



HORIZON 2020

First results



Research and
Innovation

EUROPEAN COMMISSION

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EUROPEAN COMMISSION

Horizon 2020

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Horizon 2020 is the EU's biggest ever programme for research and innovation, and it has got off to an excellent start. This brochure presents information on the first 100 calls for proposals that closed by 1 December 2014. We are happy to announce that we are on course:

- Horizon 2020 is extremely popular, as shown by the enormous number of proposals received – 36 700 in total.
- Many of the applicants are newcomers – nearly 40% of participants in these first calls did not take part in Horizon 2020's predecessor, the Seventh Framework Programme for Research.
- The participation of industry and SMEs has increased, largely due to the focus of the programme on the deployment of research results through demonstration, proof of concept and pilot actions.
- Radical simplification is welcomed by participants, with the vast majority satisfied with the new Participants' Portal; the quicker time to grant of eight months was met in 95% of cases and the electronic signature was successfully introduced.

It is still early days, however, and certainly too soon to extrapolate long term trends from this relatively small sample. The statistics in this brochure only tell part of the story, it's the ideas that count! Horizon 2020 is already funding the very best in research and innovation, and we present here just a few of the projects to emerge from the 3 200 that have been awarded a total of €5.5 billion in EU funding.

Horizon 2020's first 'century' of calls is just the beginning. We have made it our mission to ensure that Horizon 2020 will promote the world's best research and innovation, boosting jobs and growth and helping solve our biggest societal challenges between now and 2020.

Carlos Moedas,
Commissioner for Research,
Science and Innovation.

Robert-Jan Smits,
Director-General,
Directorate-General for Research and Innovation,
European Commission.

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This publication presents the results of Horizon 2020's first 100 calls for proposals¹, which closed by 1 December 2014. Since this is a relatively small sample, from the very beginning of a seven year programme, it would be risky to draw any firm conclusions at this stage about how Horizon 2020 will develop until it finishes in 2020. Any patterns or trends could of course change in the future.

The Commission will continue to monitor Horizon 2020 very carefully, and adapt work programmes as necessary. The mid-term review of Horizon 2020 will also present an opportunity to make any more substantial adjustments that might be needed.

In order to put the statistics into some context, in many cases comparable data is provided in relation to the previous EU research funding programme, the Seventh Framework Programme for Research (FP7). However, any comparison between Horizon 2020 and FP7 should only be made with caution since the FP7 data always refers to the whole seven years of the programme and because the scope and content of the two programmes are quite different. Horizon 2020's budget of €77 billion is also much bigger than FP7's budget of €55 billion.

10 KEY FACTS

- A total of 36 732 eligible proposals were submitted under Horizon 2020's first 100 calls (FP7: 135 514), breaking down as follows:
 - 29 794 full proposals in single-stage calls**
 - 5 617 outline proposals in the first stage of the two-stage calls**
 - 1 321 full proposals in the second stage of the two-stage calls**
- In total, 31 115 full proposals were submitted.
- The total number of eligible applications in full proposals was 123 334 (FP7: 598 080).
- These eligible proposals requested a total EU financial contribution of €80.3 billion (FP7: €217.1 billion), and were evaluated by 9 325 experts.
- 4 315 proposals were retained for funding. The overall success rate of eligible full proposals under the first 100 calls is around 14%, compared with around 20% for the whole of FP7.

- 38% of successful applicants were newcomers (compared to 13% in 2013, the last year of FP7), of which 1 100 were SMEs.
- The 20% budget target for SMEs has been achieved.
- 3 236 grant agreements were signed by the end of April 2015 (compared with 25 164 grant agreements over the seven years of FP7).
- These grant agreements awarded a total EU contribution of €5.5 billion towards total eligible costs of €6.5 billion.
- 95% of all grant agreements were signed within the target of eight months.

SOME KEY CONCEPTS

A **proposal** is submitted by one or more applicants. Proposals could have just one **applicant** – a single principal investigator – while multi-partner proposals group together many applicants. An applicant might also be involved in more than one proposal, in which case it is making multiple **applications** for funding.

Some calls have **two stages**: applicants first submit outline proposals which are evaluated to select those that could be developed further into full proposals. The statistics on proposals presented in this publication refer only to **full proposals**.

If the proposal is successful and is funded it becomes a **project**, which is implemented by one or more **participants**. And a participant might be involved in other projects, in which case it has a number of **participations**.

The **overall success rate** of eligible full proposals is around 14%, compared with around 20% for the whole of FP7. It should be noted, however, that less funding was available in 2014, the first year of Horizon 2020, compared with 2013, the last year of FP7. At the same time, there was increased interest from potential applicants in the new programme, demonstrated by the fact that 38% of successful applicants were **newcomers**.

¹ The information in this booklet excludes Horizon 2020 funding related to EURATOM, the European Institute of Innovation and Technology (EIT), Public-Public-Partnerships, some Public-Private Partnerships and Horizon 2020's financial instruments.

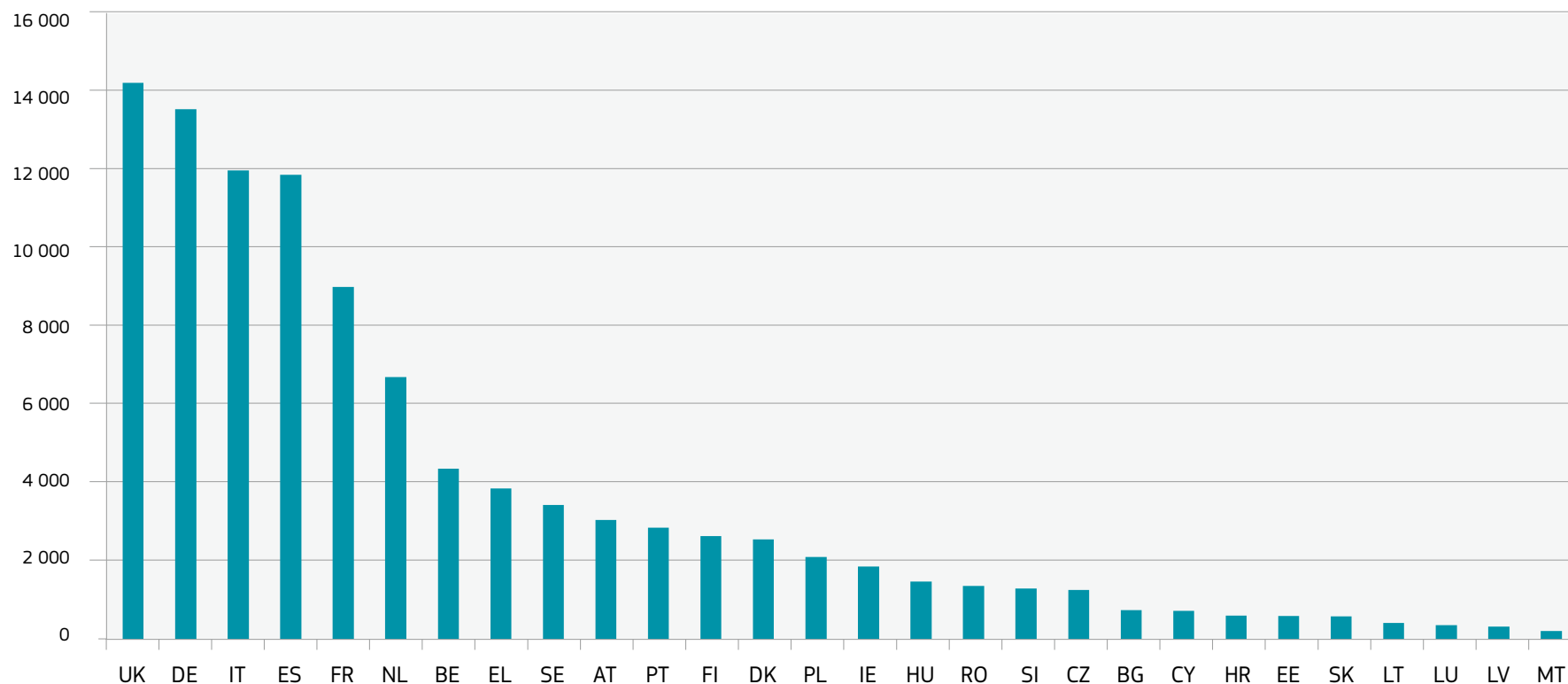
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APPLICATIONS

How many applications have been received?

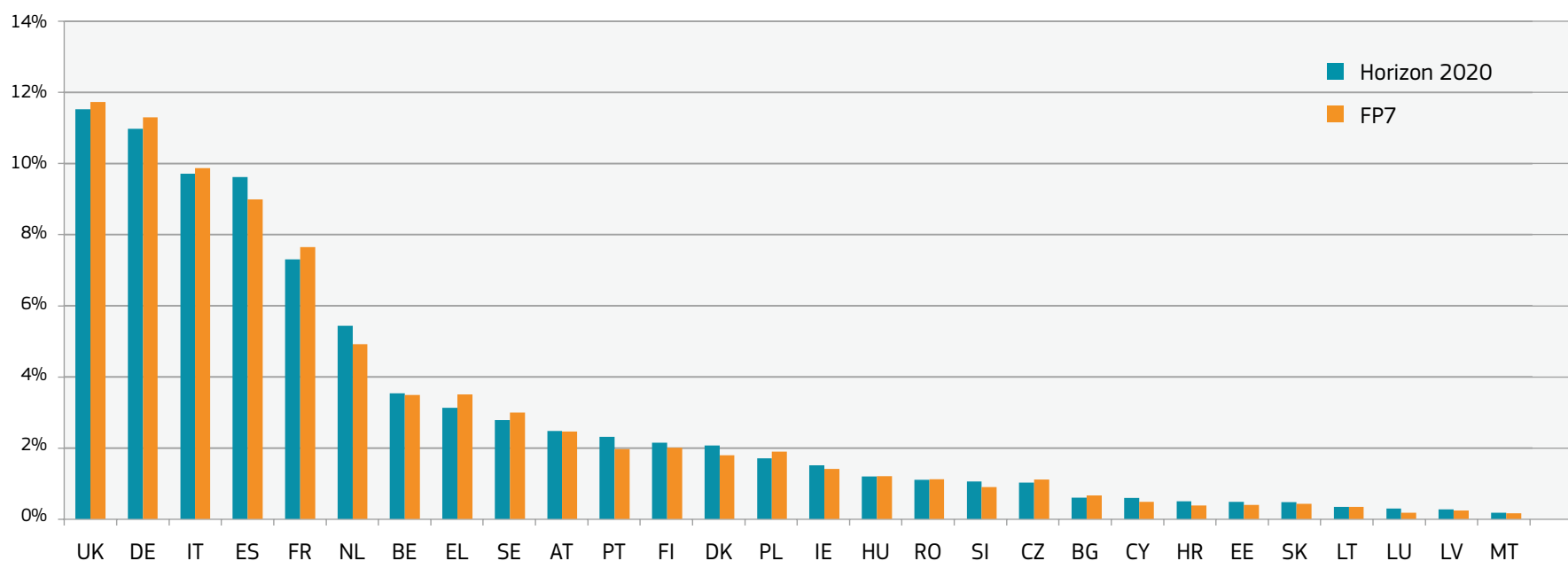
Number of eligible applications to Horizon 2020 per EU Member State



111 579 applications were received from the 28 Member States of the EU (out of a worldwide total of 123 334) under the first 100 calls. By way of comparison, a total of 598 080 applications were received during the seven-year lifetime of FP7. An applicant organisation counts as submitting multiple applications for funding if it is involved in more than one proposal.

How do the applications per country compare with FP7?

Share of eligible applications per EU Member State: Horizon 2020 compared with FP7

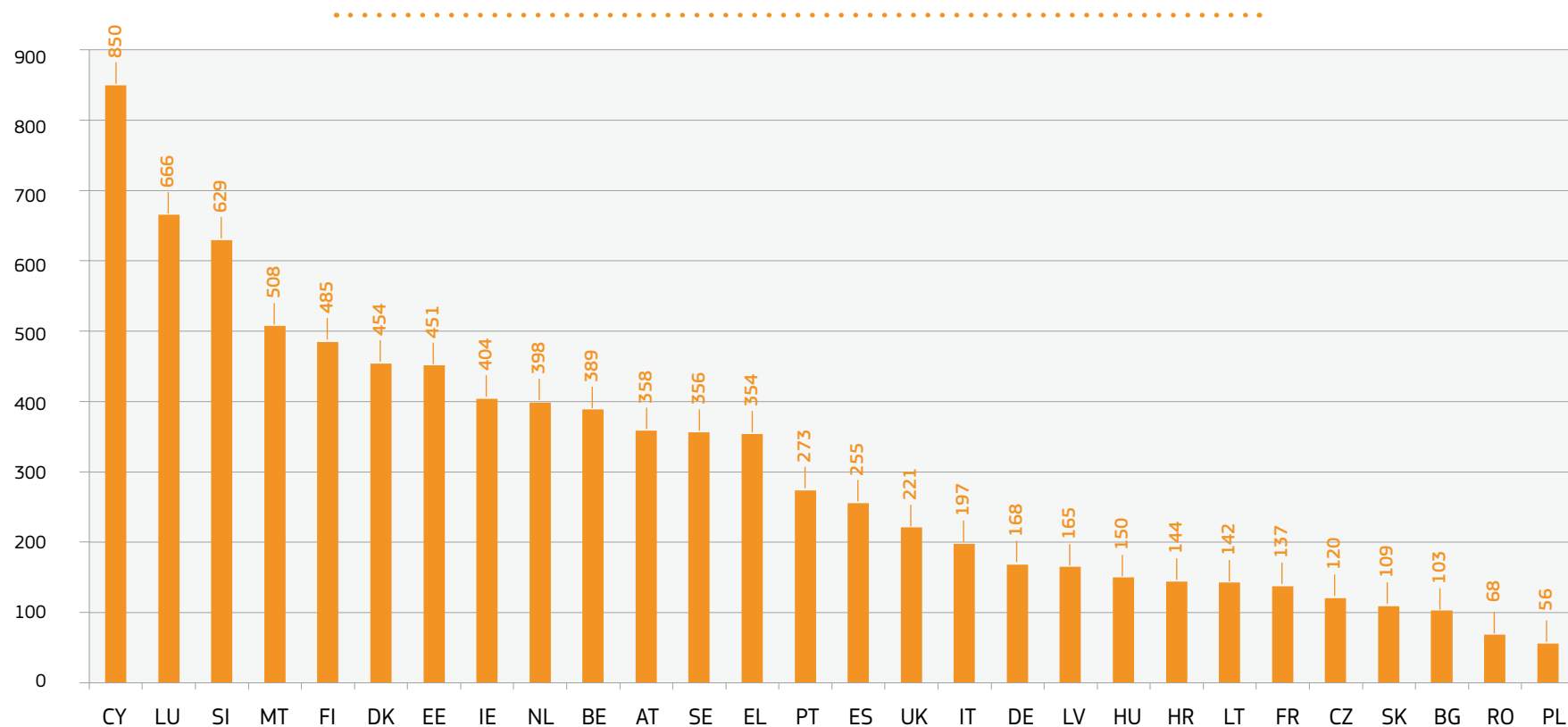


So far, the majority of Member States have increased their share of eligible applications compared to the Seventh Framework Programme (FP7). This demonstrates that the efforts to make Horizon 2020 more attractive, particularly to newcomers and to a wider range of participants, are working.

Note: The ranking in the bar chart follows Horizon 2020 data.

What is the rate of applications by country?

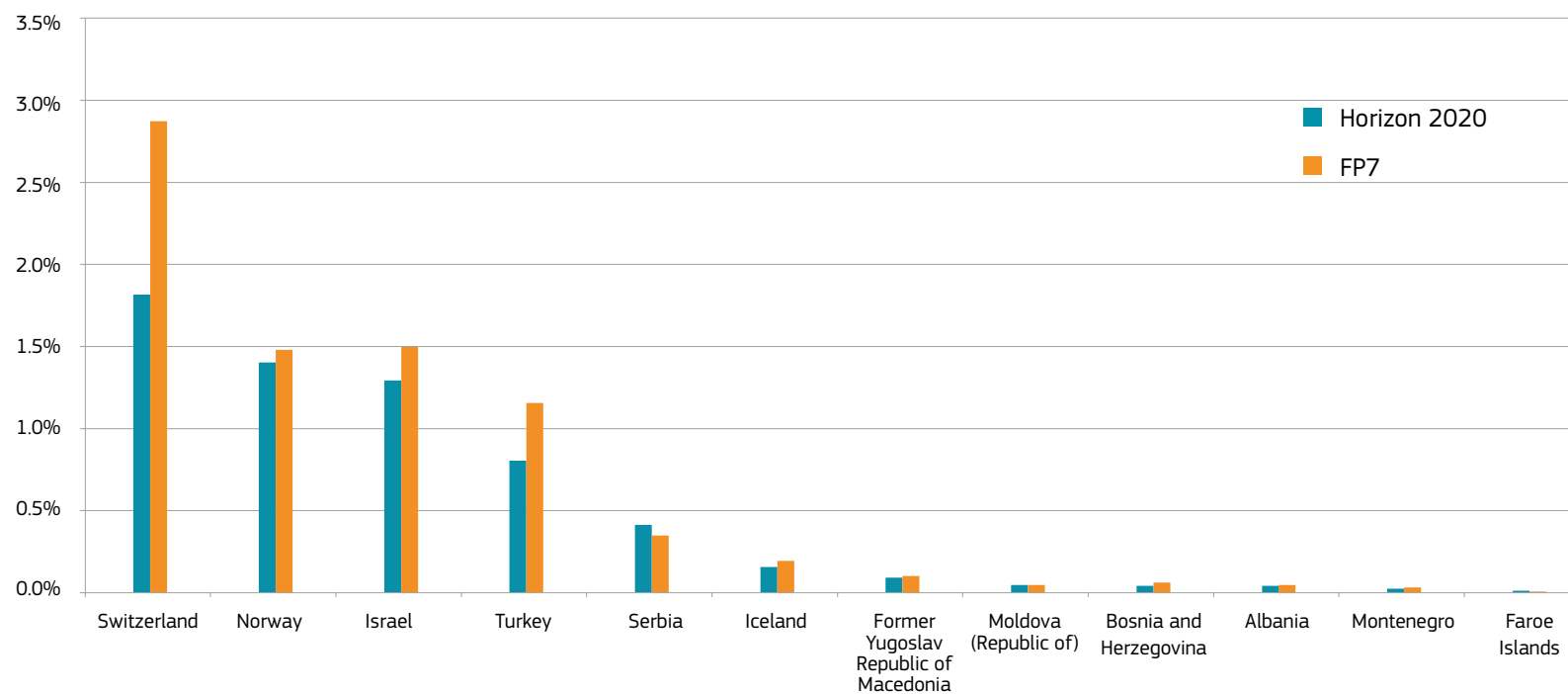
Number of eligible applications to Horizon 2020 per capita



The data presented here is the number of applications per million inhabitants. The average number of eligible applications per capita for the 28 Member States as a whole is 293. Some smaller Member States, in particular Cyprus, Luxembourg and Slovenia, are particularly active, which demonstrates the attractiveness of Horizon 2020.

How are the Associated Countries doing, compared to FP7?

Share of eligible applications per Associated Country: Horizon 2020 compared with FP7

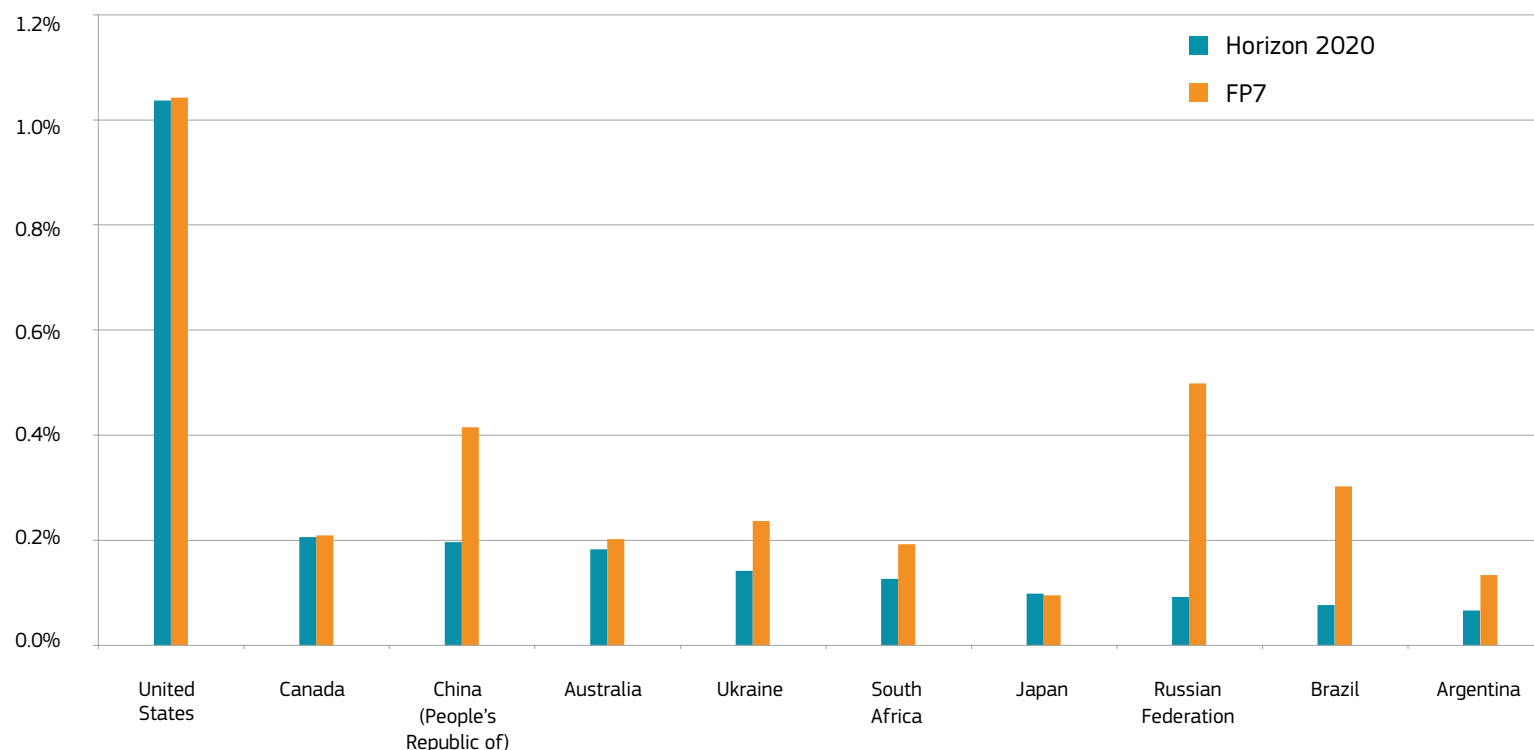


This graphic shows the results for the 12 countries Associated to Horizon 2020. More information on the status of Switzerland can be found at: <http://bit.ly/H2020Switzerland>

Note: Countries associated to Horizon 2020 as of 17 April 2015.

What about applications to Horizon 2020 from the rest of the world?

Top ten Third countries in terms of share of eligible applications:
Horizon 2020 compared with FP7



This chart shows the share of eligible applications from the ten countries from the rest of the world (neither EU Member States nor Associated countries) that have performed best so far in Horizon 2020. Altogether 3 950 applications have been received from 122 different Third countries, showing the global reach of Horizon 2020.

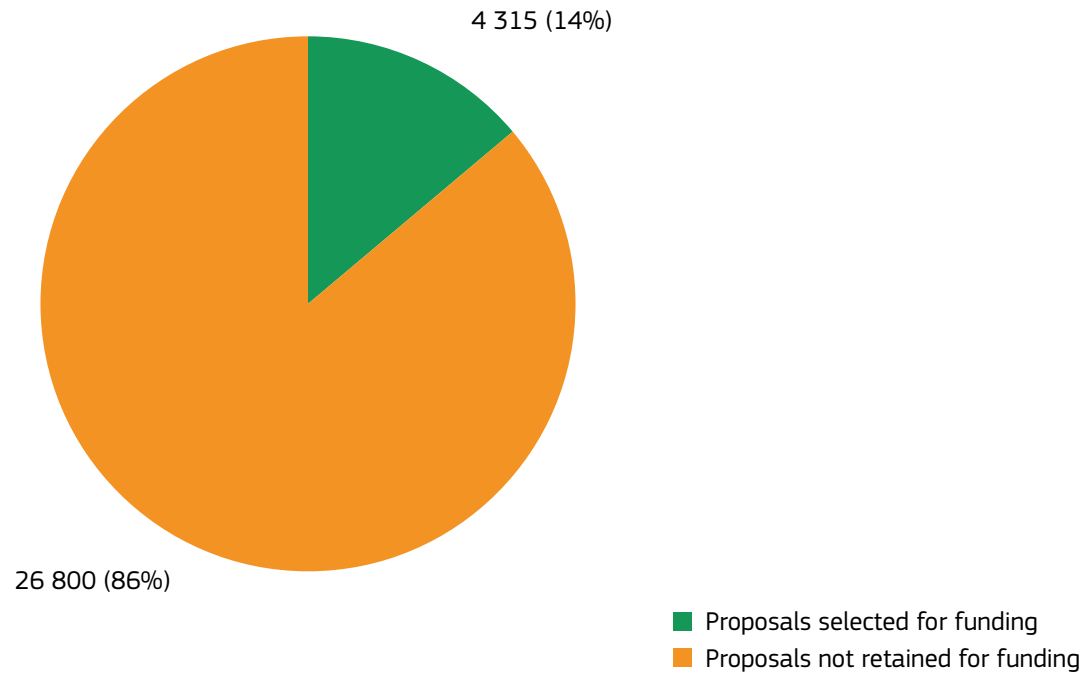
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SUCCESS RATES

What percentage of proposals received funding?

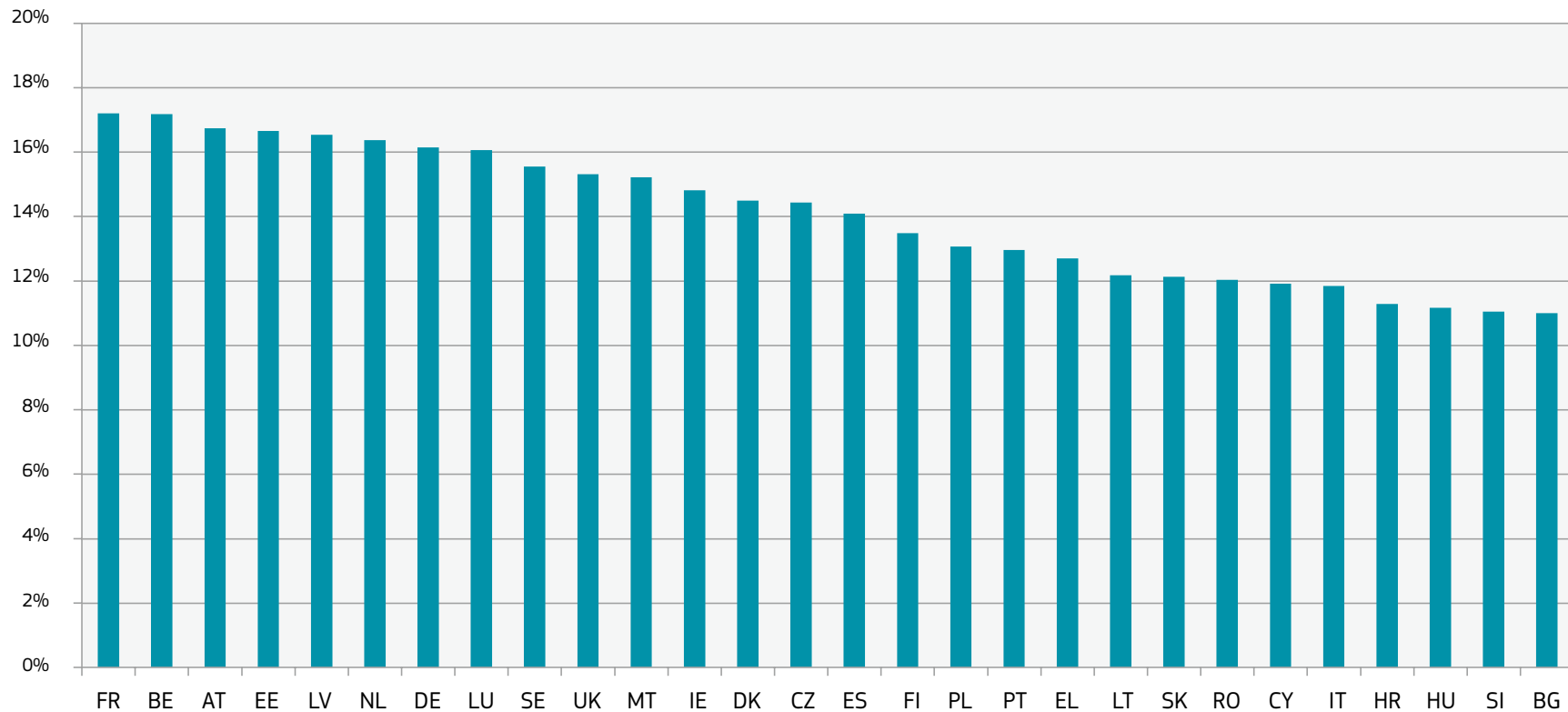
Success rate of eligible full proposals to Horizon 2020



This chart concerns the 31 115 full proposals that were received, comprising 29 794 full proposals in single-stage calls and 1 321 full proposals in the second stage of the two-stage calls. Around 14% of full proposals were selected for funding, a success rate which reflects the very high number of eligible proposals made to the first 100 calls. The success rate of eligible proposals over the full seven-year duration of the Seventh Framework Programme for Research (FP7) was around 20%.

What are the success rates of the different Member States?

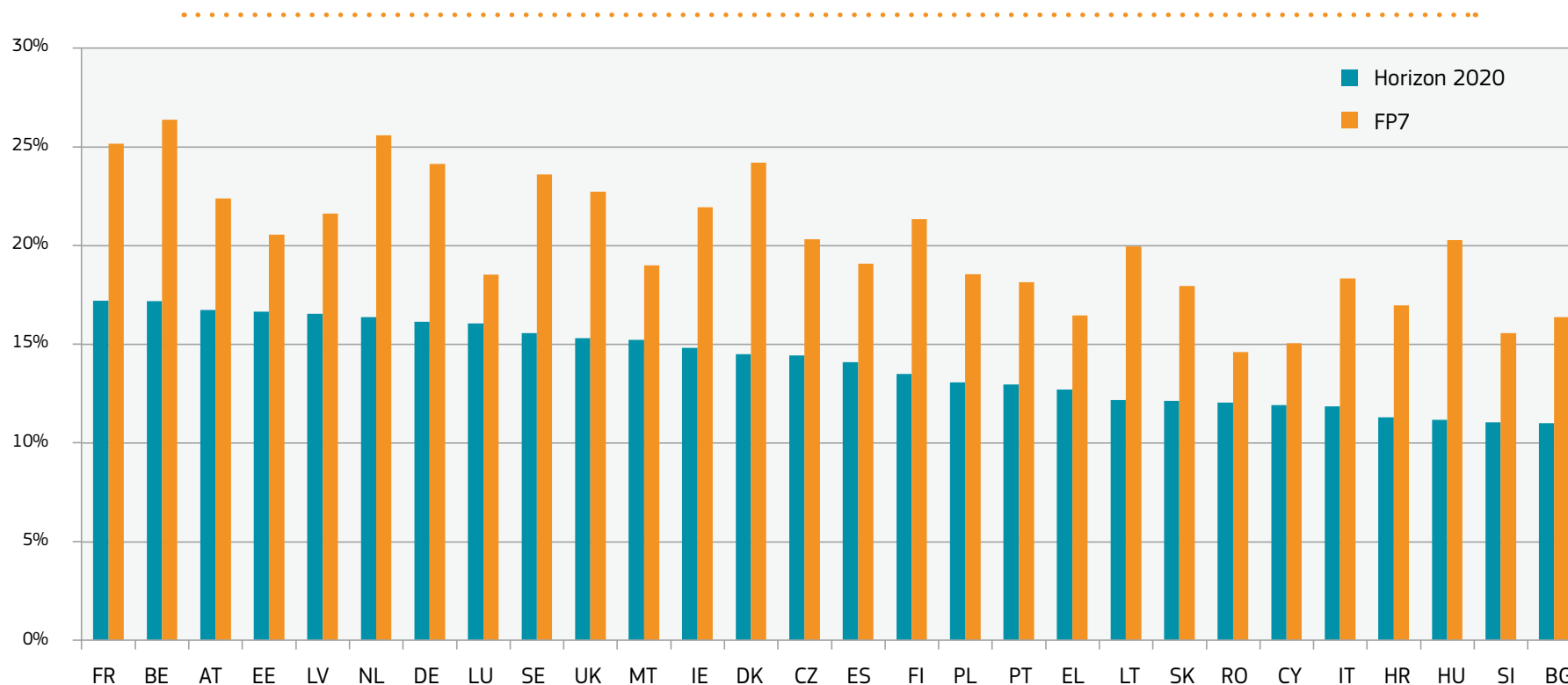
Success rates for applications to Horizon 2020 per EU Member State



This chart shows for each Member State the overall success rate of its applications across all parts of Horizon 2020. Taking all applications from all Member States together, the overall success rate is approximately 16%. Please note that an organisation can submit multiple applications for funding if it is involved in more than one proposal, therefore the success rate for proposals (around 14%) differs from the rate for applications.

How does each Member State's success rate compare with FP7?

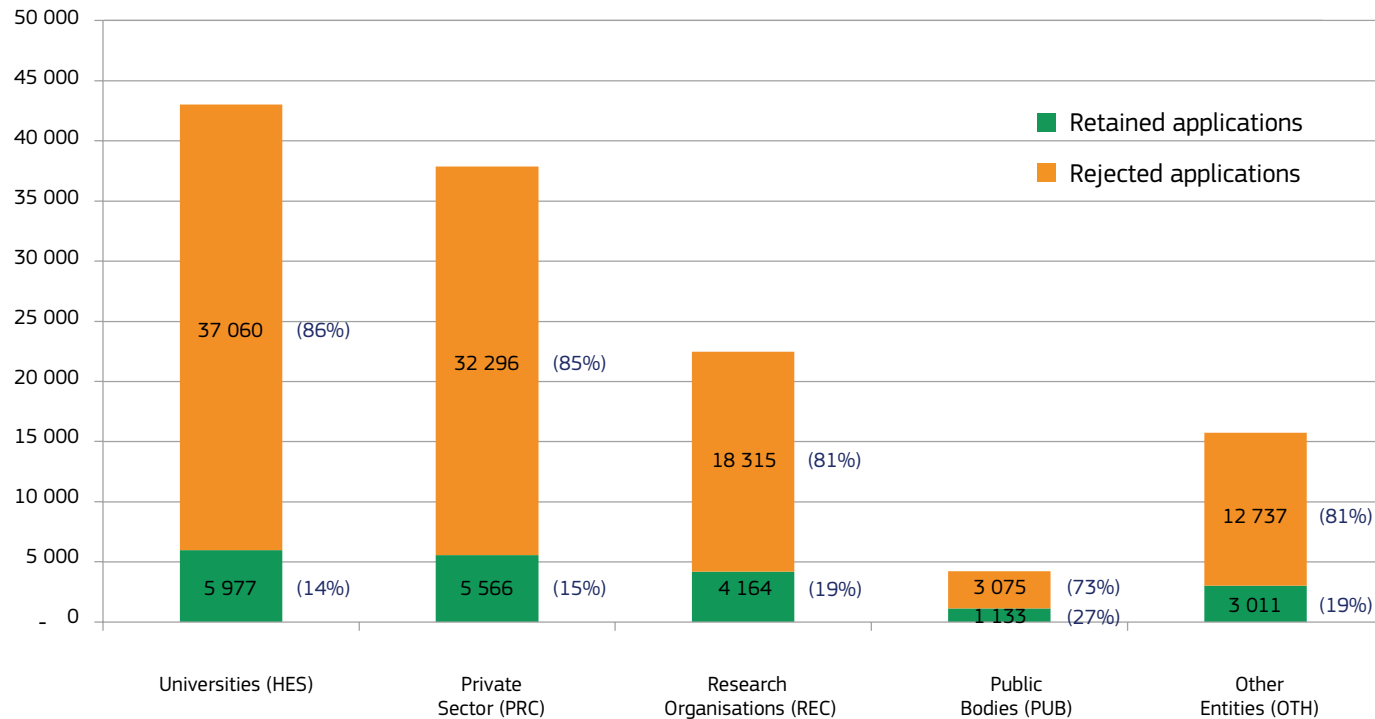
Success rate as percentage of eligible applications: Horizon 2020 compared with FP7



The chart shows the success rates for each of the 28 Member States under Horizon 2020 and the Seventh Framework Programme (FP7). Taking all applications from all Member States together, the overall success rate is approximately 16%. The equivalent success rate under FP7 was approximately 22%. Please note that an organisation can submit multiple applications for funding if it is involved in more than one proposal, therefore the success rate for proposals (around 14%) differs from the rate for applications. It should be noted that less funding was available in 2014, the first year of Horizon 2020, compared with 2013, the last year of FP7. At the same time, in large part due to efforts to ensure that Horizon 2020 is more accessible and attractive, there was increased interest from potential applicants to the programme, particularly newcomers, who made up 38% of successful applicants.

Which types of organisations applied to Horizon 2020?

Number of applications to Horizon 2020 per type of organisation



Universities are in first place in terms of the overall number of eligible applications, followed by the private sector and research organisations. Please refer to the section in the Glossary on *Evaluation procedure* for more information on how proposals are selected, and to *Definitions of types of organisations* for more information on the above classification.

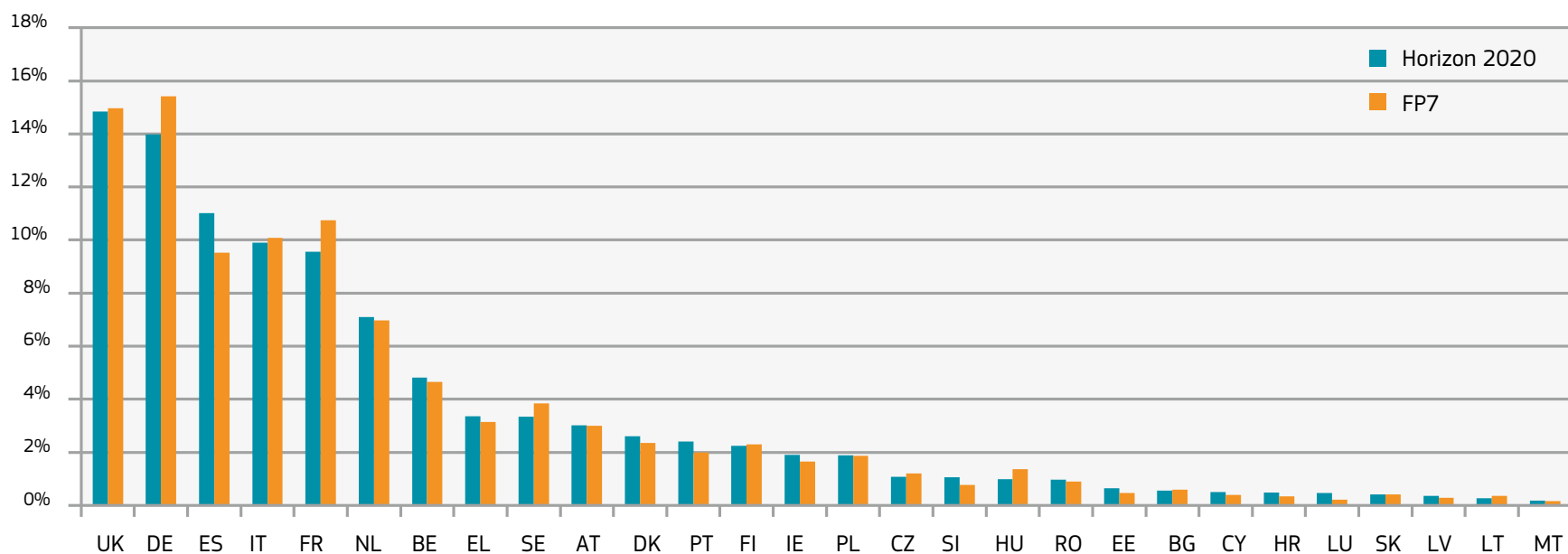
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SIGNED GRANT AGREEMENTS

What is each Member State's share of signed grant agreements?

Share of participations in signed grant agreements per EU Member State: Horizon 2020 compared with FP7

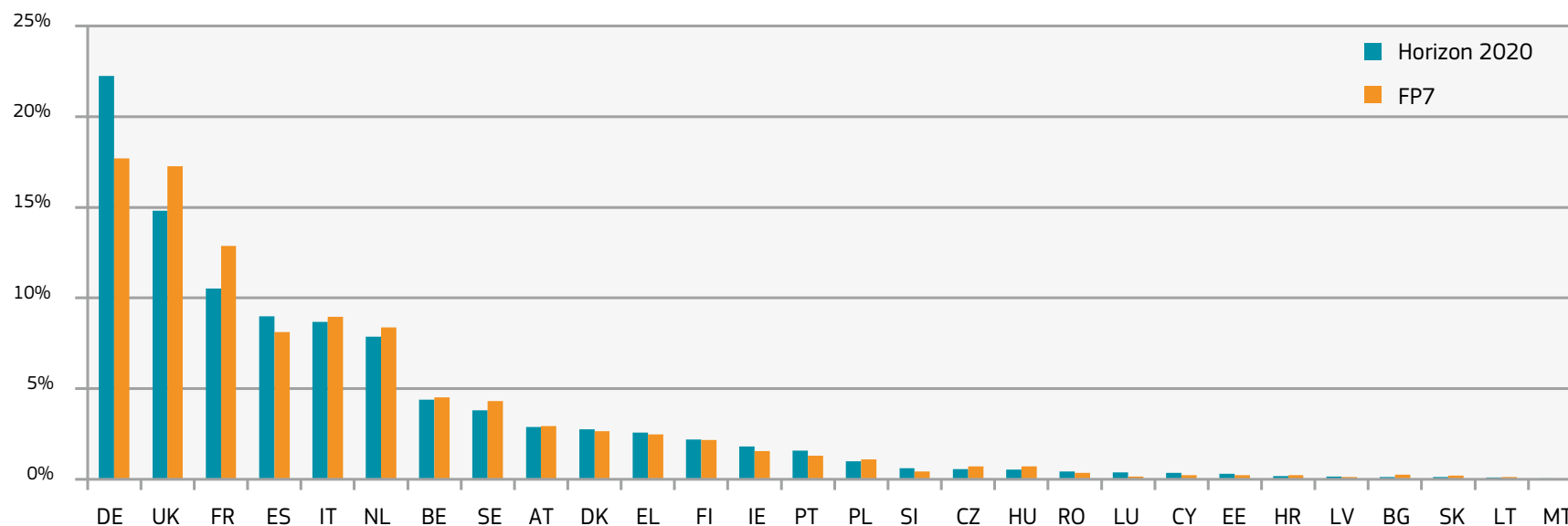


The majority of Member States have increased their share of participations in signed grant agreements so far under Horizon 2020.

Note: The ranking in the bar chart follows Horizon 2020 data.

What share of Horizon 2020 funding does each Member State receive?

Share of EU financial contribution to participants in signed grant agreements: Horizon 2020 compared with FP7

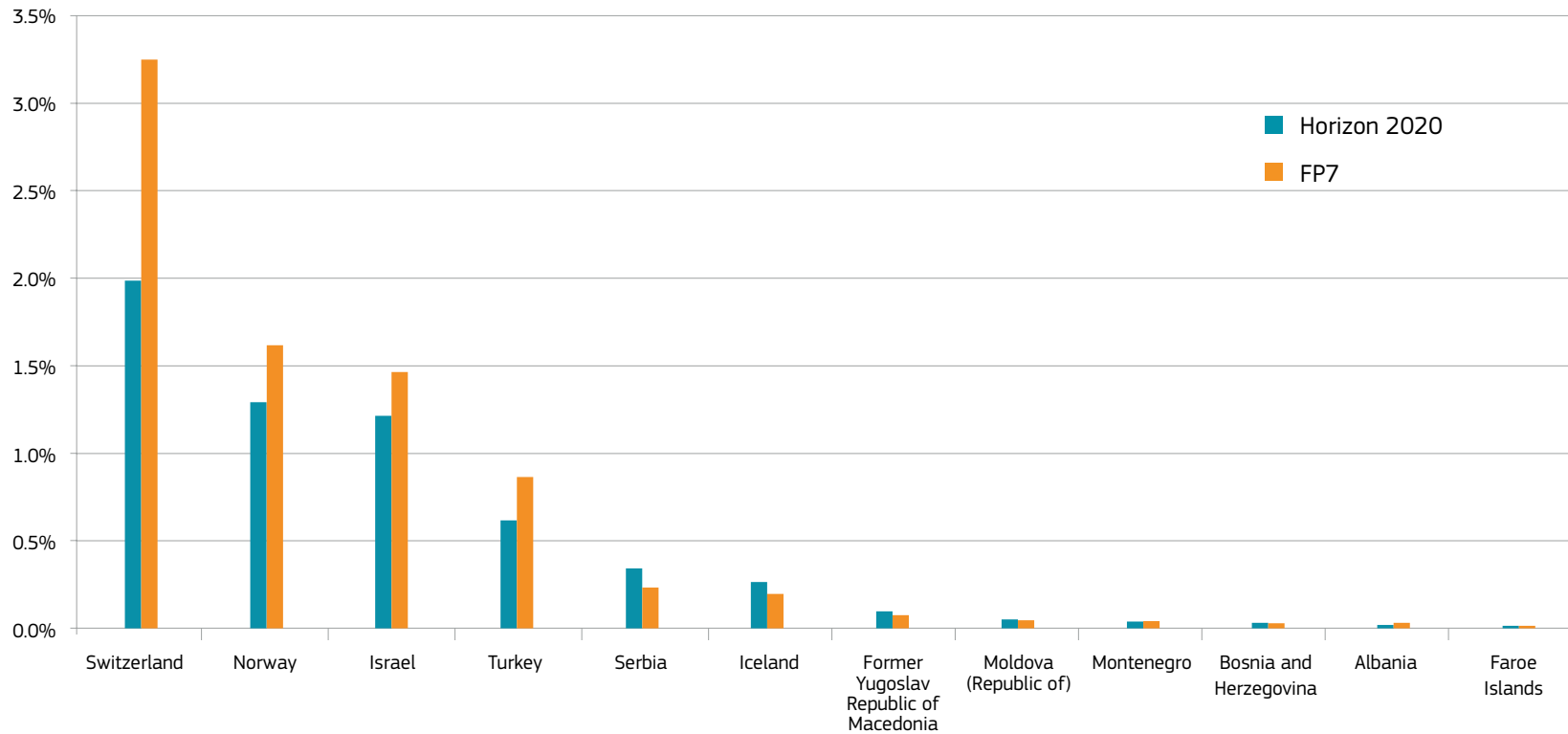


The EU financial contribution received for each participation is dependent on many factors, including the size of the project, the different roles in the project and differing local costs associated with participating. This is why each Member State's share of the participations in signed grant agreements might not correspond to their share in the amount of funding received.

Note: The ranking in the bar chart follows Horizon 2020 data.

What about participations from the Associated countries?

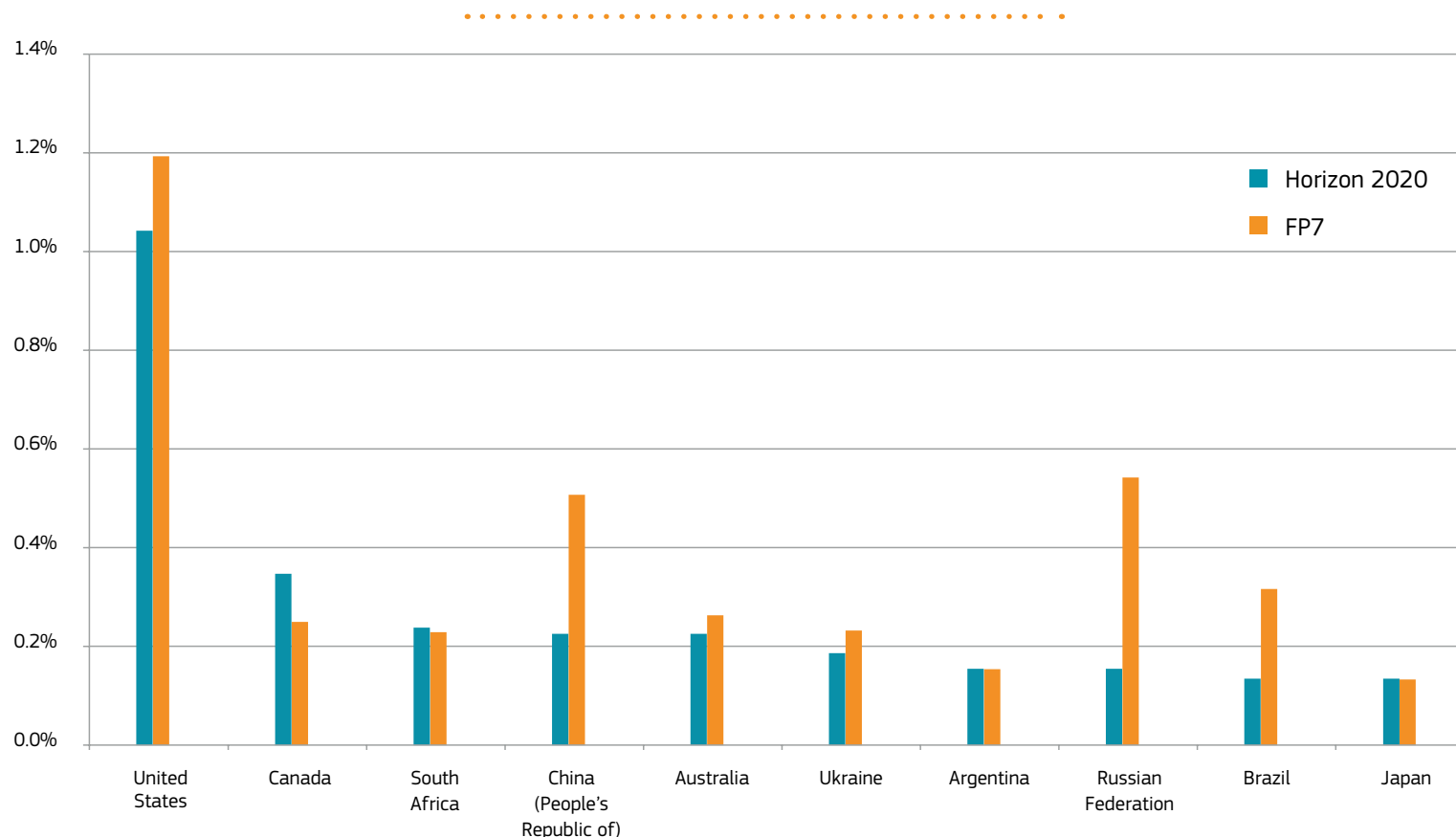
Share of participations in signed grant agreements per Associated country: Horizon 2020 compared with FP7



This chart shows the results for the 12 countries Associated to Horizon 2020. Serbia, Iceland and the former Yugoslav Republic of Macedonia have increased their share of participations compared with data over the full seven years of the Seventh Framework Programme (FP7). More information on the status of Switzerland can be found at: <http://bit.ly/H2020Switzerland>

What about participations from the rest of the world?

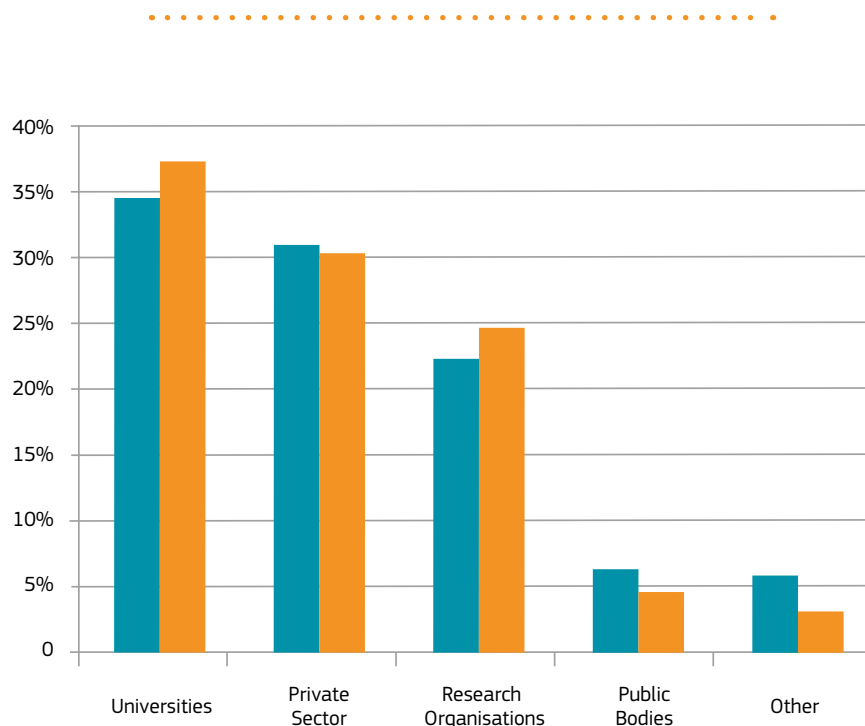
Top ten Third countries in terms of share of participations in signed grant agreements:
Horizon 2020 compared with FP7



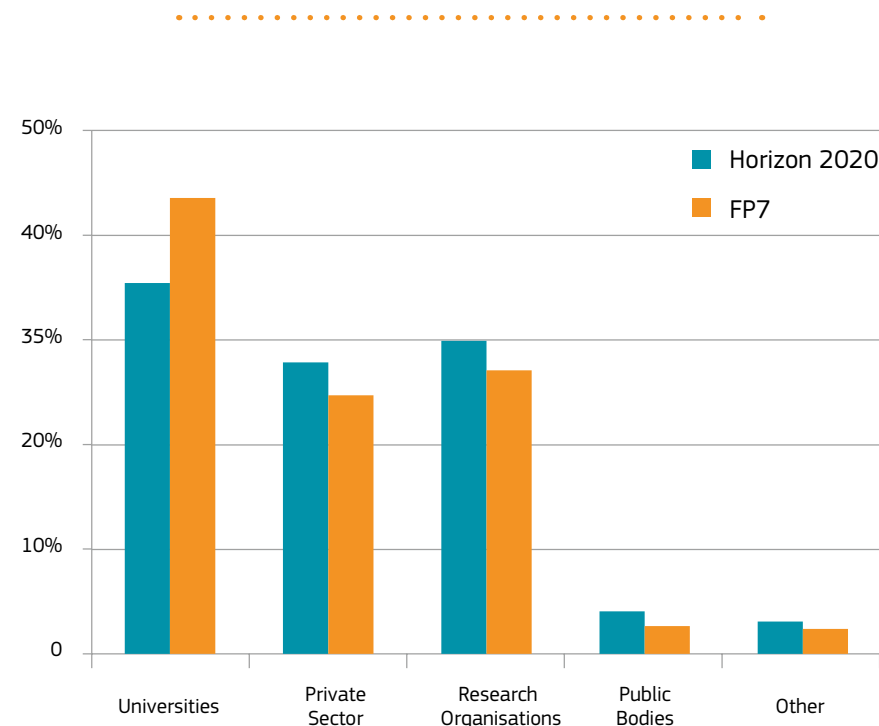
This chart shows the share of participations in grant agreements from the ten countries from the rest of the world (neither EU Member States nor Associated countries) that have performed best so far in Horizon 2020. Altogether there are participations in signed grant agreements from 73 different countries, showing the global reach of Horizon 2020.

How did different types of organisations fare in terms of grant agreements?

Share of participations in signed grant agreements per type of organisation:
Horizon 2020 compared with FP7



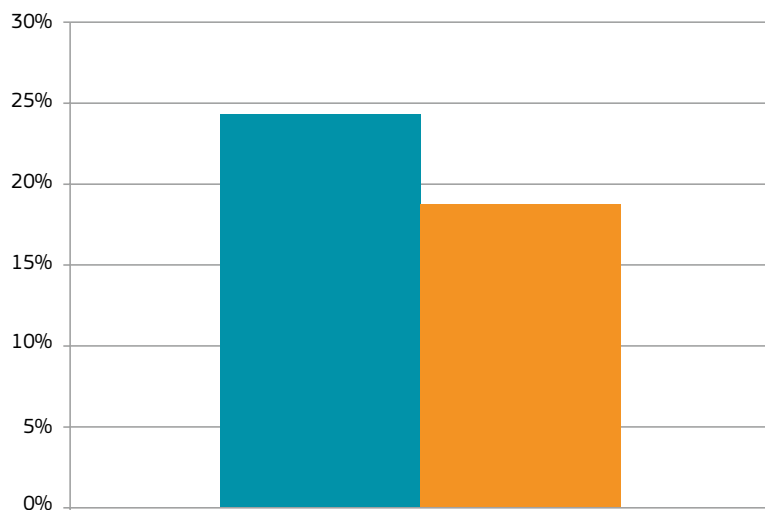
Share of EU financial contribution in signed grant agreements per type of organisation:
Horizon 2020 compared with FP7



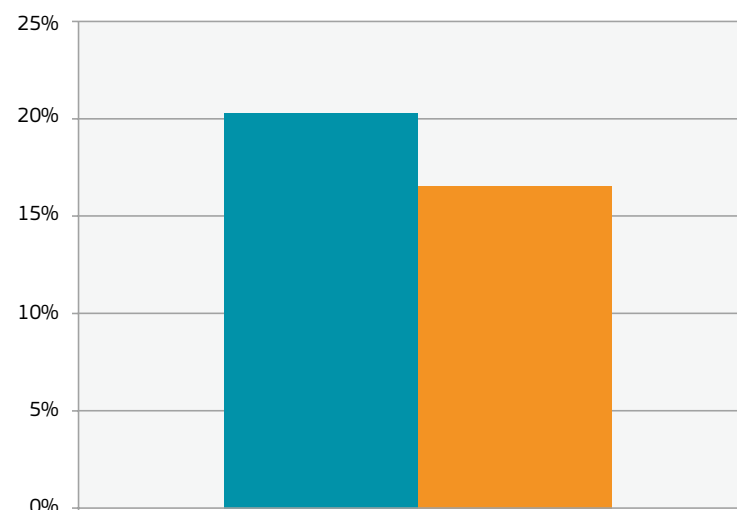
Universities remain in first place in terms of both participations and financial contribution received. The private sector, public bodies and 'Other' have increased their relative share of participations and financial contribution and research organisations have also increased their share of the EU financial contribution. Please refer to *Definitions of types of organisations* in the Glossary for more information.

How did SMEs fare in terms of grant agreements?

Share of SME participations
in signed grant agreements:
Horizon 2020 compared with FP7



Share of EU financial contribution
to SMEs in signed grant agreements:
Horizon 2020 compared with FP7



■ Horizon 2020
■ FP7

Compared with the situation over the full seven-year duration of the Seventh Framework Programme (FP7), the share of SME participations has increased under Horizon 2020. The data presented compares the Cooperation theme of FP7 to the participations in the Leading and Emerging Industrial Technology (LEIT) and the Societal Challenge themes of Horizon 2020. The EU financial contribution to SMEs from these two themes also shows that the 20% budget target has been achieved. Of this contribution, around 5% is provided by the Horizon 2020 SME instrument.

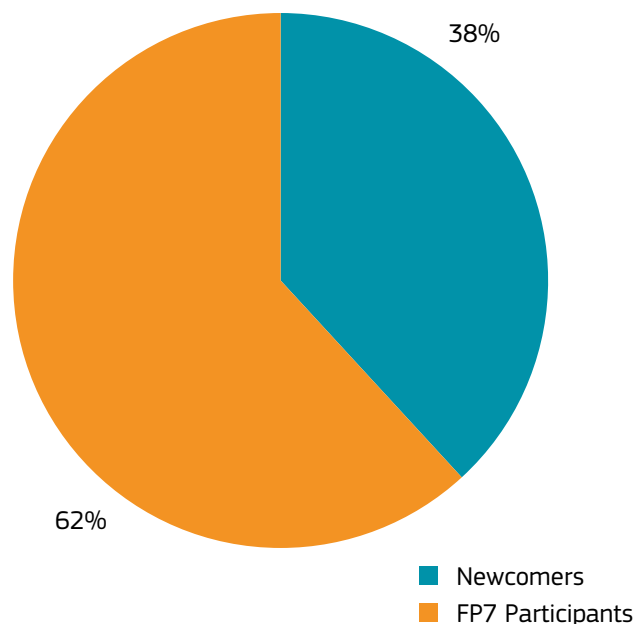
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NEWCOMERS

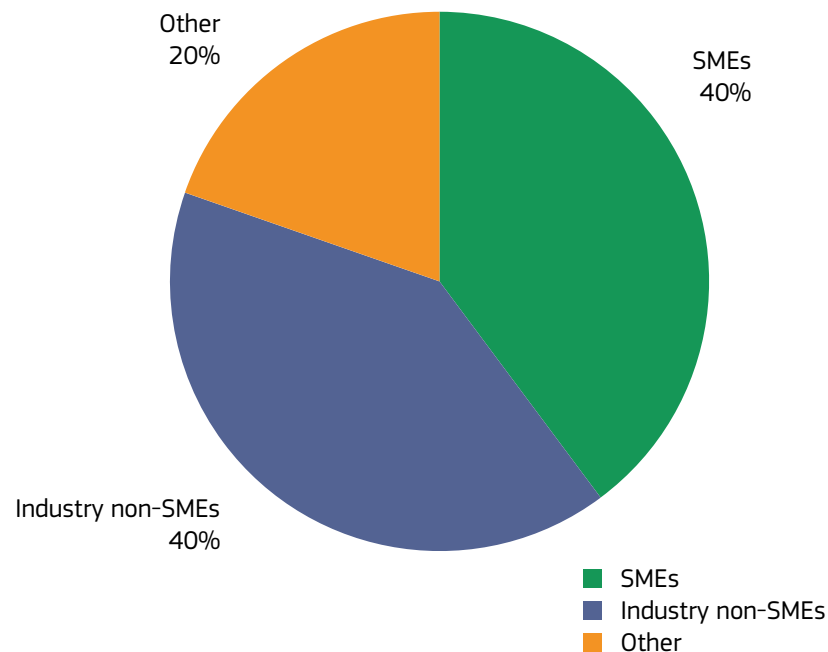
How well did newcomers do in Horizon 2020?

Participants in signed grant agreements
in Horizon 2020



A newcomer is defined as a successful first-time applicant to Horizon 2020 who did not apply to the Seventh Framework Programme (FP7). An analysis of the 6 774 unique participants in Horizon 2020 signed grant agreements shows that around 62% also participated in FP7, which means that almost 40% are newcomers. This high rate of newcomers can largely be attributed to efforts to make Horizon 2020 more accessible and attractive in comparison to FP7.

Newcomer participants
in Horizon 2020



40% of newcomer participations come from SMEs (which includes both industrial and non-industrial SMEs), 40% come from private industry non-SMEs. The remaining 20% includes organisations such as non-SME university bodies, research organisations, foundations and public authorities.

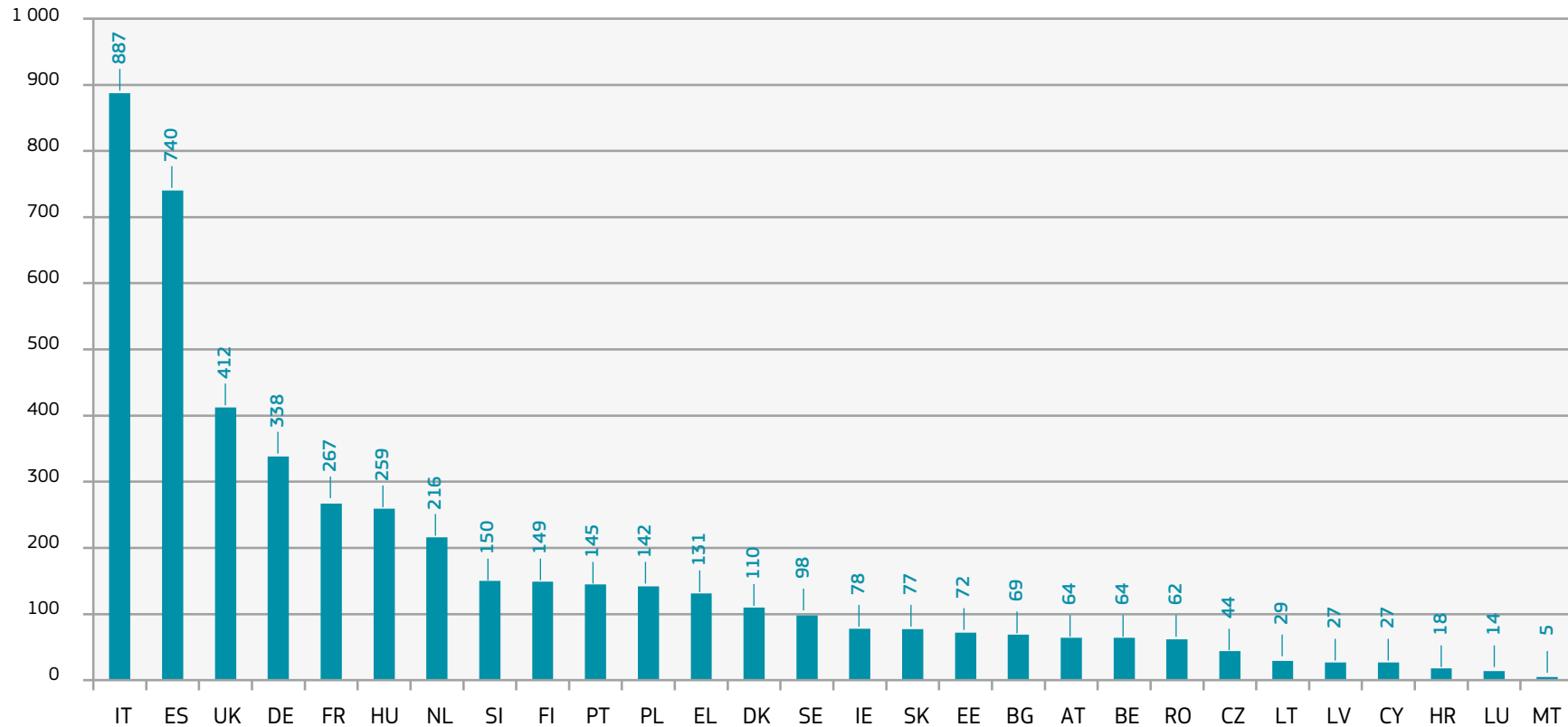
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SME INSTRUMENT

What is the breakdown by country for the SME instrument?

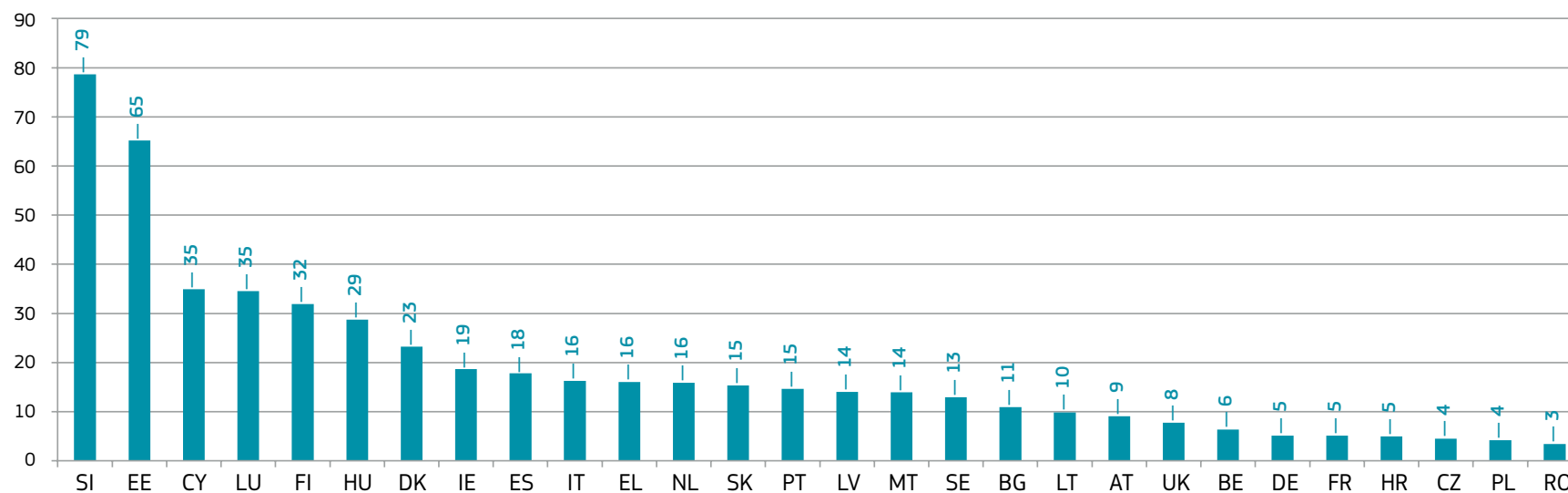
Applications to the Horizon 2020 SME instrument per EU Member State



SMEs in EU Member States made 4 694 applications to the Horizon 2020 SME instrument. Most of the applications came from the five biggest Member States: Italy, Spain, the United Kingdom, Germany and France.

Which Member States had the highest rate of applications to the SME Instrument?

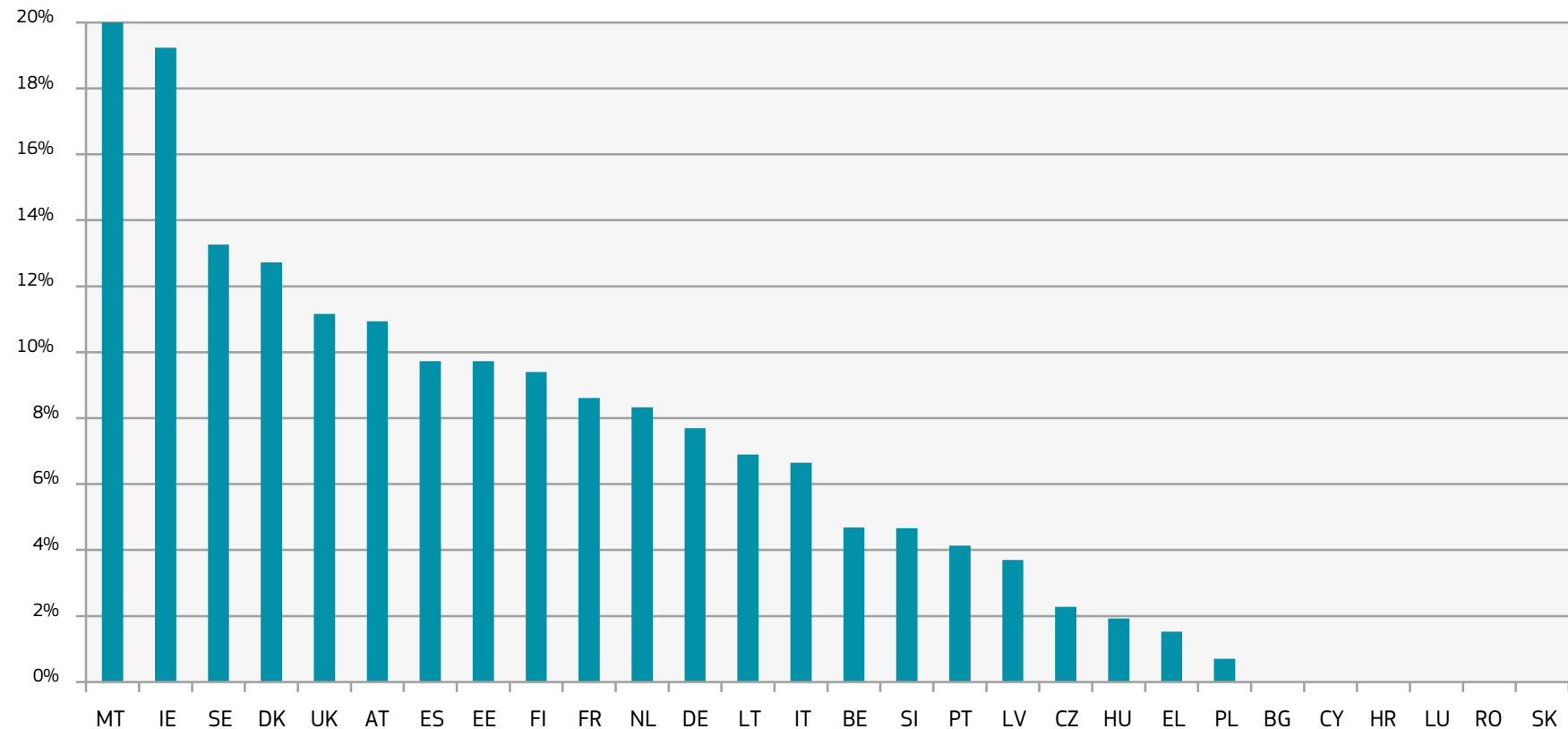
Number of eligible applications per capita to the Horizon 2020 SME Instrument



Horizon 2020 introduced a new funding instrument specifically designed for innovative SMEs. The attractiveness of the instrument to many of the smaller Member States proves its accessibility. The data presented here is the number of applications per million inhabitants. The EU average is 9.26.

What is each country's success rate under the SME instrument?

Success rate in applications to the Horizon 2020 SME instrument per EU Member State



Several of the smaller Member States have a very high success rate, compared to the EU average of 7.3%.

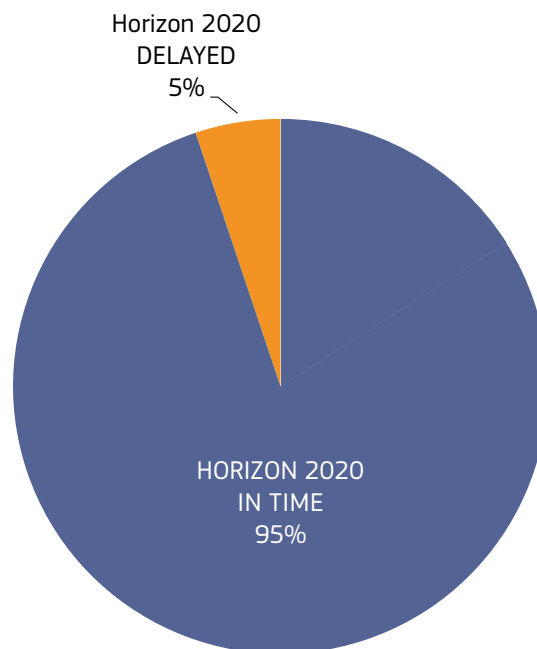
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TIME TO GRANT

How long does it take to receive funding?

Horizon 2020: Time to Grant



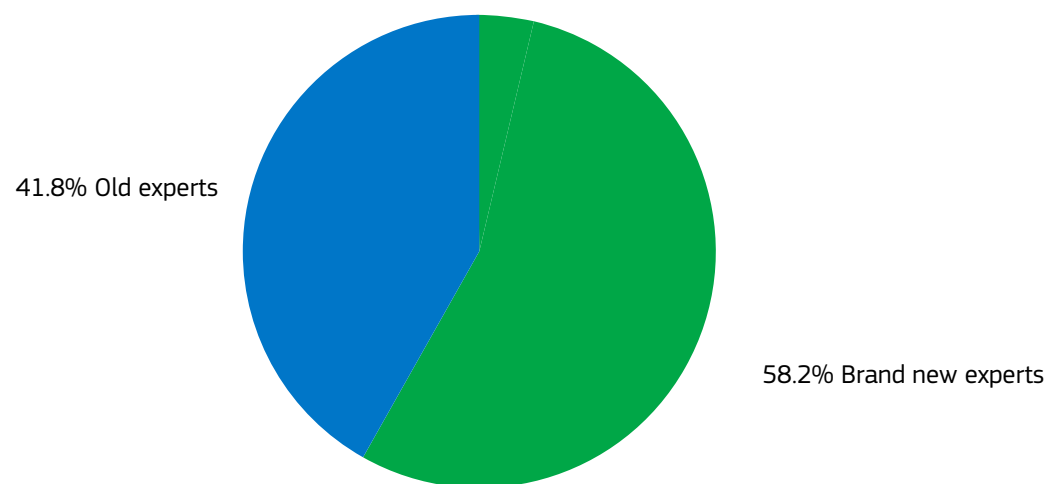
'Time to grant' is the elapsed time between the close of a call and the signing of the grant agreement, which marks the official start of the project. For those parts of Horizon 2020 which are legally obliged to sign grant agreements within eight months, the target has been met in 95% of cases.

7



EXPERTS

How many experts have evaluated proposals?

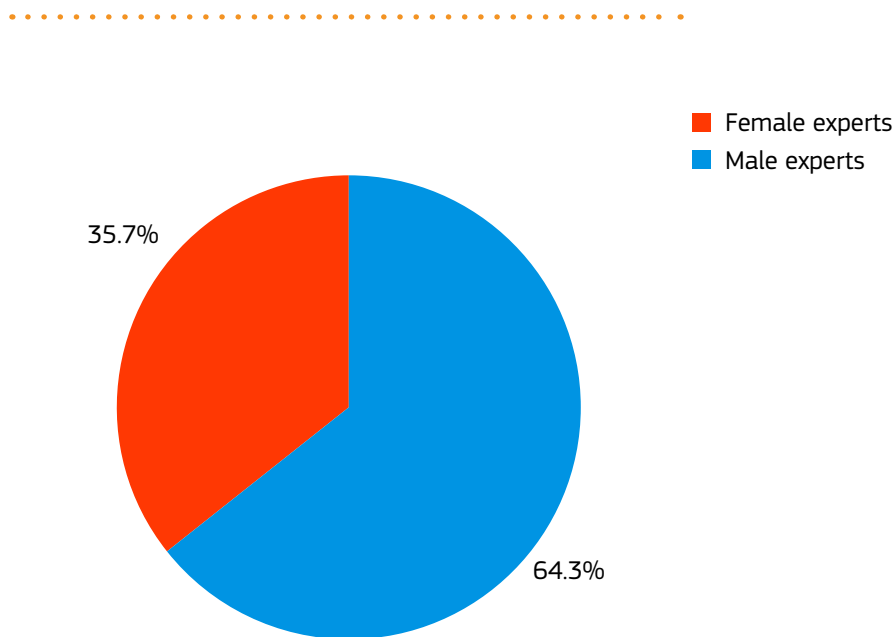


In 2014, a pool of 77 506 evaluators were registered in a central database as available to evaluate proposals to Horizon 2020. A total of 9 325 contracts for evaluation have been made with experts, however some experts may have been contracted more than once to participate in different evaluations. Over half of the contracts for expert evaluators were given to newcomers. It is important to ensure that the pool from which experts are selected is constantly expanded and renewed, to ensure expertise in new areas of science and technology, and to ensure that the pool is representative of different sectors, including public and private, and industrial and academic.

Note: Data for 2014

How many expert evaluators were women?

Gender balance of expert evaluators



Experts Contracted

Of the 9 325 contracts for evaluation made with experts, 35.7% were given to women. Although the target of 40% has not yet been reached, the trend is going in the right direction, with an improvement on the FP7 figure of 33.8%.

Note: Data for 2014



PROJECT EXAMPLES



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EVIDENT

EU-funded study into virus mutations marks breakthrough in fight against Ebola

A major contribution to eradicating Ebola has been made by the EU-funded EVIDENT project. It has confirmed that the Ebola virus has mutated at a lower rate than feared during the recent outbreak in West Africa. This means that the new diagnostic methods, treatments and vaccines under development should still be effective in the fight to eradicate the disease.

EVIDENT received funding of 1.7 Million EUR under Horizon 2020. The project runs for two years since November 2014.



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ATLANTOS

Improved observations to better understand the Atlantic

The Atlantic Ocean is a major trade route, supplies most of the fish we eat and is responsible for the mild climate in northern Europe. The AtlantOS project will set up a more integrated, more effective, and more sustainable observing of the Atlantic Ocean.

AtlantOS received funding of 20.6 Million EUR under Horizon 2020. The project started in April 2015 and will run till July 2019.



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ECWRTI

New concept for wastewater reuse in the textile industry

Textile mills can reduce their water consumption by up to 90 percent using the EColoRO technique, which consists of electrocoagulation followed by membrane filtration, to treat their wastewater and then reuse it. In June 2015 a European consortium led by the Dutch company EColoRO BV in Almere and the Institute for Sustainable Process Technology (ISPT) in Amersfoort, the Netherlands commenced a 3.5-year project to demonstrate the new technology on site at full industrial scale, first at a textile mill in Belgium and later at a textile mill in Italy.

ECWRTI received 3.7 Million EUR of funding under Horizon 2020. The project started in June 2015 and will end in December 2018.



© Hybrid Air Vehicles Limited

ACEP

Next generation lighter-than-air hybrid air vehicles

The Airlander hybrid air vehicle is a new form of aircraft designed by Hybrid Air Vehicles Ltd (HAV). The vehicle combines inert lifting gas, aerodynamics and vectored thrust to deliver 'game-changing' performance, compared to current flight technologies. Performance advantages include 1/3rd the fuel burn of conventional aircraft, reduced reliance on infrastructure and intermodal transport due to the unique amphibious all-terrain landing gear technology. The Airlander Civil Exploitation Project (ACEP) will undertake this work, resulting in a fully specified civil variant, approved regulations and significant risk reduction for commercial customers, thereby allowing orders to be made.

ACEP, received EU funding of 2.5 Million EUR under Horizon 2020. The project started in July 2015 and will end in January 2017.



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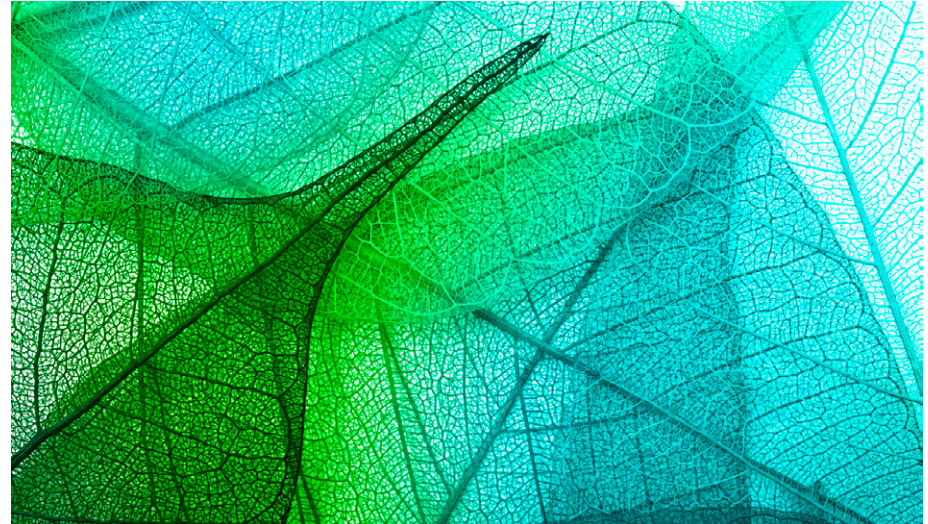
UTOUCH

Touchless feeling

Ultrahaptics created a novel haptic feedback system that allows users to feel sensations in their bare hands while interacting in mid-air with a touchless sensing system.

UTOUCH project uses an array of ultrasonic speakers to create mid-air feeling without touching. Invisible forces are projected into the air and felt on human skin up to one metre away from the device.

UTOUCH received 1.5 Million EUR of funding under Horizon 2020. The project will run for two years from September 2015.



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BHIVE

Renewable packaging from agriculture waste

Prof. Emma Master works on new enzymes and proteins that can be used to produce renewable materials from plant fibres. Her findings could boost the biochemical and bioplastics markets.

BHIVE project (Bio-derived High Value polymers through novel Enzyme function) received an ERC Consolidator Grant of 2 million EUR under Horizon 2020.



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MANUTELLIGENCE

An online design platform for intelligent manufacturing

The Manutelligence project is creating an online platform for manufacturing companies that aims to boost efficiency when designing a new service or product. The platform will also enable the reuse and optimisation of designs and close the gap between design, manufacturing and testing.

Manutelligence project received EU funding of 4.2 Million EUR under Horizon 2020. The project started in February 2015 and will end in 2018.



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PD_MANAGER

PD_Manager: mHealth platform for Parkinson's disease

A new project will allow people with Parkinson's to be followed by a multidisciplinary team, with the use of easy and accessible technologies. The mHealth platform for Parkinson's Disease management (PD_Manager project) is being supported by 4.4 million euros in EU funding.

PD_Manager project received EU funding of 4.4 Million EUR under Horizon 2020. The project started in January 2015 and will end in 2018.



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ECO-UV

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New UV water disinfection technology

The aim of Eco-UV is to develop ground-breaking UV technology for the treatment of industrial process water and other fluids with increased lamp life and greatly increased energy efficiency providing a much lower carbon footprint and reduced environmental impact.

Eco-UV project received EU funding of 4 Million EUR under Horizon 2020.

The project started in June 2015 and will end in 2018



GLOSSARY

Applicant

Legal entity submitting an application for a call for proposals. When the application is submitted in name of a consortium then the applicant is the coordinator.

Associated country

Associated countries are those third countries that are party to an international agreement with the European Union, as identified in Article 7 of Regulation (EU) No 1290/2013 [Horizon 2020]. They participate in Horizon 2020 under the same conditions as EU Member States. As of 17 April 2015, there are twelve countries associated to Horizon 2020. Please refer also to: <http://bit.ly/H2020AC>

Please check here for more information on the status of Switzerland in Horizon 2020: <http://bit.ly/H2020Switzerland>

Beneficiary

The legal person, other than the European Commission, who is a Party in the Grant Agreement.

Call for proposals

Procedure to invite applicants to submit project proposals with the objective of receiving funds from the European Union.

Civil society

Civil society which includes: labour-market players (i.e. trade unions and employers federations – the “social partners”); organisations representing social and economic players, which are not social partners in the strict sense of the term (for instance, consumer organisations); NGOs (non-governmental organisations), which bring people together in a common cause, such as environmental organisations, human rights organisations, charitable organisations, educational and training organisations, etc.; CBOs (community-based organisations), i.e. organisations set up within society at grassroots level which pursue member-oriented objectives, e.g. youth organisations, family associations and all organisations through which citizens participate in local and municipal life; and religious communities.

Civil Society Organisation

Any legal entity that is non-governmental, non-profit, not representing commercial interests and pursuing a common purpose in the public interest.

Definitions of types of organisations

Private Sector: Private, for-profit entities, including small or medium-sized enterprises and excluding Universities and Higher or Secondary Education Establishments.

Public Body: Any legal entity established as a public body by national law or an international organisation. Excludes Research Organisations and Higher or Secondary Education Establishments.

Research Organisation: A legal entity that is established as a non-profit organisation and whose main objective is carrying out research or technological development.

University: A legal entity that is recognised by its national education system as a University or Higher or Secondary Education Establishment. It can be a public or a private body.

Other: Any entity not falling into one of the other four categories

Eligibility

Eligibility criteria are used to determine whether a proposal meets the requirements to become eligible for a European Union grant. Article 10 of the Horizon 2020 Rules for Participation provide that the following participants are eligible for funding from the Union: (a) any legal entity established in a Member State or associated country, or created under Union law; (b) any international European interest organisation; and (c) any legal entity established in a third country identified in the work programme. The work programme can also apply more specific conditions for particular actions.

Evaluation procedure

Proposals for projects to be funded in Horizon 2020 are evaluated on the basis of selection criteria (financial and operational capacity) and award criteria (excellence, impact, efficiency of implementation). These widely published criteria provide an objective method of choosing, from the great number of proposals often received, the very best projects that most closely meet the objectives of the calls for proposals. In this way, Horizon 2020 funds only high-quality, excellent research and innovation

projects. Unless otherwise specified in the conditions of the call for proposals, each of the award criteria is scored between 0 and 5. The total score is calculated as a weighted sum of the scores for each criterion. The default is equal weight for all criteria. For Innovation Actions and the SME Instrument the impact criterion is given a weight of 1.5 to determine the ranking. Other weightings may be specified in the conditions of the call for proposals.

Evaluation threshold

These are the minimum evaluation scores that a Horizon 2020 project proposal must receive in order to be ranked. The default thresholds are a score of least 3 out of 5 for each individual criterion and a score of at least 10 out of 15 for the sum of the individual scores. The thresholds are applied to unweighted scores. Different thresholds may be specified in the conditions of the call for proposals. Proposals scoring below any of the thresholds will be rejected.

FP7

The Seventh Framework Programme of the European Community for research, technological development and demonstration activities (2007–13); the Seventh Framework Programme.

Grant

Grants are direct financial contributions, by way of donation, from the EU budget in order to finance any of the following: a) an action intended to help achieve an EU policy objective; b) the functioning of a body which pursues an aim of general EU interest or has an objective forming part of, and supporting, an EU policy ('operating grants').

Grant Agreement

A contract concluded between the European Commission (representing the European Union) and the beneficiary (or beneficiaries) under which the parties receive the rights and obligations (e.g. the right of the Union's financial contribution and the obligation to carry out the research and development work). It consists of the basic text and annexes.

Member State

A state that is party to treaties of the European Union and thereby subject to the privileges and obligations of European Union membership.

Participant

Any legal entity carrying out an action or part of an action under Regulation (EU) No1290/2013 [Horizon 2020] having rights and obligations with regard to the European Union or another funding body under the terms of the Horizon 2020 Rules for Participation (Regulation 1290/2013).

Small or Medium-Sized Enterprise (SME)

A micro, small or medium-sized enterprise within the meaning of Recommendation 2003/361/EC. Necessary (but not sufficient) conditions for being an SME are a number of employees smaller than 250 and an annual turnover not exceeding €50 million, and/or an annual balance sheet total not exceeding €43 million. These ceilings apply to the figures for individual firms only. A firm which is part of larger grouping may need to include employee/turnover/balance sheet data from that grouping too. More details are explained at: <http://bit.ly/SMEdefinition>

Third Country

A state that is not a Member State of the EU. For the purposes of presentation of information in this brochure, "third country" does not include Associated countries.

Two-stage call

The proposal coordinator submits a short proposal that is evaluated; successful proposals are invited to submit a full proposal. The evaluation of this full proposal leads to an ordered list to be forwarded to the Commission for ranking selection.

A MORE EXTENSIVE LIST OF DEFINITIONS CAN BE FOUND AT:

<http://bit.ly/H2020Glossary>

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