European Commission

HORIZON 2020
in brief

The EU Framework Programme for Research & Innovation

Research and Innovation

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EUROPEAN COMMISSION

HORIZON 2020

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The EU Framework Programme for Research & Innovation

2014 Directorate-General for Research and Innovation

Introduction

Horizon 2020 – delivering excellent science for Europe

Horizon 2020 is the biggest EU research and innovation programme ever. It will lead to more breakthroughs, discoveries and world-firsts by taking great ideas from the lab to the market. Almost €80 billion[1] of funding is available over 7 years (2014 to 2020) – in addition to the private and national public investment that this money will attract.

Horizon 2020 has the political backing of Europe's leaders and the Members of the European Parliament. They agreed that investment in research and innovation is essential for Europe's future and so put it at the heart of the Europe 2020 strategy for smart, sustainable and inclusive growth. Horizon 2020 is helping to achieve this by coupling research to innovation and focusing on three key areas: excellent science, industrial leadership and societal challenges. The goal is to ensure Europe produces world-class science and technology that drives economic growth.

EU research funding under previous framework programmes has already brought together scientists and industry both within Europe and from around the world to find solutions to a vast array of challenges. Their innovations have improved lives, helped protect the environment and made European industry more sustainable and competitive. Horizon 2020 is open to participation by researchers from all over the world.

Their experience has been essential for the development of this pioneering programme – the Commission collected their feedback and took into account recommendations from the Member States and the European Parliament, as well as lessons learned during earlier programmes. The message was clear – make Horizon 2020 simpler for users – and it is!

1) All figures are quoted in current prices

Getting to know Horizon 2020

Excellent science, competitive industry and tackling societal challenges are at the heart of Horizon 2020. Targeted funding will help to ensure that the best ideas are brought to the market faster – and are used in our cities, hospitals, factories, shops and homes as quickly as possible.

Excellent science

Horizon 2020 will bolster the EU's position as a world leader in science, attracting the best brains and helping our scientists collaborate and share ideas across Europe. It will help talented people and innovative firms boost Europe's competitiveness, creating jobs along the way, and contributing to a higher standard of living – benefiting everyone.

Frontier research funded by the European Research Council (ERC)

Some of today's most significant inventions are the result of our natural curiosity about the way the world works. Although curiosity driven research at the frontiers of knowledge is rarely explicitly in support of commercial products, its discoveries nonetheless stimulate countless innovations. However, frontier research is often the first area to face cuts in times of economic difficulty, which is why through the ERC the EU is boosting the level of investment. Excellence is the sole criterion here for EU funding, which is awarded to individual researchers or research teams.

Funding: €13.095 billion

Marie Skłodowska-Curie Actions

Training and career development helps produce leading researchers. Support is offered to young and experienced researchers to reinforce their career and skills through training, or periods of placement in another

country or in the private sector. This gives them new knowledge and experience to allow them to reach their full potential.

Funding: €6.162 billion

Future and emerging technologies

Staying at the cutting edge of new technologies will keep Europe competitive and create new, high-skilled jobs – and this means being proactive and thinking one step ahead of the crowd. EU funding is helping to make Europe the best possible environment for responsible and dynamic multi-disciplinary cooperation on new and future technologies.

Funding: €2.696 billion

World-class infrastructure

Research equipment can be so complex and costly that no single research team – or even country – can afford to buy or construct or operate it alone. Examples include: the high powered lasers that serve a diverse research community spanning medicine, materials sciences and biochemistry; specialised high-tech airplanes; or a monitoring station at the bottom of the sea, used for observing climate change.

These can cost millions of euro, and need the skills of the world's top experts. EU funding helps to pool resources for such large-scale projects, and provides Europe's researchers with access to the very latest, state-of-the-art infrastructure – making new and exciting research possible.

Funding: €2.488 billion

Industrial leadership

To be the best at what it does, Europe needs to invest in promising and strategic technologies, such as those used in advanced manufacturing and micro-electronics. But public funding alone is not enough: the EU needs to encourage businesses to invest more in research, and target areas where they can work with the public sector to boost innovation.

Businesses gain by becoming more innovative, efficient and competitive. This in turn creates new jobs and market opportunities. Every €1 invested by the EU generates around €13 in added value for business. And increasing investment further to 3% of GDP by 2020 would create a further 3.7 million jobs!

Leadership in enabling and industrial technologies

Horizon 2020 supports the ground-breaking technologies needed to underpin innovation across all sectors, including information and communication technology (ICT) and space. Key enabling technologies such as advanced manufacturing and materials, biotechnology and

nanotechnologies, are at the heart of game-changing products: smart phones, high performance batteries, light vehicles, nanomedicines, smart textiles and many more besides. European manufacturing industry is a key employer providing jobs for 31 million people across Europe.

Funding: €13.557 billion

Small and medium enterprises (SMEs) – a key source of jobs and innovation – receive special attention in Horizon 2020. They can collaborate in projects as part of a consortium and can receive support through a dedicated instrument designed specifically for highly innovative smaller companies. The integrated and streamlined character of Horizon 2020 will boost SME participation to at least 20% (€8.65 billion) of the total combined budgets of the 'Leadership in enabling and industrial technologies' and the 'Societal Challenges' themes. The SME instrument will be pivotal in achieving this target by providing support to help single SMEs, or consortia of SMEs, assess the market viability of their ideas at the high-risk stage, and then to help them develop these ideas further. Funding is also available for business coaching and guidance on how to identify and attract private investors.

Funding: At least €3 billion allocated to the SME instrument

Access to risk finance

Innovative companies and other organisations often find it difficult to access financing for high-risk new ideas or their development. Horizon 2020 helps to fill this "innovation gap" through loans and guarantees, as well as by investing in innovative SMEs and small midcaps. This support acts as a catalyst to attract private finance and venture capital for research and innovation. It is estimated that every €1 the EU invests generates €5 in additional finance.

Funding: €2.842 billion

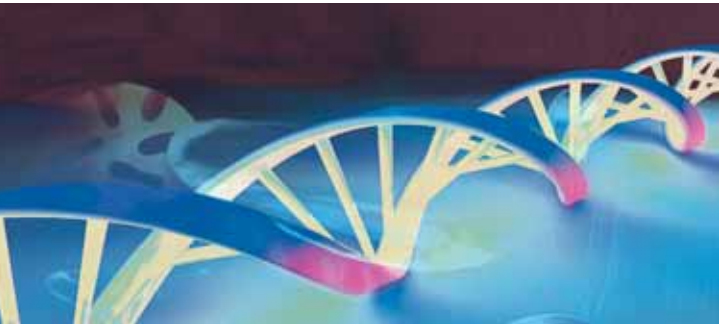
Societal challenges

The EU has identified seven priority challenges where targeted investment in research and innovation can have a real impact benefitting the citizen:

- Health, demographic change and wellbeing
- Food security, sustainable agriculture and forestry, marine and maritime and inland water research and the bioeconomy
- Secure, clean and efficient energy
- Smart, green and integrated transport
- Climate action, environment, resource efficiency and raw materials
- Europe in a changing world - inclusive, innovative and reflective societies
- Secure societies - protecting freedom and security of Europe and its citizens.

Health and wellbeing

Everyone wants a long, happy and healthy life, and scientists are doing their best to make this possible. They are tackling some of the major current health issues as well as emerging threats such as the increasing impact of Alzheimer's disease, diabetes and antibiotic-resistant 'super-bugs'. Investment in health research and innovation will help us stay active, develop new, safer and more effective treatments and help keep our health and care systems viable. It will give doctors the tools they



need for more personalised medicine, and it will step up prevention and treatment of chronic and infectious diseases.

Funding: €7.472 billion

Food security and sustainable use of biological resources

With the world population set to reach nine billion by 2050 we need to find ways to radically change our approach to production, consumption, processing, storage, recycling and waste disposal while minimising the environmental impact. This will include balancing the use of renewable and non-renewable resources from land, seas and oceans, transforming waste into valuable resources, and the sustainable production of food, feedstuffs, bio-based products and bioenergy. In the EU, agriculture and forestry and the food and bio-based industry sectors altogether employ 22 million people and play a key role in rural development and the management of Europe's natural heritage.

Funding: €3.851 billion

Sustainable energy

Energy drives the modern economy but even just maintaining our standard of living requires a huge amount of energy. As the world's second-largest economy, Europe is over-dependent on the rest of the globe for its energy – energy derived from fossil fuels that accelerate climate change. The EU has, therefore, set itself ambitious climate and energy targets. EU funding through Horizon 2020 will play a key role in achieving these goals.

Funding: €5.931 billion

Green, integrated mobility

Mobility drives employment, economic growth, prosperity and global trade. It also provides vital links between people and communities. However, today's transport systems and the way we use them are unsustainable. We rely too heavily on shrinking stocks of oil, which makes us less energy secure. And transport-related problems – congestion, road safety, atmospheric pollution – impact on our daily lives and health. To address these issues Horizon 2020 is contributing to the creation of a sustainable transport system that is fit for a modern, competitive Europe.

Funding: €6.339 billion

Climate action, environment, resource efficiency and raw materials

The era of never-ending cheap resources is coming to an end: access to raw materials and clean water can no longer be taken for granted. Biodiversity and ecosystems are also under pressure. The solution is to invest now in innovation to support a green economy – an economy

that is in sync with the natural environment. Dealing with climate change is a cross-cutting priority in Horizon 2020 and accounts for 35 % of the overall budget across the programme.

Waste and water are particular priorities. Waste is currently responsible for 2 % of the EU's greenhouse gas emissions, while boosting growth in the water industry by just 1 % could create up to 20 000 new jobs.

Funding: €3.081 billion

Europe in a changing world - inclusive, innovative and reflective societies

In 2011 around 80 million people were at risk of poverty in Europe. Significant numbers of young people – on whom our future depends – are not in education, work or training. These are just two examples of challenges that threaten the future of Europe and individuals in large sectors of society. Research and innovation can help, which is why Horizon 2020 is funding research on new strategies and governance structures to overcome prevailing economic instability and ensure Europe is resilient to future downturns, demographic change and migration patterns. Funding also supports new forms of innovation such as open innovation, business model innovation, public sector and social innovation to meet social needs. By supporting research and innovation on European heritage, identity, history, culture and Europe's role in the world, the EU is also building 'reflective societies' – in which shared values and their contribution to our joint future are explored.

Funding: €1.309 billion

Secure societies – protecting freedom and security of Europe and its citizens

Today, keeping citizens safe means fighting crime and terrorism, protecting communities from natural and man-made disasters, thwarting cyber-attacks and guarding against illegal trafficking in people, drugs and counterfeit goods. EU research and innovation is developing new technologies to protect our societies, while respecting privacy and upholding fundamental rights – two core values at the heart of EU security research. These technologies have a significant potential to stimulate economic activity through new products and services and create jobs.

Funding: €1.695 billion

Spreading excellence and widening participation

Research and innovation are crucial to economic prosperity and so measures are needed to ensure that the innovation performances of all Member States and their regions converge and improve. Experience shows that when economic crises constrain national budgets, disparities in innovation performance across Europe become more apparent. Exploiting the potential of Europe's talent pool and maximising and spreading the benefits of innovation across the Union is therefore the best way to strengthen Europe's competitiveness and its ability to address societal challenges in the future.

Specific measures under Horizon 2020 include:

- 'Teaming' excellent research institutions with lower performing counterparts to create or upgrade centres of excellence
- 'Twinning' institutions, including staff exchanges, expert visits and training courses
- Establishing 'ERA Chairs' to attract outstanding academics to high-potential institutions
- A Policy Support Facility to help improve national and regional research and innovation policies
- Providing excellent researchers and innovators with better access to international networks
- Strengthening the transnational networks of National Contact Points to provide information to those seeking support.

Funding: €816 million

Synergies with other policies

A basic premise of the Europe 2020 strategy for smart, sustainable and inclusive growth is that all EU policies should work together to achieve its objectives. As regards research and innovation, the European Structural and Investment Funds are providing complementary support to Horizon 2020 to finance the upgrade of scientific infrastructure – from laboratory equipment to supercomputers, to high-speed data networks – and to boost research and innovation capacities where needed.

Science with and for society

Effective cooperation between science and society is needed to recruit new talent for science and to marry scientific excellence with social awareness and responsibility. This means understanding the issues from all sides. Horizon 2020 is, therefore, supporting projects that involve the citizen in the processes that define the nature of the research that affects their everyday lives. Broader understanding between the specialist and non-specialist communities on objectives and the means for achieving them will maintain scientific excellence and allow society to share ownership of the results.

Funding: €462 million

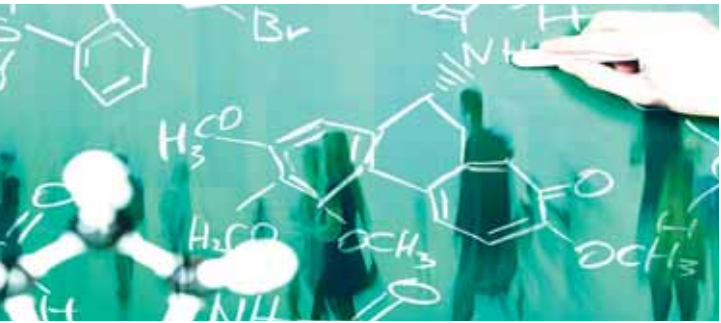
Innovation actions in Horizon 2020

Substantial support for innovation is provided throughout Horizon 2020 for prototyping, testing, demonstrating, piloting, large-scale product validation and market replication. Significant support to demand side

approaches is another important feature, notably pre-commercial and first-commercial public procurement of innovation, as well as regulation to foster innovation and standard-setting. New forms of public sector innovation and social innovation as well as pilot actions for private sector services and products are also covered.

Social Sciences and Humanities

As a cross-cutting issue of broad relevance, Social Sciences and Humanities (SSH) research is fully integrated into each of the general objectives of Horizon 2020. Embedding SSH research across Horizon 2020 is essential to maximise the returns to society from investment in science and technology. Integrating the socio-economic dimension into the design, development and implementation of research itself and of new technologies can help find solutions to societal problems. Indeed, the idea to focus Horizon 2020 around "Challenges" rather than disciplinary fields of research illustrates this new approach.



Nuclear research for all citizens

EU research on nuclear fission focuses on safety and security, medical research, radiation protection, waste management, industrial uses of radiation, and includes many other areas such as the use of radiation in the agricultural sector.

EU research on nuclear fusion aims at demonstrating that fusion can become a viable energy source for large-scale commercial exploitation within a reasonable timeframe, by gathering the efforts of all stakeholders into a unique European joint programme.

Funding: €1.603 billion

Science for policy – the role of the Joint Research Centre (JRC)

The Joint Research Centre is the Commission's in-house service providing independent, evidence-based scientific and technical support for EU policies. Its activities are funded through Horizon 2020 and many of its actions address the seven societal challenges. Through the research and training programme of the European Atomic Energy Community, the JRC also supports the EU's efforts to strengthen nuclear security, safety and radiation protection.

Further information: https://ec.europa.eu/jrc/.

How it works

Horizon 2020 is open to everyone. Under Horizon 2020 there is only one set of simplified rules and procedures to follow. This means that participants can focus on what is really important: research, innovation and results.

This focused approach makes sure new projects get off the ground quickly – and achieve results faster.

The rules are designed to guarantee fairness, protect participants and ensure public money is spent appropriately.

Who may apply?

- For standard research projects – a consortium of at least three legal entities. Each entity must be established in an EU Member State or an Associated Country.

- For other programmes – European Research Council (ERC) (p.23), SME Instrument (p.24), the co-funding of national or public sector calls or programmes (p.28), coordination and support (p.23), training and mobility (p.24) – the minimum condition for participation is one legal entity established in a Member State or in an Associated Country.

Additional conditions may apply. Check the Work Programme for details (see p.33).

In general, legal entities established in any country and international organisations, may participate.

Agreements between the EU and individual governments have created a number of associated countries, where legal entities can participate in Horizon 2020 on an equal footing to those of EU Member States.

For a list of associated countries, see http://bit.ly/H2020AC.

Participating legal entities from other countries may also be able to get EU funding in certain circumstances.

See http://bit.ly/H2020IPC.

Action types

Research and innovation actions

Funding for research projects tackling clearly defined challenges, which can lead to the development of new knowledge or a new technology.

Who? Consortia of partners from different countries, industry and academia.

Innovation actions

Funding is more focused on closer-to-the-market activities. For example, prototyping, testing, demonstrating, piloting, scaling-up etc. if they aim at producing new or improved products or services.

Who? Consortia of partners from different countries, industry and academia.

Coordination and support actions

Funding covers the coordination and networking of research and innovation projects, programmes and policies. Funding for research and innovation per se is covered elsewhere.

Who? Single entities or consortia of partners from different countries, industry and academia.

Frontier research grants – European Research Council

Funding for projects evaluated on the sole criterion of scientific excellence in any field of research, carried out by a single national or multinational research team led by a 'principal investigator'.

Who? The ERC funds excellent young, early-career researchers, already independent researchers and senior research leaders. Researchers can

be of any nationality and their projects can be in any field of research.

Support for training and career development – Marie Skłodowska-Curie Actions

Funding for international research fellowships in the public or private sector, research training, staff exchanges.

Who? Early stage researchers or experienced researchers (of any nationality), technical staff, national/regional research mobility programmes.

SME Instrument

This instrument is aimed at highly innovative SMEs with the ambition to develop their growth potential. It offers lump sums for feasibility studies, grants for an innovation project's main phase (demonstration, prototyping, testing, application development...); lastly, the commercialisation phase is supported indirectly through facilitated access to debt and equity financial instruments.

Who? Only SMEs can participate. Either a single SME or a consortium of SMEs established in an EU or Associated Country.

Fast track to innovation

Funding is due to start in 2015 as a pilot action. Continuously open, innovator-driven calls will target innovation projects addressing any technology or societal challenge field. The pilot action will undergo an in-depth assessment half-way through Horizon 2020.

Who? Industry, including SMEs, with a minimum of three and maximum of five partners and a maximum EU contribution of €3 million per project.

Funding rates

In Horizon 2020 there is one single funding rate for all beneficiaries and all activities in the research grants. EU funding covers up to 100% of all eligible costs for all research and innovation actions. For innovation actions, funding generally covers 70% of eligible costs, but may increase to 100% for non-profit organisations. Indirect eligible costs (e.g. administration, communication and infrastructure costs, office supplies) are reimbursed with a 25% flat rate of the direct eligible costs (those costs directly linked to the action implementation).

Checks and audits

Only coordinators in projects requesting funding from the Union of €500000 or more will be subject to a financial viability check, in which they must prove that they have the resources to implement the project.

The European Commission audits project participants up to two years after payment of the balance. The audit strategy is focused on risk and fraud prevention.

Access rights

Access rights are a right to use results or background of another participant in a project.

Access rights are enjoyed by participants to implement the project or exploit their results, by the EU for non-commercial policy purposes, and by Member States in the area of Secure Societies for non-commercial policy purposes.

Sharing results while protecting IPR

Each participant must disseminate the results it produces – and therefore owns – as early as possible. Exceptions only apply to protect intellectual property rights (IPR), security or legitimate interests.

When publishing results in scientific publications, open access to the publication must be ensured. This guarantees that research results funded by EU taxpayers are available for free to everyone.

IPR belongs to the team that generates the results. In very specific circumstances, joint-ownership may apply. Once results have been generated the joint owners may agree on a different ownership system.

Ethics and research

Ethics is an integral part of research and a driver for research excellence. All activities funded under Horizon 2020 shall comply with ethical principles and relevant national legislation. The ethical principles include the need to avoid breaches of research integrity, in particular any form of plagiarism, data fabrication or falsification.

Other sources of funding through Horizon 2020

Through partnerships, Horizon 2020 will develop closer synergies with national and regional programmes, encourage greater private investment in research and innovation, and pool Europe's resources to tackle the biggest challenges.

Over seven years, EU funding of €8 billion will attract €10 billion from the private sector and another €4 billion from EU countries. Most of the funding will go to Joint Technology Initiatives (JTIs). These are run as joint

undertakings and organise their own research agenda. JTIs are active in a number of areas of strategic importance for the EU: innovative medicines; fuel cells and hydrogen; cleaner, quieter aircraft; bio-based industries; and electronics manufacturing. An updated list can be found on this webpage http://bit.ly/H2020Partners

Public-Public Partnerships also allow public sector organisations in EU Member States to draw up joint research programmes. Areas covered include: support for high-tech SMEs; new treatments for poverty-related diseases; new measurement technologies; and technologies empowering the elderly and disabled to live safely in their own homes.

Programme co-fund

The main purpose of Programme co-fund actions is to supplement individual calls or programmes. For example:

- Calls for proposals between national research programmes (ERA-NET co-fund);
- Calls for tenders for Pre-Commercial Public Procurements or Public Procurement of Innovative solutions (PCP-PPI co-fund);
- Mobility programmes (Marie Skłodowska-Curie co-fund).

European Institute of Innovation and Technology (EIT)

The EIT integrates higher education, research and innovation through the 'Knowledge and Innovation Communities' (KICs) to generate new approaches towards innovation, trigger sustainable growth and competitiveness and promote entrepreneurship. These innovative partnerships must have a long-term vision of at least seven years, and be run with business logic following a results-oriented approach with

clear objectives and a focus on achieving economic and social impact to become global players.

For further information: http://eit.europa.eu/

Funding: €2.711 billion

Who? Consortia representing research, education and innovation/ business.

Thinking European – and globally

Borderless research

If Europe is to find solutions to societal challenges while boosting growth and competitiveness, it needs a fully functioning network of research excellence – a European Research Area (ERA). This single market for knowledge, research and innovation is being developed with the aid of EU funding and is helping researchers, their knowledge and results to circulate freely across Europe.

The ERA guarantees that knowledge and ideas are shared across Europe, reducing the risk of wasting money on duplicating research – scientists in different European labs carrying out the same research simultaneously. This coordinated approach – encouraged by Horizon 2020 – helps to ensure that every euro spent on research is invested strategically.

Open to the world

In line with the Union's strategy for international cooperation in research and innovation, Horizon 2020 is open to the participation of researchers from across the world. As more research and innovation is performed in international partner countries, it is crucial that Europe is able to access the best researchers and research centres worldwide. Not only does this provide sources of new ideas and expertise, it is also important to ensure that European researchers are able to collaborate worldwide with the best in the field.

Targeted international cooperation activities are included in the societal challenges, enabling and industrial technologies and other relevant parts of Horizon 2020. The areas and partners for cooperation are identified in the relevant Work Programme.

For more information on who is eligible, see p.20.

How to apply

Work programmes announce the specific research and innovation areas that will be funded. They are accessible through the Participant Portal (http://bit.ly/H2020PP) and indicate the timing of forthcoming Calls for Proposals. When ready each Call gives more precise information on the research and innovation issues that applicants for funding should address in their proposals.

Although details on all Calls can also be found in the EU's Official Journal, the Participant Portal goes further. It provides easy-to-follow guidance and all the tools needed to apply for funding and manage projects throughout their lifecycle. It covers every type of research and innovation action.

National Contact Points (http://bit.ly/H2020NCP) also provide a wealth of information and individual guidance on Horizon 2020. There is at least one in every EU country and some in other countries.
Specific questions can also be sent to the online Research Enquiry Service http://ec.europa.eu/research/enquiries.

Submitting a proposal

Proposals must be submitted before the deadline of the relevant Call. The Participant Portal provides clear instructions. The system is simpler than ever – no more paper! All proposals must be submitted online only.

Finding partners

Many Calls require a team to have at least three partners. The Participant Portal partner search function helps to identify potential partners with particular competences, facilities or experience.

Evaluation by experts

After the deadline passes, each proposal is evaluated by a panel of independent experts in the areas covered by the Call. The expert panels score each proposal against a list of criteria (see http://bit.ly/H2020Eval). On that basis, the best proposals are selected for funding.

Grant agreement

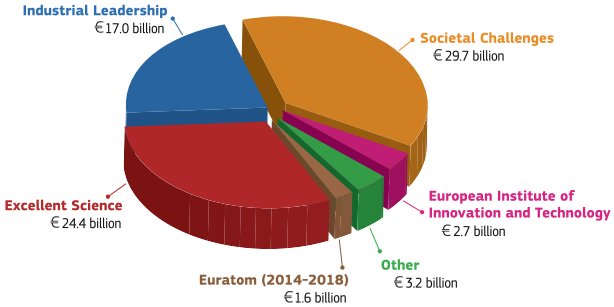
Once a proposal passes the scientific evaluation stage (duration five months), applicants are informed about the outcome. For the proposals which are selected for funding, the European Commission then draws up the grant agreement.

The time limit for signing the grant agreements is generally three months.

The grant agreement confirms the description of the research and innovation activities that will be undertaken, the project duration and budget, rates and costs, rights and obligations, division of roles, rules on suspending and terminating projects, and more.

Then the project can begin!

HORIZON 2020 Budget (in current prices 2013)



Useful links:

Participant Portal
http://bit.ly/H2020PP

Helpdesk
http://ec.europa.eu/research/enquiries

Learn more about Horizon 2020
http://ec.europa.eu/horizon2020

National contact Points (NCPs):
http://bit.ly/H2020NCP

Enterprise Europe Network:
http://een.ec.europa.eu/

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http://bit.ly/H2020Experts

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www.ec.europa.eu/horizon2020

Practical information

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