, passed in the Decision No 1312/2013/EU of</p>

the European Parliament and of the Council.

### Legal regulations

Article 16 paragraph 2 of the **EIT Regulation** stipulates: "By June 2011 and every three years after the entry into force of a new financial framework, the Commission shall provide for an evaluation of the EIT. It shall cover all activities of the EIT and the KICs and shall assess the added value of the EIT, the impact, effectiveness, sustainability, efficiency and relevance of the activities pursued and their relationship and/or complementarity with existing national and Community policies, to support higher education, research and innovation. It shall take into account the views of stakeholders, at both European and national level."

Article 17 of the EIT Regulation stipulates on the **Strategic Innovation Agenda**: "The SIA shall define the priority fields and the long-term strategy for the EIT and shall include an assessment of its socioeconomic impact and its capacity to generate the best innovation added-value."

Article 32 paragraph 2 of the **Horizon 2020 Regulation** stipulates: "By 31 December 2017, the Commission shall carry out, with the assistance of independent experts selected on the basis of a transparent process, a review of the EIT, taking into account the evaluation provided for in Article 16 of Regulation (EC) No 294/2008. The KIC call in 2018 shall be launched subject to a positive outcome of that review."

The review shall assess the progress of the EIT against all of the following:

- (a) the level of consumption and the efficiency in the use of the funds allocated according to Article 6(3) of this Regulation, differentiating between the amount used for the development of the first wave of KICs and the effect of the seed money for the subsequent waves, and the ability of the EIT to attract funds from the partners in the KICs and especially from the private sector, as set out in Regulation (EC) No 294/2008;
- (b) the contribution of the EIT and the KICs to the priority "Societal challenges" and the specific objective "Leadership in enabling and industrial technologies" and the performance assessed on the basis of the indicators defined in Annex I;
- (c) the contribution of the EIT and the KICs to the integration of higher education, research and innovation;
- (d) the ability of the KICs to integrate relevant new partners where they can provide added value."

Article 32 paragraph 3 of the Horizon 2020 Regulation stipulates: "By 31 December 2017, and taking into account the ex- post evaluation of the Seventh Framework Programme to be completed by 31 December 2015 and the review of the EIT, the Commission shall carry out, with the assistance of independent experts, selected on the basis of a transparent process, an interim evaluation of Horizon 2020, its specific programme, including the European Research Council (ERC), and the activities of the EIT."

### Implementation of legal regulations

To ensure compliance with the above legal requirements and in particular to allow the two evaluation exercises – the EIT Regulation evaluation and the Horizon 2020 EIT review – to feed into the umbrella Horizon 2020 evaluation, the EIT evaluation will be finalized half a year ahead of the legal requirements. The present evaluation will take into account the overall EIT mission and objectives as defined:

- in the EIT Regulation,
- in the Strategic Innovation Agenda (SIA), as adopted in the Decision No 1312/2013/EU on the Strategic Innovation Agenda of the EIT<sup>1</sup> and
- in the Horizon 2020 Regulation.

## B. Content and subject of the evaluation

### (B.1) Subject area

Europe has been facing structural weaknesses in innovation capacity and the ability to use its research and education qualities in delivering new services, products and processes. This has been slowing down sustainable economic growth and job creation.

<sup>1</sup> Available at <http://eit.europa.eu/eit-community/eit-glance/eit-strategy-2014-2020>

<p>The EIT is designed to address these issues by fostering the integration of higher education, research and innovation, notably through the operations of the pan-European partnerships between universities, research centres, companies and other innovation actors, so called Knowledge and Innovation Communities (KICs). KICs receive an annual EIT grant and are encouraged by the EIT's operations, in the medium term, to become financially sustainable.</p> <p>The EIT has given priority to the transfer of its higher education, research and innovation activities to the business context and their commercial application, as well as to supporting the creation of start-ups, spin-offs and small and medium-sized enterprises (SMEs).</p> <p>A crucial feature of the EIT model is the acknowledgement of a long-term perspective of investments into innovation. As such, the KICs are normally expected to work with the EIT at least 7 years and up to 15 years.</p> <p>For more detail on the overall EIT set up see section B.3.</p>
(B.2) Original objectives of the intervention
<p>The <b>EIT's mission/objectives</b> is to contribute to sustainable European economic growth and competitiveness by reinforcing the innovation capacity of the Member States and the Union in order to address major challenges faced by European society. It does this by promoting synergies and cooperation among, and integrating, higher education, research and innovation of the highest standards, including by fostering entrepreneurship (knowledge triangle integration).</p> <p>The <b>specific objective</b> of the EIT is to integrate the knowledge triangle of higher education, research and innovation and thus to reinforce the Union's innovation capacity and address societal challenges. The EIT does this primarily through the KICs. In addition it ensures that experiences are shared between and beyond the KICs through targeted dissemination and knowledge sharing measures, thereby promoting a faster uptake of innovation models across the Union.</p> <p>In addition, on 1 January 2014, the EIT has become a member of the Horizon 2020 programme. Since then, in addition to its original objectives, the EIT and its KICs seek synergies and interaction across the priorities of Horizon 2020 and with other relevant initiatives, as identified in the Horizon 2020 Regulation. The EIT contributes through the KICs to the specific objectives of the Horizon 2020 priority "Societal challenges" and to the specific objective "Leadership in enabling and industrial technologies"<sup>2</sup>.</p>
(B.3) How the objectives were to be achieved
<p><b>Overall EIT design<sup>3</sup></b></p> <p>The EIT was designed as an independent EU body with the goal of taking a different route to addressing the EU innovation challenges. The EIT governance combines the addressing of strategic European priorities with the implementation of thematic business plans. The strategic orientation is provided at the EIT level, primarily through its Governing Board, while the business plans are developed and implemented by independent Knowledge and Innovation Communities (KICs).</p> <p><b>The Governing Board of the EIT</b> is made up of proven leaders in business, research and education, with a role to provide strategic direction to the whole EIT family. The EIT headquarters in Budapest are set up as a lean organisation which coordinates policy, launches the calls for proposals and manages the funding granted by the EU.</p> <p><b>KICs are independent legal entities</b> which function as highly integrated pan-European partnerships with the mission of bringing together – on a long term basis – excellent universities, research centres, small and large companies, as well as other innovation actors. A KIC has a large degree of autonomy in defining its internal organisation, membership, agenda and working methods, allowing it to choose the approach that is best suited to meet its objectives. Each KIC has its own head office, its own system of management, its own co-location centres – nodes of knowledge triangle excellence in a given geographical location – and its own network of partners</p>

<sup>2</sup> As identified in Annex I, part VII of the Horizon 2020 Regulation.

<sup>3</sup> Further information is available at: <http://eit.europa.eu/eit-community/eit-glance/mission> .

operating across the EU and beyond.

**KICs are designated in an open, transparent call** in a competition of consortia of knowledge triangle partners. Each proposal for a KIC sets specific objectives, develops a business model, and devises a structure to deliver the results. The winners – one KIC per societal challenge – receive the mandate and resources to implement their initial plans over seven to fifteen years.

The EIT **follows an 'investor approach'** by incentivising each KIC to optimally pool and leverage EIT funds with funds from other sources into tangible economic and social impact. In 2009, three initial KICs were designated in the fields of sustainable energy (KIC InnoEnergy), climate change (Climate-KIC) and information and communication society (EIT Digital, until 2015 named EIT ICT Labs). In 2014, two new KICs were designated in the areas of healthy living and active ageing (EIT Health) and raw materials - sustainable exploration, extraction, processing, recycling and substitution (EIT Raw Materials). The EIT funds up to 25% of KICs activities and in doing so leverages EU money to achieve a greater effect. The overall EIT budget was €308.7 million in the period 2008 to 2013, and will be €2.4 billion from 2014 to 2020.

### **EIT overall activities**

The EIT is meant to achieve its objectives through the following general sets of activities:

- Transferring and applying higher education, research and innovation activities for new business creation: the KICs create new business opportunities in the form of both start-ups and spin-offs and innovation in existing industries and services.
- Innovation, including research, in areas of key economic and societal interest: the EIT's focuses on areas with high potential for socioeconomic impact and a clear relevance to the challenges addressed in Horizon 2020.
- Providing education and talent in order to develop skilled and entrepreneurial-minded people: the EIT integrates research, education and entrepreneurship, facilitating the development of new and innovative EIT label curricula.
- Dissemination of best practice and systemic knowledge-sharing: the EIT implements outreach activities and uses its alumni network across the EU, pioneering new approaches to a European innovation and knowledge-transfer culture, including in SMEs.
- An innovative funding model: within the framework of Horizon 2020 the EIT is testing out new and simplified approaches to funding and governance.
- Linking regional development to European opportunities: through the KICs and their co-location centres the EIT ensures a better connection between higher education, the labour market and regional innovation, in the context of regional and national smart specialisation strategies.
- International dimension: the EIT is conscientious of the global context it operates in and helps to forge links with key international partners.

## **C. Scope of the evaluation/FC**

### **(C.1) Topics covered**

The evaluation will cover the topics outlined in the EIT's legal regulations, as well as the topics required by the Better Regulation Guidelines from January 1 2011 until at least December 31 2015. Account will be taken of the entry into force the goals associated with the Horizon 2020 Regulation from January 1 2014. If evidence is available from the 2016 activities as well, it will be used if appropriate and feasible. The evaluation will cover the entire geographical scope of the EIT's and its KICs' activities.

### **(C.2) Issues to be examined**

In line with the EIT Regulation and the Horizon 2020 Regulation, as well as the Better Regulation Package, the

<p>present evaluation will explore the following issues:</p> <ul style="list-style-type: none"> <li>- <b>systemic level impact</b>, exploring how the EIT has affected innovation and knowledge triangle integration in the EU<sup>4</sup>;</li> <li>- <b>effectiveness</b>, exploring how successful the EIT has been in progressing towards its objectives;</li> <li>- <b>sustainability</b>, exploring how likely the EIT and KIC model is likely to last after the end of the grants period;</li> <li>- <b>efficiency</b>, exploring the relationship between the resources used and the changes generated by the EIT and the KICs' work;</li> <li>- <b>relevance</b>, exploring the relationship between the wider EU innovation needs and problems and the objectives of EIT's work;</li> <li>- <b>EU added value</b>, exploring the EIT's added value compared to innovation interventions at level of member states;</li> <li>- <b>coherence</b>, exploring the relation of the EIT's work with the other initiatives in the field of innovation and specific KIC societal challenges.</li> </ul> <p>The specific questions related to these issues will be detailed in a later stage of the evaluation design, in particular in contract specifications for the independent external contractor.</p>
(C.3) Other tasks
<p>The evaluation will be conducted by the European Commission with an assistance of an independent external contractor. As part of the task, the evaluation findings will be presented in different formats (including, among others, social media, PowerPoint and/or other format presentations, and printed materials).</p>

D. Evidence base
(D.1) Evidence from monitoring
<p>The EIT monitors its own and the work of the KICs using four sets of indicators, each corresponding to a level of operations: KICs, cross-KICs, EIT and Horizon 2020. The available monitoring data includes, among others:</p> <ul style="list-style-type: none"> <li>- attractiveness of education programmes,</li> <li>- number of new graduates,</li> <li>- number of business ideas incubated,</li> <li>- number of start-ups created,</li> <li>- knowledge transfer and adoption,</li> <li>- new or improved products, services and process launched<sup>5</sup>.</li> </ul> <p>In addition to the monitoring of quantitative indicators, the EIT also conducts qualitative monitoring reviews. By March 2016 the EIT will conduct a qualitative review of KIC business creation and education activities, and by May 2016, a review will be completed of the EIT key performance indicators. The data collected in these reviews, as well as the results if available, will be used in the evaluation.</p> <p>The KICs' business plans, annual implementation reports and the EIT assessments will be used as qualitative</p>

<sup>4</sup> Specifically taking into account the EIT's mission of contributing to sustainable European economic growth and competitiveness, reinforcing the innovation capacity of the Member States and the Union by promoting synergies and cooperation among, and integrating, higher education, research and innovation.

<sup>5</sup> Available in the EIT's annual reports, eg. for 2014 at <http://eit.europa.eu/sites/default/files/EIT%20GB%20Decision%20-%20Annual%20Activity%20Report%202014.pdf>.

sources in the evaluation.
(D.2) Previous evaluations and other reports
<p>One independent expert evaluation of the EIT was conducted in 2010-2011<sup>6</sup>, with a focus on the procedural topics related to the initial setting up of the EIT and the KICs. The European Commission published its opinion on the evaluation in November 2011 (COM/2011/0816 final)<sup>7</sup>. The present evaluation will check the impact triggered by this initial governance setup, in line with the issues presented in section C.2.</p> <p>Some of the other relevant reports include:</p> <ul style="list-style-type: none"> <li>- "Analysis of synergies fostered by the EIT in the EU innovation landscape" (2013)<sup>8</sup>;</li> <li>- "Final evaluation of the Eurostars Joint Programme" (2014)<sup>9</sup>;</li> <li>- "Education in the Knowledge Triangle" (2012)<sup>10</sup>;</li> <li>- "The Economic Contribution of LERU Universities" (2015)<sup>11</sup>.</li> </ul> <p>The proposed evaluation will also use the annual activity reports<sup>12</sup> of the EIT as well as the annual KIC business plan implementation reports. In addition to these, the evaluation will use other appropriate sources of data from previous evaluations, studies and reports.</p>
(D.3) Evidence from assessing the implementation and application of legislation (complaints, infringement procedures)
<p>The evaluation will use the available information both from its data collection and from the work of the other compliance assessments of the EIT with the goal of drawing lessons for the improvement of the EIT's work. In particular, reports from the available EIT audits which cover the time period of the evaluation will be used in the evidence base<sup>13</sup>.</p>
(D.4) Consultation
<p>In the interest of transparency and accountability, and to provide an opportunity to the interested public to contribute to an understanding of the EIT's work, the proposed evaluation will include a 12-week period of an <b>internet-based open public consultation</b>. The online public consultation will be launched on the "Your voice in Europe" website as part of the evaluation. The external contractor will conduct this public consultation, which results will be part of the final evaluation report.</p> <p>In addition to the open public internet consultation, the contractor will conduct <b>separate consultations with stakeholders</b>, including:</p> <ul style="list-style-type: none"> <li>- public authorities, including local and regional governments;</li> <li>- KICs' partners;</li> <li>- other innovation and knowledge triangle integration stakeholders;</li> </ul>

<sup>6</sup> [http://eit.europa.eu/sites/default/files/eitreport\\_en.pdf](http://eit.europa.eu/sites/default/files/eitreport_en.pdf)

<sup>7</sup> <http://eur-lex.europa.eu/legal-content/EN/TXT/?uri=CELEX:52011DC0816>

<sup>8</sup> <http://bookshop.europa.eu/en/analysis-of-synergies-fostered-by-the-eit-in-the-eu-innovation-landscape-pbDU0213701/?CatalogCategoryID=om.ep2IxKIwAAAEEnX5At6XbN>

<sup>9</sup> [https://ec.europa.eu/research/sme-techweb/pdf/ejp\\_final\\_report\\_2014.pdf](https://ec.europa.eu/research/sme-techweb/pdf/ejp_final_report_2014.pdf)

<sup>10</sup> <http://bookshop.europa.eu/en/education-in-the-knowledge-triangle-pbNC0213123>

<sup>11</sup> [http://www.leru.org/files/publications/LERU\\_Economic\\_Contribution\\_-\\_Report.pdf](http://www.leru.org/files/publications/LERU_Economic_Contribution_-_Report.pdf)

<sup>12</sup> EIT annual reports are available at the EIT web site: <http://eit.europa.eu/interact/bookshelf> .

<sup>13</sup> For example, [http://www.eca.europa.eu/Lists/ECADocuments/EIT\\_2013/EIT\\_2013\\_EN.pdf](http://www.eca.europa.eu/Lists/ECADocuments/EIT_2013/EIT_2013_EN.pdf) and [http://www.eca.europa.eu/Lists/ECADocuments/EIT\\_2012/EIT\\_2012\\_EN.pdf](http://www.eca.europa.eu/Lists/ECADocuments/EIT_2012/EIT_2012_EN.pdf)

<ul style="list-style-type: none"> <li>- universities;</li> <li>- research organisations;</li> <li>- students;</li> <li>- businesses, including startups and SMEs;</li> <li>- professional higher education institutions;</li> <li>- interested nongovernmental organisations;</li> <li>- EU bodies dealing in innovation and the fields of KICs' work.</li> </ul> <p>The external contractor will conduct these separate consultations by means of interviews, focus groups, targeted questionnaires and other appropriate methods. The precise method to be used will be determined in a later stage of the evaluation design. The external contractor and the COM services will also conduct desk research to take into account the stakeholders' published opinions.</p> <p>A consultation synopsis report summarizing results of the open public consultation will be publicly available at the end of the process.</p>
(D.5) Further evidence to be gathered
<p>Other evidence will be used as necessary to answer the specific research questions. The possible sources include:</p> <ul style="list-style-type: none"> <li>- evidence from public authorities, including from eligible countries which have been underrepresented in the EIT's activities;</li> <li>- evidence from the performance of non-EU countries' innovation models;</li> <li>- evidence from researchers specializing in innovation and knowledge triangle integration;</li> <li>- evidence from other stakeholders taking part in EIT activities (such as venture capital fund managers / participants at EIT roundtables);</li> <li>- evidence from a selection of EIT startups, alumni and students.</li> </ul> <p>The methods of collecting the specified evidence will be defined later in the process, taking into account the evaluation objectives, available resources and time scope.</p>

E. Other relevant information/ remarks
N/A