Horizon 2020

- **The new European Union framework programme for research and innovation for 2014-2020**

- **A budget of about €80 billion**; 30 per cent higher in real terms than the 2007-2013 period (FP7)

- **A core part of Europe 2020, Innovation Union & European Research Area:**
  - Strengthening the EU's global position in research, innovation and technology
  - Responding to the economic crisis to invest in jobs and growth
  - Addressing people's concerns about their livelihoods, safety and environment

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HORIZON 2020 BUDGET (in current prices)

Industrial Leadership
EUR 17.0 billion

Societal Challenges
EUR 29.7 billion

Excellent Science
EUR 24.4 billion

European Institute of
Innovation and Technology
EUR 2.7 billion

Euratom (2014–2018)
EUR 1.6 billion

Other
EUR 3.2 billion
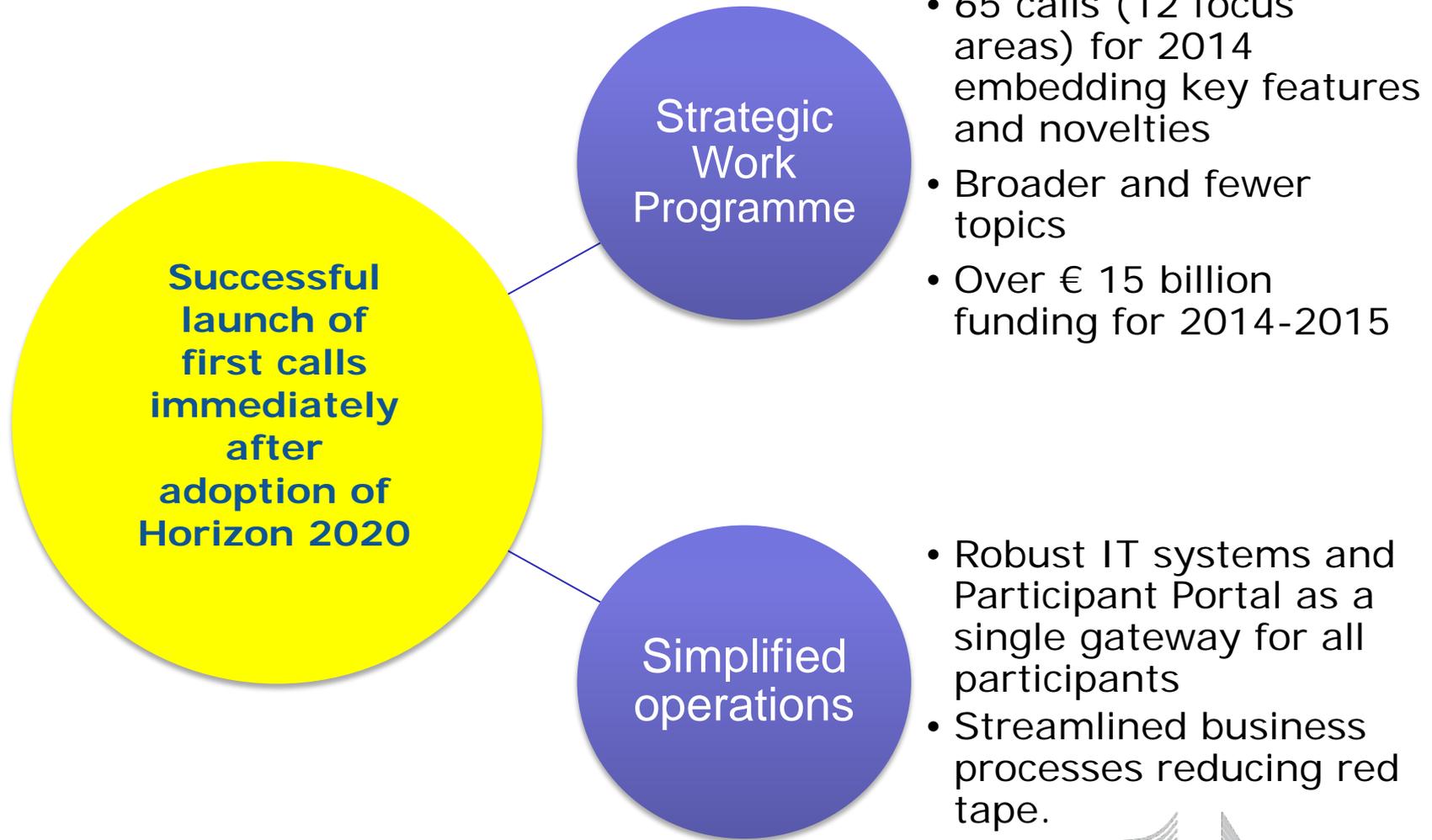
HORIZON 2020

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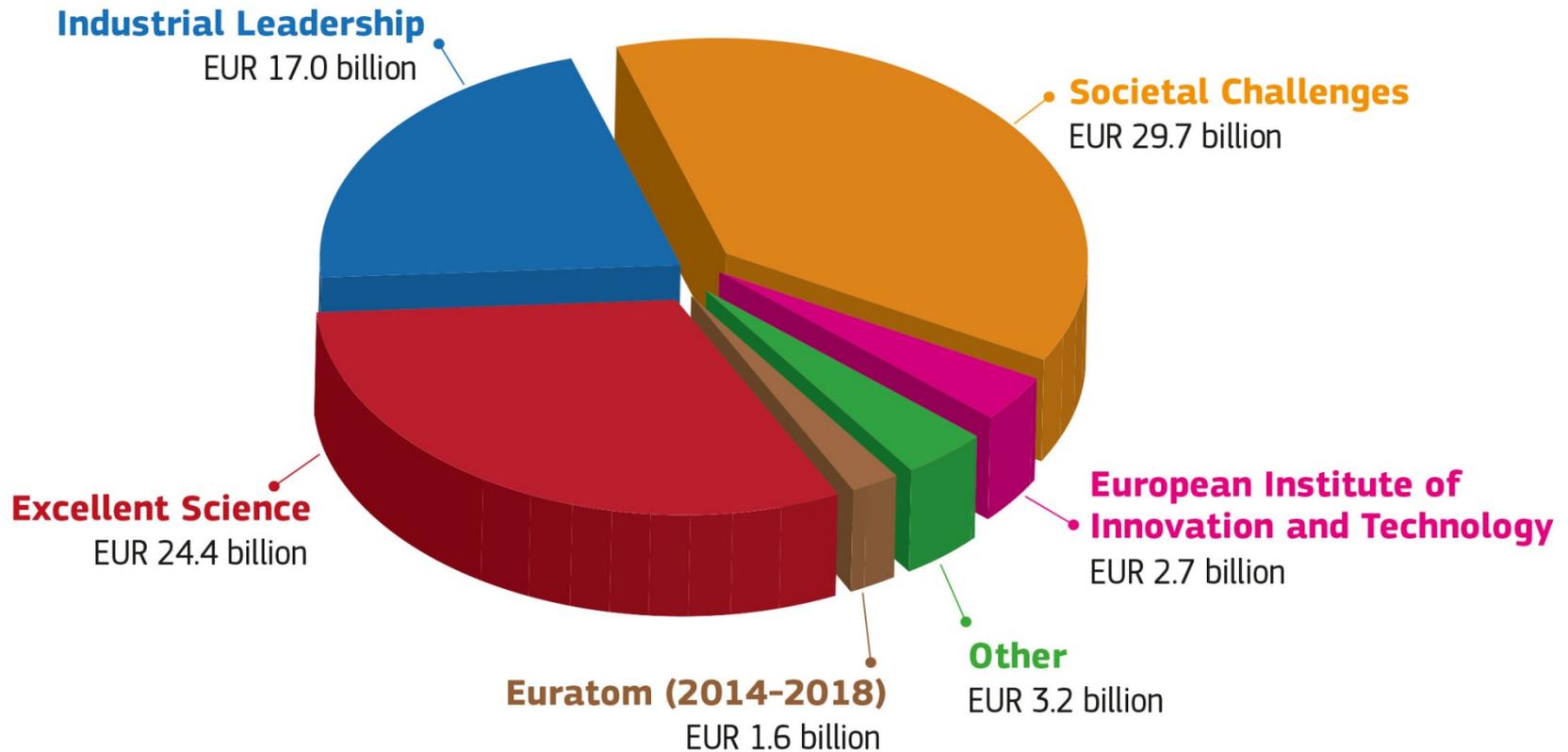
What is new?

- **A single programme** bringing together three separate programmes/initiatives*

- **Coupling research to innovation** – from research to retail, all forms of innovation

- **Focus on societal challenges** EU society is faced with, e.g. health, clean energy and transport

- **Simplified access**, for all companies, universities, institutes in all EU countries and beyond

*   *7th Research Framework Programme (FP7), innovation aspects of Competitiveness and Innovation Framework Programme (CIP), EU contribution to European Institute of Innovation and Technology (EIT)*

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Launch of Horizon 2020: A major achievement

Strategic Work Programme

- 65 calls (12 focus areas) for 2014 embedding key features and novelties
- Broader and fewer topics
- Over € 15 billion funding for 2014-2015

Successful launch of first calls immediately after adoption of Horizon 2020

Simplified operations

- Robust IT systems and Participant Portal as a single gateway for all participants
- Streamlined business processes reducing red tape.

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Response to Horizon 2020 calls in first 10 months

- More than **2.1 million visits on Participant Portal** in December 2013 and increasing in the following months, **just over 3 million visits per month**

- Ca. **35,000 proposals** submitted

- Nearly **11,000 expert evaluators** contracted (74,000 experts registered);

- Attracted **newcomers** and evidence of **increase in industry participation;**

- High number of applications reflects **popularity of Horizon 2020**.

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Lessons Learned from first H2020 calls

Analysis of the experiences with the first calls with the objectives:

- Take-stock
- Prepare (necessary) corrective measures
- Feed into Work Programme cycle for 2016-17

Based on

- **Statistical analysis of concluded calls**
- Feedback from **Commission services and Executive Agencies**
- **Observers' reports** from evaluations
- Feedback from some **stakeholders, certain NCPs and some Member States**

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Lessons Learned: Work Programme and Information for applicants

Objective: Easy retrieval of information and simplified access for all applicants

Findings: **Participant Portal valued** by R&I community, but **work programme needs to be more visible**

Delays in **handling questions and providing information** to NCPs, applicants etc.

Recommendations:

✓ Enhance presentation of calls in Participant Portal

✓ Continuous improvement of Horizon 2020's IT system.

✓ Reinforce Commission efforts to help NCPs do their job

✓ Update regularly Frequently Asked Questions (FAQs)

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Lessons Learned: Response to calls

Objective: Challenge-based calls allowing applicants considerable freedom to come up with innovative solutions and focusing more on impact

Findings: **Challenge based approach liked** by R&I community

Newcomers attracted and evidence of increase in **industry participation**

Perhaps one of the reasons for the high number of applications and consequently lower success rates. However, picture remains largely diverse and requires further analysis! Around 1/3 of good proposals (i.e. above threshold) can be funded!

Success rate in 1st stage of 2-stage calls too high

Recommendations:

- ✓ Further analysis of reasons for increase in number of applications and related success rates

- ✓ Maintain the challenge-based approach, but improve clarity of topic descriptions (impact statements)

- ✓ Adapt call conditions for two-stage evaluations ensuring a 1:3 (budget-wise) success rate in the second phase

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Lessons Learned: Proposal Evaluation

**Objective:** High quality of evaluation process

Findings: According to observers' reports **overall excellent quality of evaluations with good mix of experts**.

Some concerns regarding **interpretation of criteria and new concepts** (e.g. innovation management).

Lack of certain expertise in database (women, experts in innovation and business planning)

Difference in level of **feed-back provided** to applicants

Recommendations:

- ✓ Update briefings and guideline documents, including information for applicants, and evaluation process in response to feedback received
- ✓ Reinforce efforts to attract experts
- ✓ Develop a set of minimum standards on feedback

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Lessons Learned: Further recommendations

✓ Carry out further monitoring of implementation processes (e.g. TTG), particularly when they affect applicants

✓ Address **key features and novelties** upstream in the work programme preparation cycle to ensure embedding in priority setting as well as implementation

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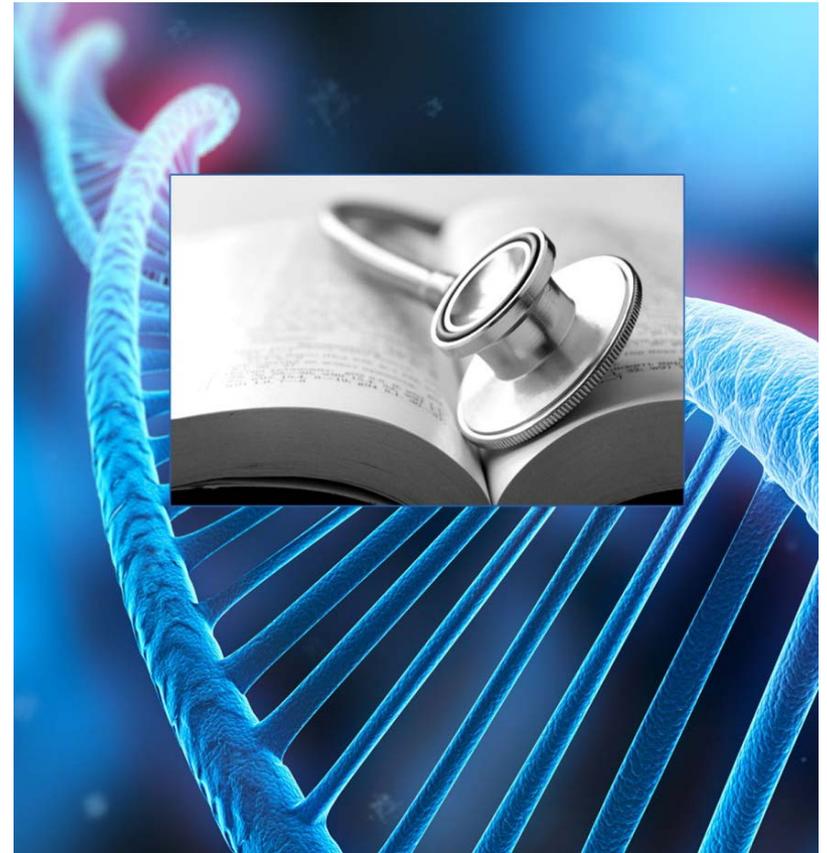
Key feature: Covering the full research & innovation cycle

Work Programme 2014-2015

✓ **More support for innovation, activities close to market and demand side approaches**
   €2 billion allocated to 100 topics for Innovation Actions (IA) in Societal Challenges and LEITs; €120+ million for innovation procurement (PCP/PPI); five inducement prices (2015) etc.

✓ **Engagement of industry**
   €800 million for contractual PPPs; €516 million for SME instrument topics; more than €1.7 billion investment in JTIs; €630 million goes to debt and equity facilities; and substantial investment in P2Ps

First calls:

✓ Increased industry participation

✓ Good uptake of IA, other new innovation instruments to be monitored

✓ Need to continue and, where appropriate, reinforce broad approach to innovation (service, social innovation etc.)

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Key feature: SMEs

Work Programme 2014-2015

- ✓ **SME opportunities across the whole work programme,** notably in Societal Challenges and LEITs (20% budgetary target) plus measures to enhance SME innovation capacity and debt and equity financial instruments (in addition Eurostars Joint Programme)

- ✓ **SME instrument:** around €512 million through 13 open topics of Societal challengesand LEITs

First calls:

- ✓ Around 18% of funding for SMEs, but full impact of SME instrument still to kick in

- ✓ Successful launch of SME instrument with high demand: 94% single company applications at first cut-off date for Phase 1 (feasibility assessment); low success rate (6%), but every other 'good' proposal funded (i.e. 49% of applications above threshold)

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Key feature: Social Sciences and Humanities

Work Programme 2014-2015

SSH aspects embedded in calls and lines of activity of all WP parts, including through addressing end-user perspectives

- ✓ **199 SSH-flagged topics** (37% of the topics) in Work Programme representing a budget share of 5.3 % (considerably larger than FP7)

  - ✓ Significant opportunities in **Marie Sklodowska-Curie** actions (about 11 % of budget to SSH) and in **ERC** (17 % to SSH; from 2015 no pre-defined budget envelope for scientific domains)

First calls:

- ✓ SSH coverage in proposals can be enhanced by, for example, improving wording of WP topic descriptions and evaluator briefing

- ✓ SSH expertise well represented in evaluation panels for SSH-flagged topics

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Key feature: Gender

Work Programme 2014-2015

Explicitly integrated in all the sections of Work Programme

- ✓ Total of **99 gendered topics** (16% of total in Work Programme)

- ✓ **Specific call** under Science with and for Society (€ 9.5 million)

- ✓ **Topics are flagged** to ease access for applicants

First calls:

- ✓ Still room to improve gender balance in evaluation panels

- ✓ Gender issues more frequent in flagged topics

- ✓ Continued efforts needed to address gender dimension in preparation and implementation of work programme

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Key feature: International cooperation

Work Programme 2014-2015

General openness to international participants & targeted activities in all relevant WP parts

- ✓ Topics with **international participation as a recommendation (20% or topics)**

- ✓ Relying more on **topics with critical mass and multi-lateral approaches (e.g. Health, Resource Efficiency)**

First calls:

- ✓ Drop in participation of international partners (no automatic funding for emerging economies – BRIC & Mexico)

- ✓ Continued good level in ERC and MSCA.

- ✓ Need to increase international cooperation activities (flagship initiatives together with accompanying actions)

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Work Programme Update for 2015

- **Confirmation of the 2015 budget**

- **New call launched: Fast Track to Innovation:**
    - A last push to promising ideas before entering the market
    - Substantial industry involvement
    - Open from January 2015 to small consortia of three to five organisations
    - EU support of €100 million

- **Five inducement prizes announced** to induce technological breakthroughs in key areas:
    - Material: Reduction of Particulate Matter Air Pollution – €3 million
    - Reduction of Use of Antibiotics for Respiratory Infection – €1 million
    - Food-Scanner Prize – €1 million
    - Collaborative Sharing of Spectrum – €0,5 million
    - Optical transmission – €0,5 million

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Lessons Learned – Next Steps

- ❑ Tackle **issues that can be adapted in the short term** and strive for continuous improvements

- ❑ **Further in-depth analysis and feedback** from a wider audience, notably applicants

- ❑ Take full account of 'Lessons Learned' in the **preparation of the work programme 2016-2017** that is to be adopted in the third quarter 2015 (calls for 2016)

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For further information

- **Participant Portal**

  http://ec.europa.eu/research/participants/portal/desktop/en/home.html

- **Helpdesk**

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

- **Expert evaluators needed!**

  http://ec.europa.eu/research/participants/portal/desktop/en/experts/index.html

- **Learn more about Horizon 2020**

  http://ec.europa.eu/horizon2020

Thank you for your attention!

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