European
Commission

# HORIZON 2020

## *Two years on*

Research and
Innovation

EUROPEAN COMMISSION

# Horizon 2020
# Two years on

Directorate-General for Research and Innovation
Horizon 2020

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The major priorities of the 2014 – 2020 agenda for Research and Innovation are Open Innovation, Open Science and Open to the World. Openness makes us more effective. It makes us more competitive. Horizon 2020 is key to achieving our ambitious objectives to support the priorities of the Juncker Commission in achieving openness in the research and innovation landscape of the EU and beyond. Comparable data for 2014 and 2015 is presented here for the first time, to monitor our progress and ensure that we are achieving our goals.

We are delighted to see how attractive Horizon 2020 is to research and innovation actors across Europe and beyond. Our communication and simplification efforts are bearing fruit, with the number of applications increasing by 23.9% between 2014 and 2015. The share of new participants, including SMEs and large companies, has also vastly increased.

Moreover, the quality of applications has been very high - Horizon 2020 would have needed €41.6 billion more in the first two years to fund all proposals deemed excellent by independent evaluators.

Two years in, a closer look at the results and project examples contained in this brochure clearly demonstrates the huge potential in Europe for excellent research and innovation and for turning it into economic value and a better quality of life. We will continue to work hard to ensure that Horizon 2020 keeps promoting the world's best research and innovation, creating jobs and growth and helping to solve our biggest societal challenges.

**Carlos Moedas,**
Commissioner for Research,
Science and Innovation.

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

FOREWORD

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# KEY FACTS AND FIGURES
## FIRST TWO YEARS

- Over 76,400 eligible proposals were submitted for calls in the first two years of Horizon 2020, requesting a total EU financial contribution of €125.4bn.

- Around 9,200 proposals were retained for funding. The overall success rate of eligible full proposals in the first two years is 11.8%. Oversubscription is therefore a main concern.

- Over 9,000 grant agreements were signed by 1 September 2016, with a budget allocation of over €15.9bn in EU funding.

- More than 90% of all grant agreements were signed within the legal target of eight months.

- Around 49% of the participants in Horizon 2020 are newcomers.

- The 20% budget target for the funding of small and medium-sized enterprises was achieved.

*The information in this booklet excludes Horizon 2020 funding related to the European Institute of Innovation and Technology (EIT), Public-Public Partnerships, some Public-Private Partnerships and the financial instruments under Horizon 2020.*
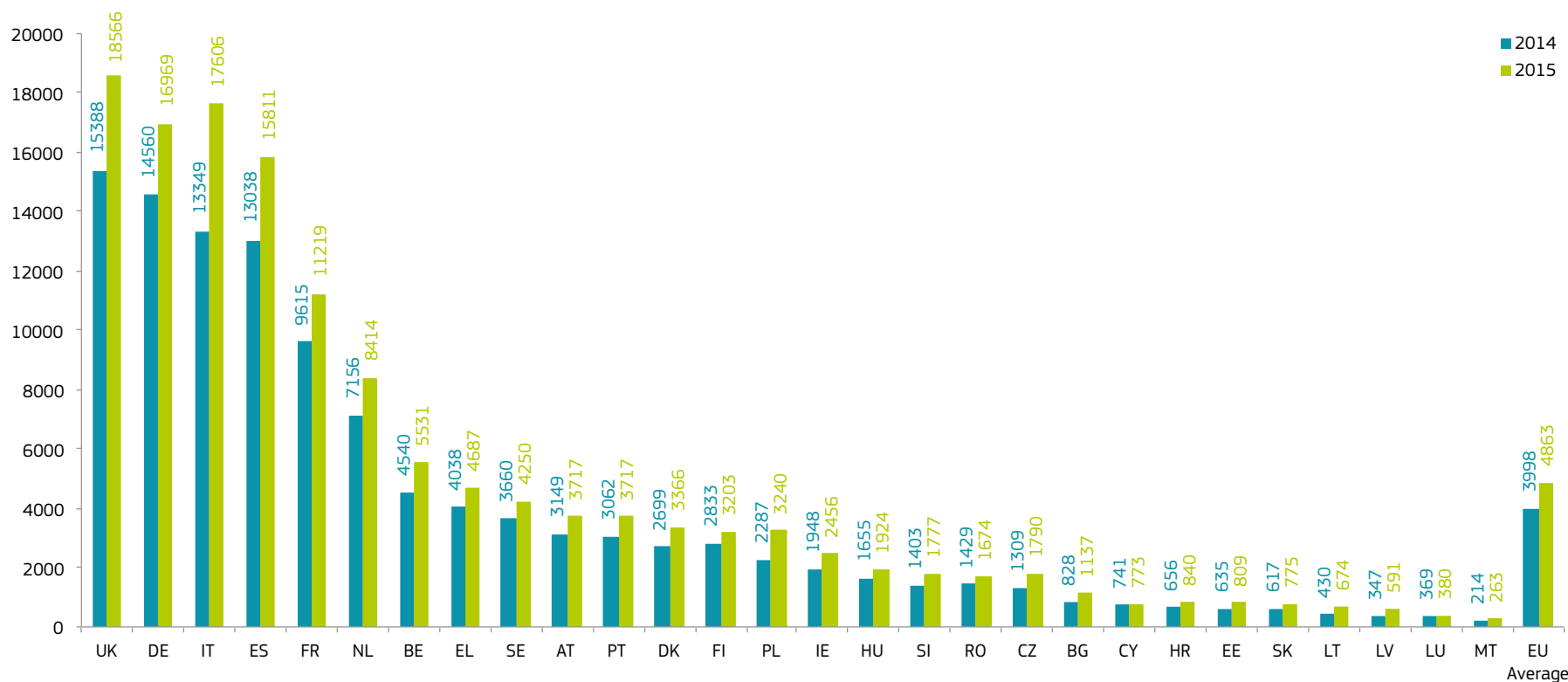
*For more detailed information on participations and implementation of the first two years of Horizon 2020, please see the Monitoring Report 2015.*

INTRODUCTION

# 1

## APPLICATIONS

APPLICATIONS

# Application rate of Member States



| | 2014 | 2015 |
|---|---|---|
| UK | 15388 | 18566 |
| DE | 14560 | 16969 |
| IT | 13349 | 17606 |
| ES | 13038 | 15811 |
| FR | 9615 | 11219 |
| NL | 7156 | 8414 |
| BE | 4540 | 5531 |
| EL | 4038 | 4687 |
| SE | 3660 | 4250 |
| AT | 3149 | 3717 |
| PT | 3062 | 3717 |
| DK | 2699 | 3366 |
| FI | 2833 | 3203 |
| PL | 2287 | 3240 |
| IE | 1948 | 2456 |
| HU | 1655 | 1924 |
| SI | 1403 | 1777 |
| RO | 1429 | 1674 |
| CZ | 1309 | 1790 |
| BG | 828 | 1137 |
| CY | 741 | 773 |
| HR | 656 | 840 |
| EE | 635 | 809 |
| SK | 617 | 775 |
| LT | 430 | 674 |
| LV | 347 | 591 |
| LU | 369 | 380 |
| MT | 214 | 263 |
| EU Average | 3998 | 4863 |

A total of 275,841 applications were received over the two years, with an increase of 23.9% from 2014 to 2015. This chart shows the total number of applications from EU countries.

All Member States have increased the number of applications submitted from 2014 to 2015. The applications from the EU-13 (Member States joining EU since 2004) increased by 29.6% and the EU-15 (Member States joining EU before 2004) by 20.6%.
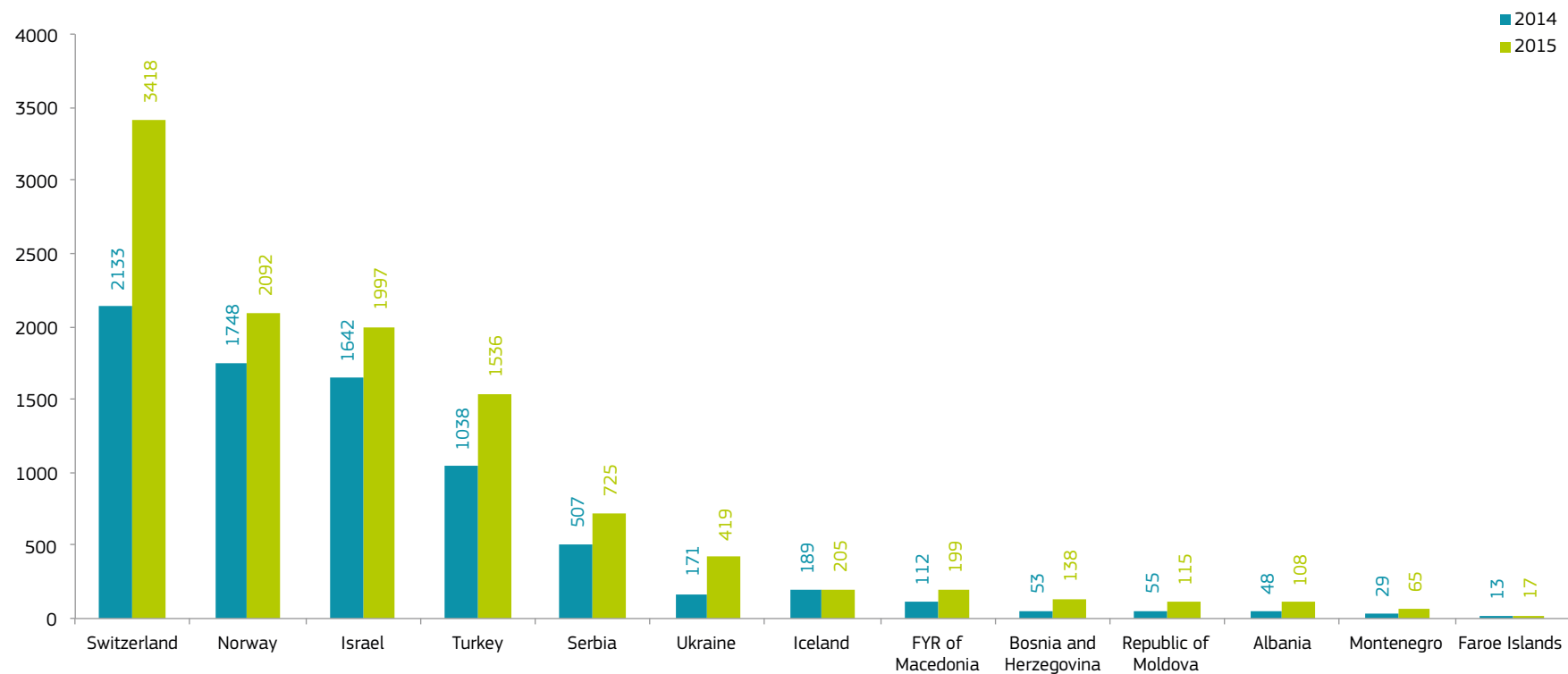
# Application rate of Member States per inhabitant
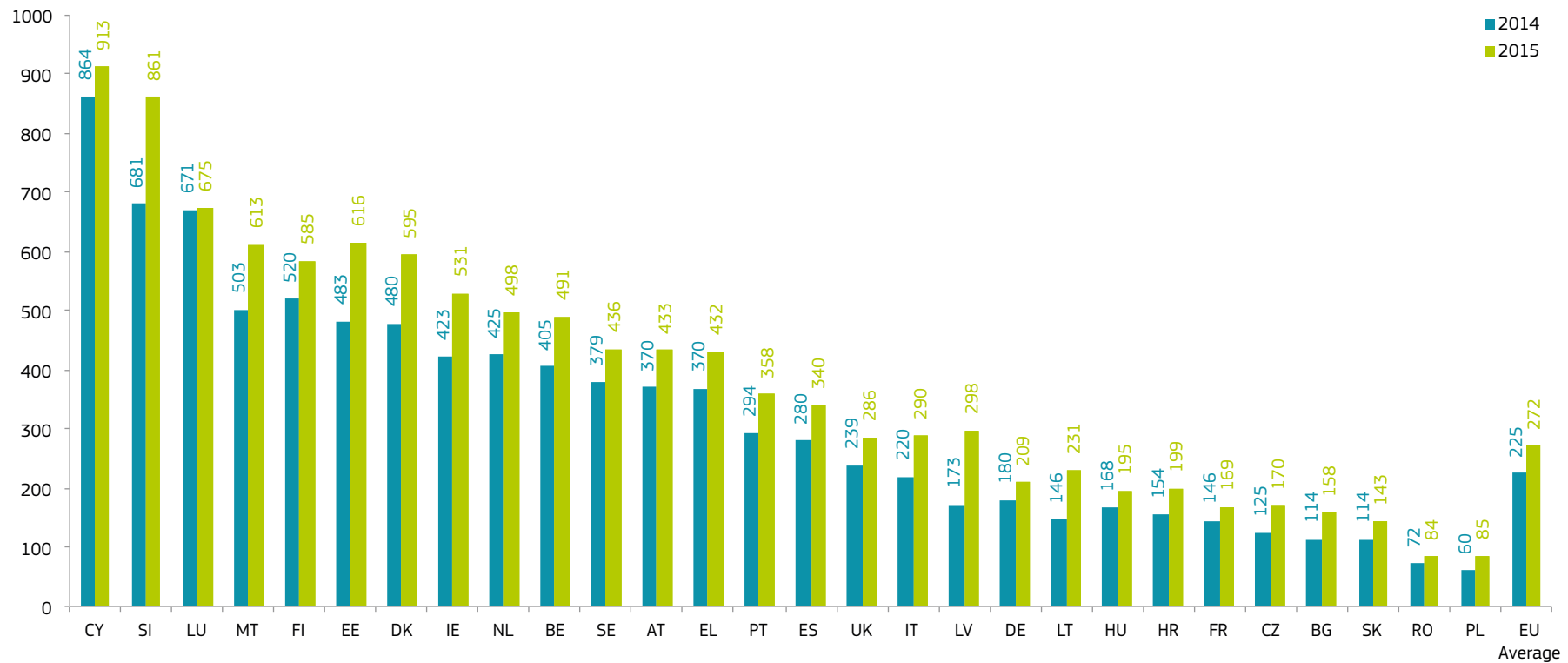


This chart shows the number of applications per million inhabitants in 2014 and 2015. The average number of eligible applications per million inhabitants for the 28 Member States as a whole is 497 (225 in 2014 and 272 in 2015).

*Note: Data on inhabitants from 2014 and 2015 (EuroStat)*

APPLICATIONS

**APPLICATIONS**

# Application rate of Associated Countries



Legend: ■ 2014 ■ 2015

| Country | 2014 | 2015 |
|---|---|---|
| Switzerland | 2133 | 3418 |
| Norway | 1748 | 2092 |
| Israel | 1642 | 1997 |
| Turkey | 1038 | 1536 |
| Serbia | 507 | 725 |
| Ukraine | 171 | 419 |
| Iceland | 189 | 205 |
| FYR of Macedonia | 112 | 199 |
| Bosnia and Herzegovina | 53 | 138 |
| Republic of Moldova | 55 | 115 |
| Albania | 48 | 108 |
| Montenegro | 29 | 65 |
| Faroe Islands | 13 | 17 |

This chart shows the total number of applications from countries associated to Horizon 2020, which in total has increased by 42.6% from 2014 to 2015.

*Note: More information on the status of Associated Countries can be found* http://europa.eu/!XG98wb, *and more on the status of Switzerland can be found* http://europa.eu/!Cx67rG

# Applications from Third Countries
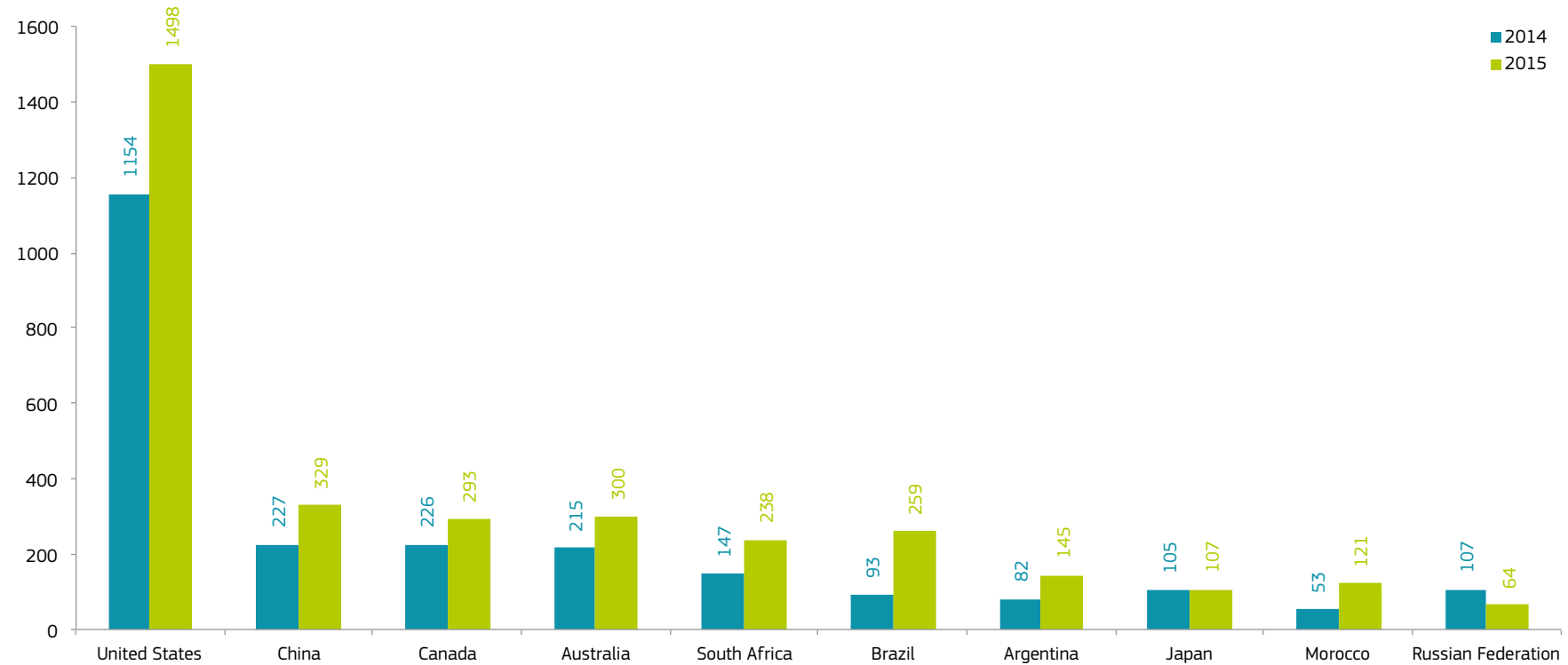


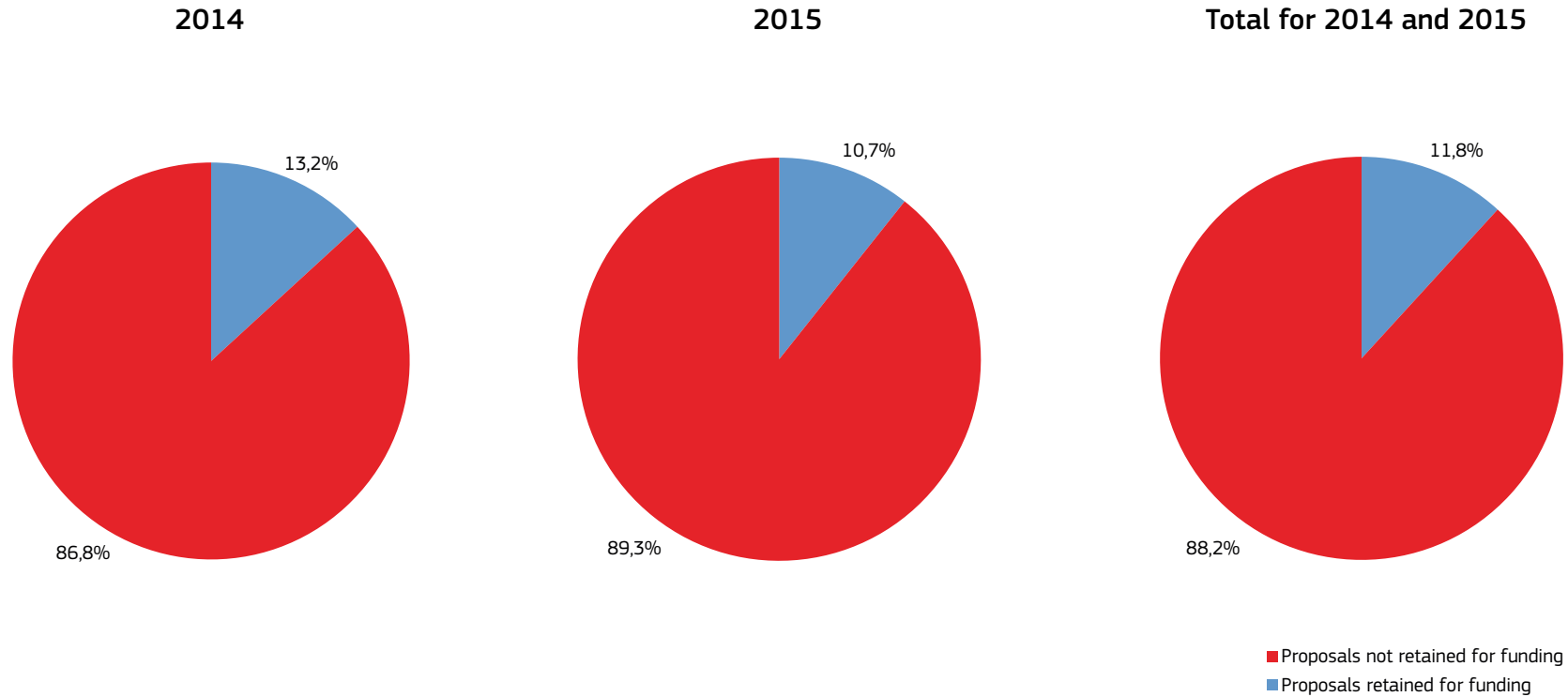The total number of applications from Third Countries increased by 53% year-on-year. The chart shows the top ten most active Third Countries in terms of eligible applications to Horizon 2020. The Third Countries that have applied most often to Horizon 2020 – the United States, China, Canada and Australia – submitted almost 50% of all eligible applications from Third Countries.

APPLICATIONS

# 2

## SUCCESS RATES

**SUCCESS RATES**

# Share of proposals receiving funding

### 2014



13,2%

86,8%

### 2015



10,7%

89,3%

### Total for 2014 and 2015



11,8%

88,2%

■ Proposals not retained for funding
■ Proposals retained for funding

This chart shows the share of proposals retained for funding. In total, less than 12% were retained (13.2% in 2014 and 10.7% in 2015), this figure reflecting the increasing number of high-quality proposals.

*Note: Success rates are calculated excluding ad hoc calls to named beneficiaries and outline proposals in the first stage of two-stage calls.*

# Rate of successful applications per Member State
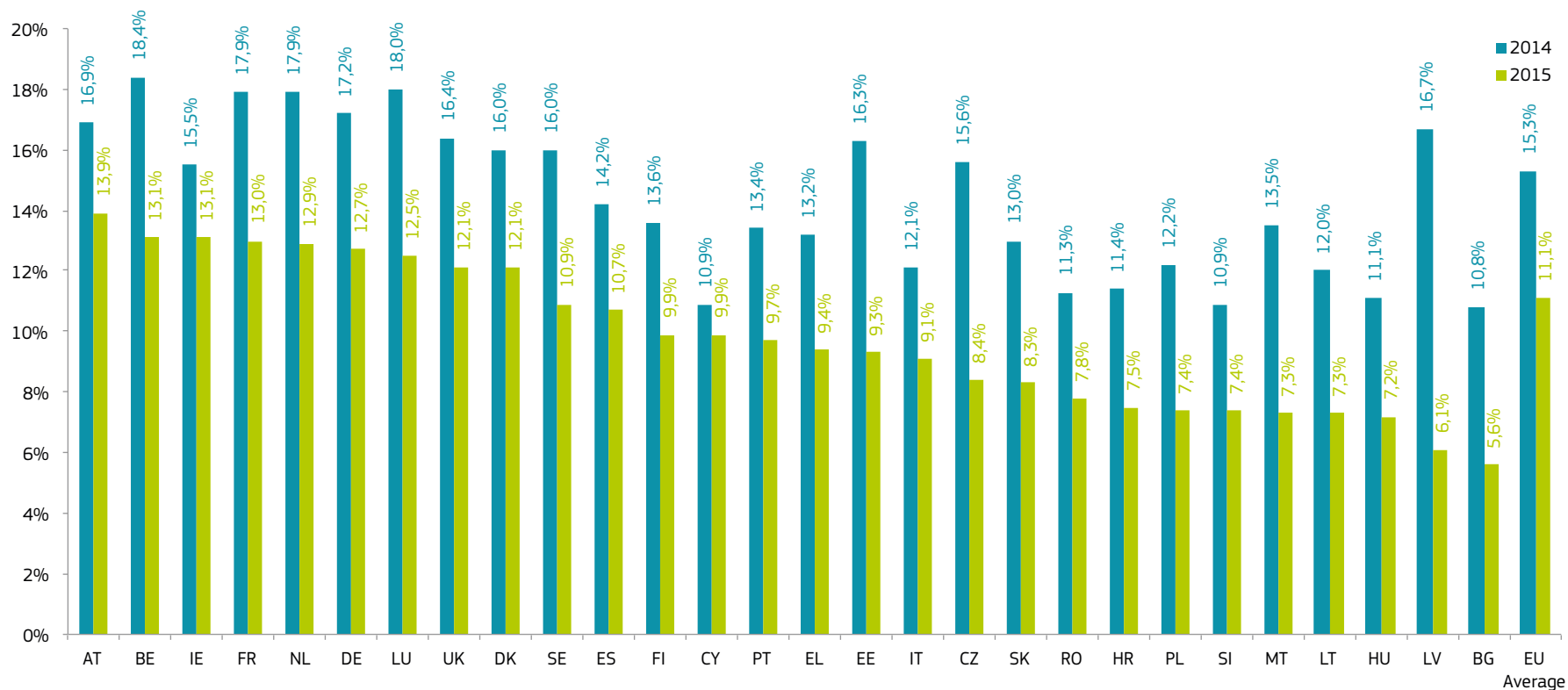


This chart shows the overall success rate per Member State - the EU average for the two years is 13%. The decline in success rates is due to the increase in the number of eligible applications, rather than a decrease in funding available.
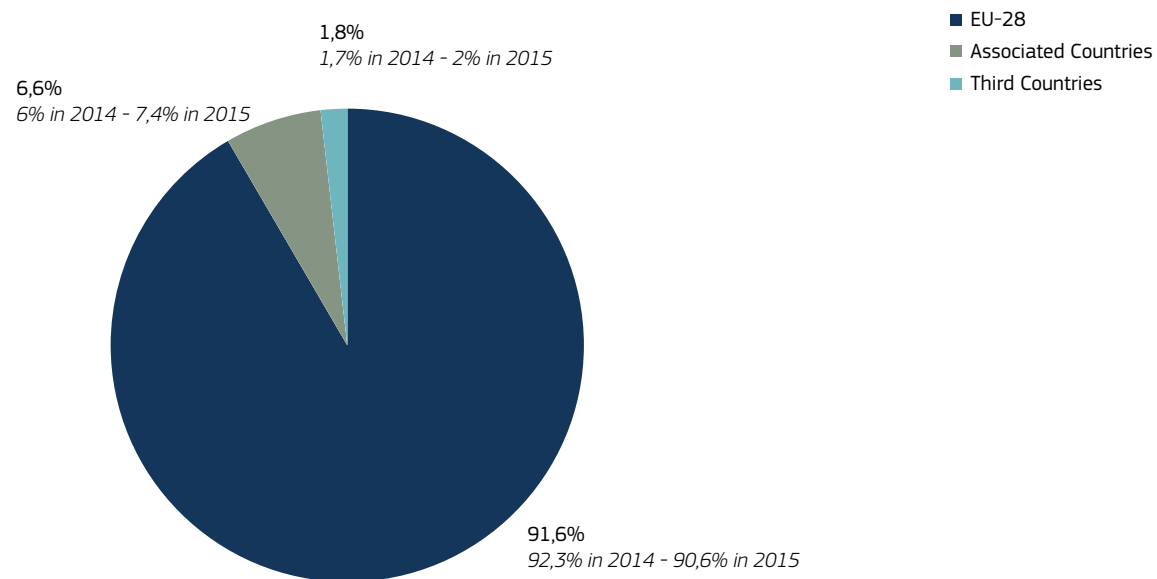
**SUCCESS RATES**

**SUCCESS RATES**

# Rate of successful applications from different sectors



Legend: ■ 2014  ■ 2015

| Sector | 2014 | 2015 |
|---|---|---|
| Public Bodies | 24,2% | 18,2% |
| Other Entities | 20,8% | 13,9% |
| Research Organisations | 18,2% | 13,3% |
| EU Average | 15,4% | 11,2% |
| Universities | 13,8% | 10,4% |
| Private Sector | 14,3% | 10,1% |
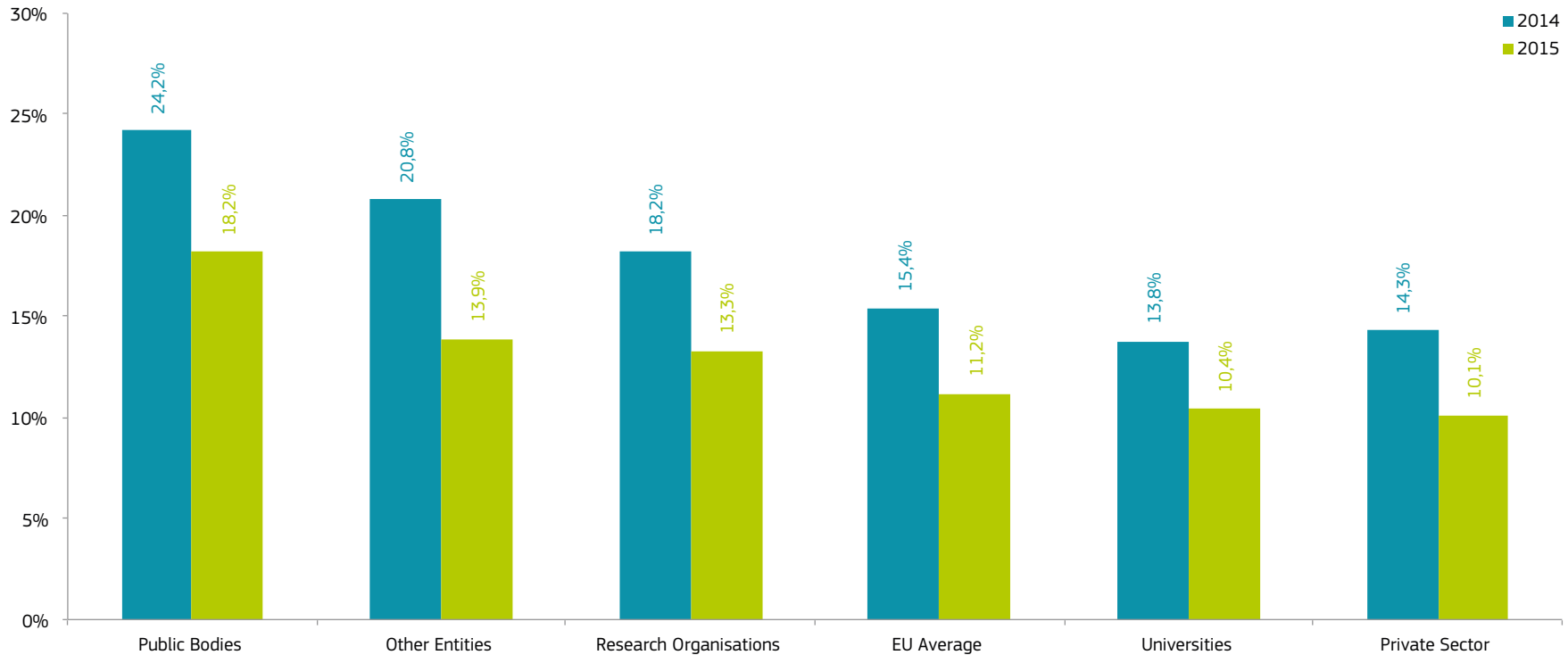
Since Horizon 2020 began, more than 39% of all applications came from university candidates, 35.2% from the private sector and 18.4% from research organisations. Although public bodies had the lowest application rate (3.5%), they had the highest success rate. This chart shows the success rate across the sectors.

*Note: 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.*

# Share of participation



1,8%
*1,7% in 2014 - 2% in 2015*

6,6%
*6% in 2014 - 7,4% in 2015*

91,6%
*92,3% in 2014 - 90,6% in 2015*

■ EU-28
■ Associated Countries
■ Third Countries

**SUCCESS RATES**

The chart shows the average share of participations of Members States, Associated and Third Countries – the share of participations of both Associated and Third Countries has increased from 2014 to 2015.
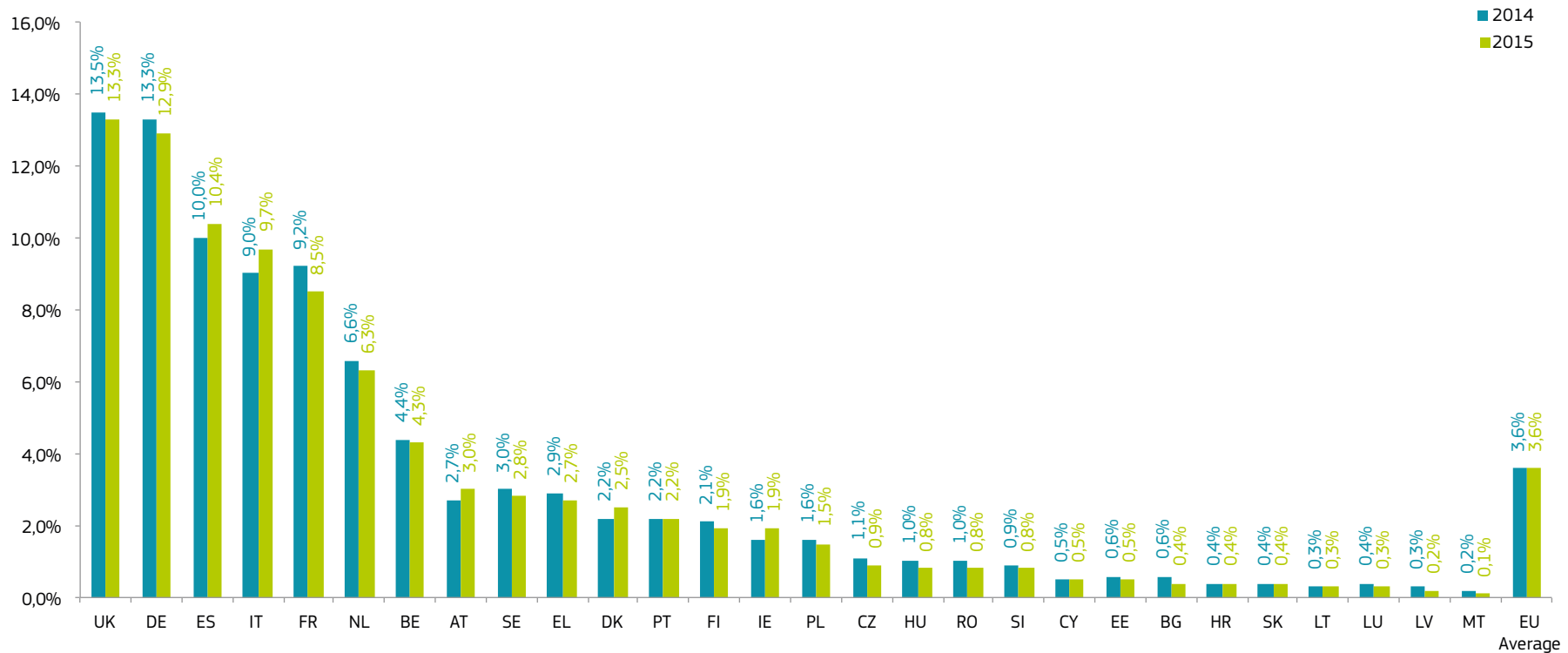
*Note: Please refer to the sections in the Glossary on Associated Countries and Third Countries for more information on  definitions of types of countries in Horizon 2020.*

# 3

## SIGNED GRANT AGREEMENTS

**SIGNED GRANT AGREEMENTS**

## Share of participation per Member State



| | 2014 | 2015 |
|---|---|---|
| UK | 13,5% | 13,3% |
| DE | 13,3% | 12,9% |
| ES | 10,0% | 10,4% |
| IT | 9,0% | 9,7% |
| FR | 9,2% | 8,5% |
| NL | 6,6% | 6,3% |
| BE | 4,4% | 4,3% |
| AT | 2,7% | 3,0% |
| SE | 3,0% | 2,8% |
| EL | 2,9% | 2,7% |
| DK | 2,2% | 2,5% |
| PT | 2,2% | 2,2% |
| FI | 2,1% | 1,9% |
| IE | 1,6% | 1,9% |
| PL | 1,6% | 1,5% |
| CZ | 1,1% | 0,9% |
| HU | 1,0% | 0,8% |
| RO | 1,0% | 0,8% |
| SI | 0,9% | 0,8% |
| CY | 0,5% | 0,5% |
| EE | 0,6% | 0,5% |
| BG | 0,6% | 0,4% |
| HR | 0,4% | 0,4% |
| SK | 0,4% | 0,4% |
| LT | 0,3% | 0,3% |
| LU | 0,4% | 0,3% |
| LV | 0,3% | 0,2% |
| MT | 0,2% | 0,1% |
| EU Average | 3,6% | 3,6% |

The chart shows the share of participation in signed grants per EU Member State. The United Kingdom has the largest share, followed by Germany and Spain. Eight EU Member States experienced an increase in participation, with Spain and Italy experiencing the largest increase.
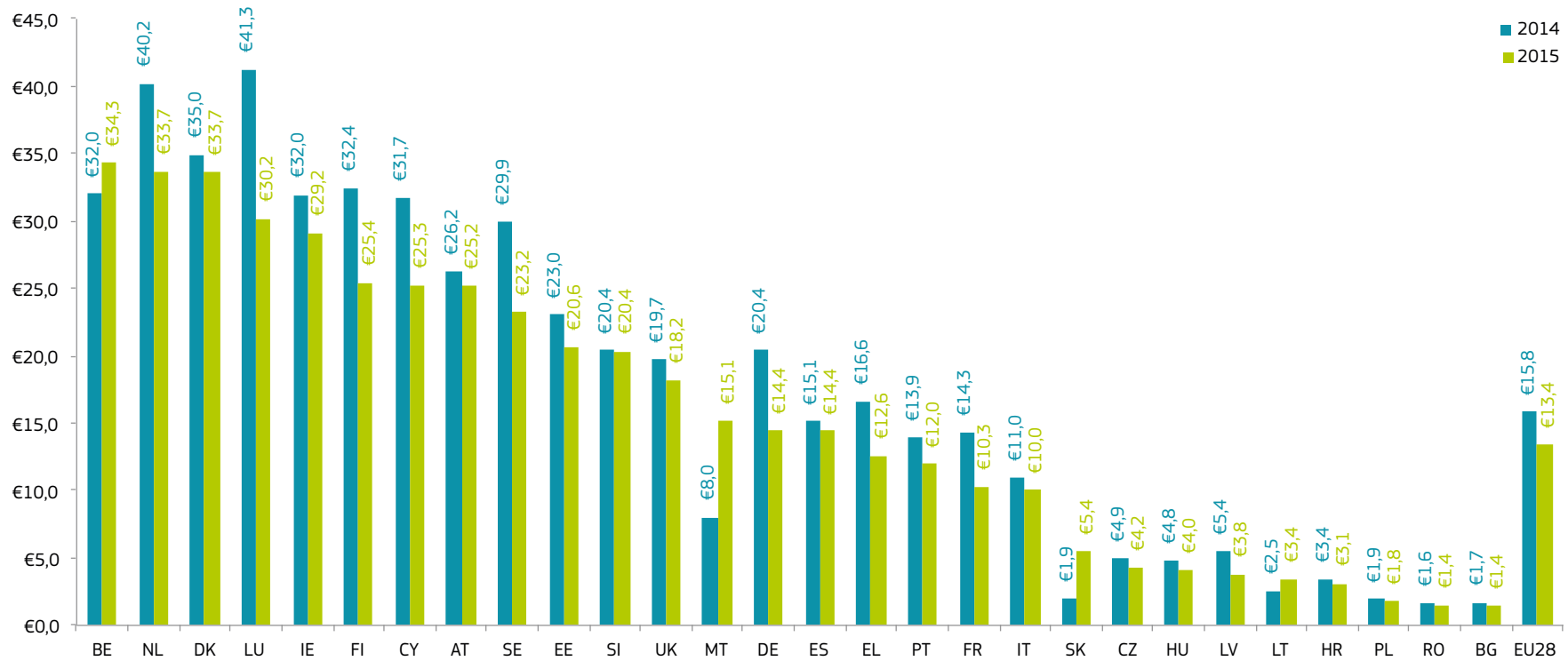
## Share of funding per Member State
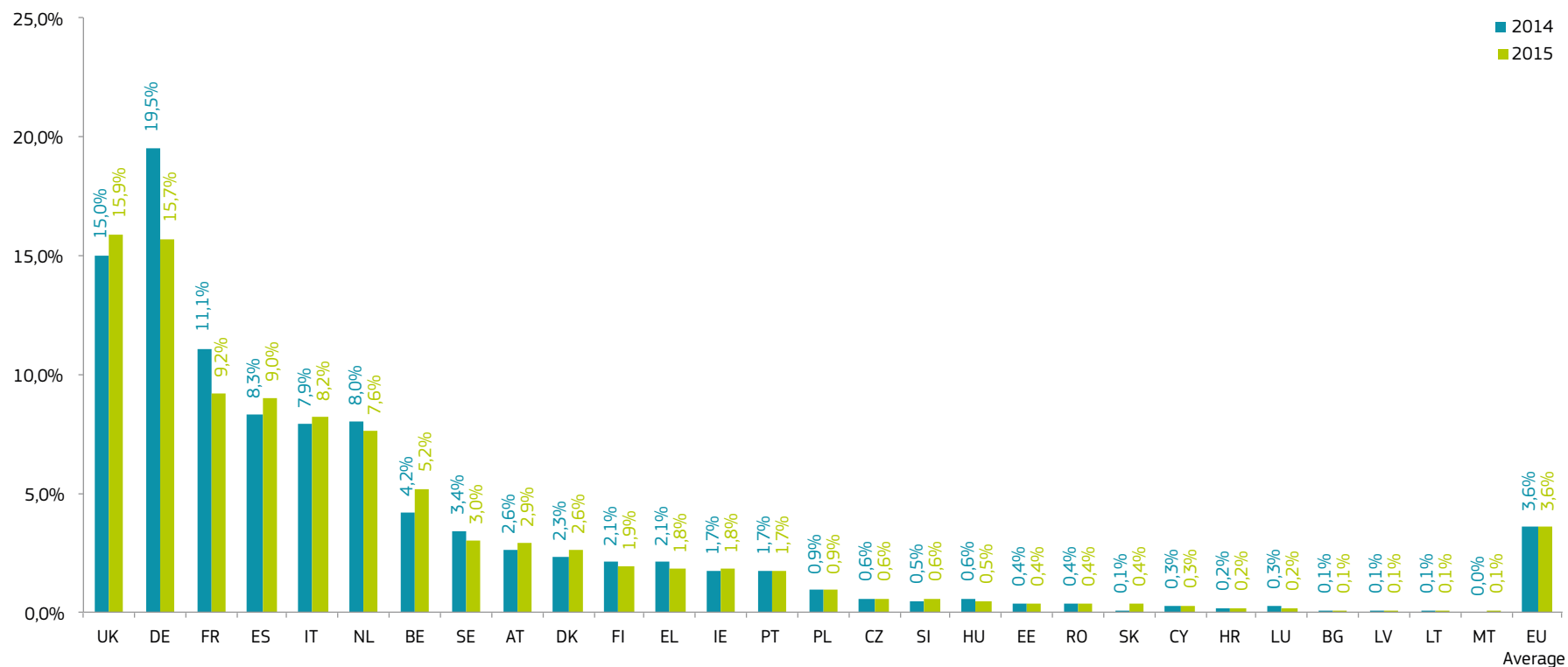
Member States received a total of 93.1% of funding in the first two years of Horizon 2020 – the remaining funding went to Associated and Third Countries. This chart shows the share of funding per Member State.

*Note: The EU financial contribution received for each participation is dependent on many factors, including the type and size of the project, the different roles in the project and the differing local costs associated with participating.*
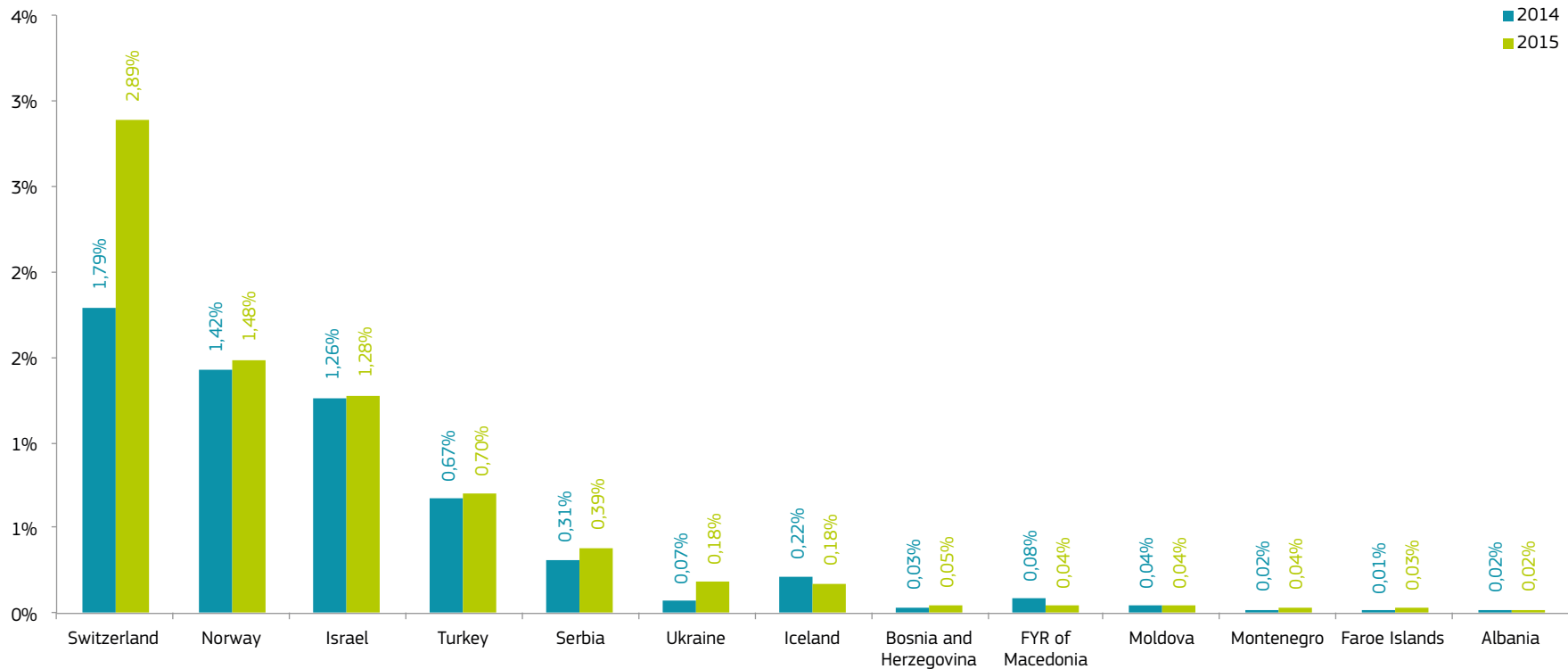
**SIGNED GRANT AGREEMENTS**

## Funding per Member State per inhabitant



Legend:
- 2014
- 2015

Data values (2014 / 2015):
- BE: €32,0 / €34,3
- NL: €40,2 / €33,7
- DK: €35,0 / €33,7
- LU: €41,3 / €30,2
- IE: €32,0 / €29,2
- FI: €32,4 / €25,4
- CY: €31,7 / €25,3
- AT: €26,2 / €25,2
- SE: €29,9 / €23,2
- EE: €23,0 / €20,6
- SI: €20,4 / €20,4
- UK: €19,7 / €18,2
- MT: €8,0 / €15,1
- DE: €20,4 / €14,4
- ES: €15,1 / €14,4
- EL: €16,6 / €12,6
- PT: €13,9 / €12,0
- FR: €14,3 / €10,3
- IT: €11,0 / €10,0
- SK: €1,9 / €5,4
- CZ: €4,9 / €4,2
- HU: €4,8 / €4,0
- LV: €5,4 / €3,8
- LT: €2,5 / €3,4
- HR: €3,4 / €3,1
- PL: €1,9 / €1,8
- RO: €1,6 / €1,4
- BG: €1,7 / €1,4
- EU28: €15,8 / €13,4

On average, €13.4 was allocated to EU research and innovation projects per inhabitant in 2015, slightly lower than the previous year (due to grants from calls in 2015 yet to be signed). Belgium, the Netherlands and Denmark received the highest share of funding per inhabitant in 2015, with Poland, Romania and Bulgaria receiving the lowest.

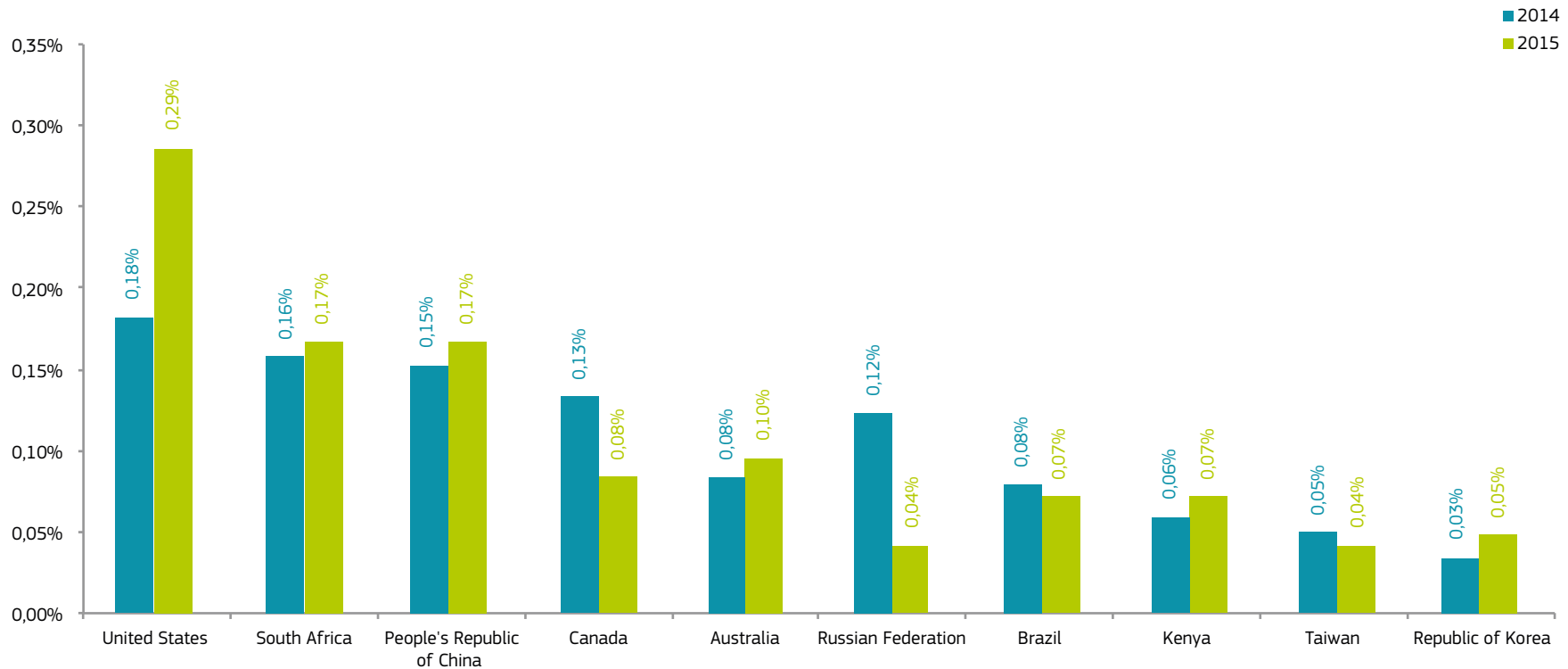*Note: Data on inhabitants from 2014 (EuroStat)*

# Share of participation per Associated Country



Legend: ■ 2014  ■ 2015

- Switzerland: 1,79% (2014), 2,89% (2015)
- Norway: 1,42% (2014), 1,48% (2015)
- Israel: 1,26% (2014), 1,28% (2015)
- Turkey: 0,67% (2014), 0,70% (2015)
- Serbia: 0,31% (2014), 0,39% (2015)
- Ukraine: 0,07% (2014), 0,18% (2015)
- Iceland: 0,22% (2014), 0,18% (2015)
- Bosnia and Herzegovina: 0,03% (2014), 0,05% (2015)
- FYR of Macedonia: 0,08% (2014), 0,04% (2015)
- Moldova: 0,04% (2014), 0,04% (2015)
- Montenegro: 0,02% (2014), 0,04% (2015)
- Faroe Islands: 0,01% (2014), 0,03% (2015)
- Albania: 0,02% (2014), 0,02% (2015)

Eleven out of the 13 countries associated to Horizon 2020 (as at 31 December 2015) have increased their share of participations – this chart gives an overview of the share of participation.

*Note: At the time of publication (November 2016), there were 16 countries associated to Horizon 2020.*

**SIGNED GRANT AGREEMENTS**

SIGNED GRANT AGREEMENTS

# Share of participation per Third Country



Legend: ■ 2014 ■ 2015

| Country | 2014 | 2015 |
|---|---|---|
| United States | 0,18% | 0,29% |
| South Africa | 0,16% | 0,17% |
| People's Republic of China | 0,15% | 0,17% |
| Canada | 0,13% | 0,08% |
| Australia | 0,08% | 0,10% |
| Russian Federation | 0,12% | 0,04% |
| Brazil | 0,08% | 0,07% |
| Kenya | 0,06% | 0,07% |
| Taiwan | 0,05% | 0,04% |
| Republic of Korea | 0,03% | 0,05% |

Third Countries had a 1.8% share of participation across the two years, with signed grant agreements of participants from 79 different countries. This chart shows the share of grant agreements from the top ten Third Country-participants and the global reach of Horizon 2020. The top five participating countries had more than 40% of the overall Third Country participation.

## Share of participation per type of organisation
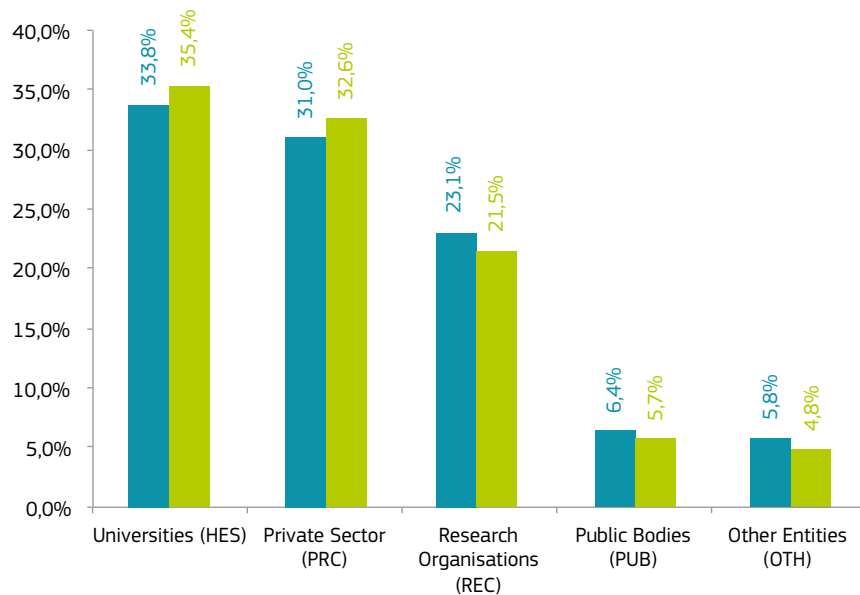


## Share of EU financial contribution per type of organisation
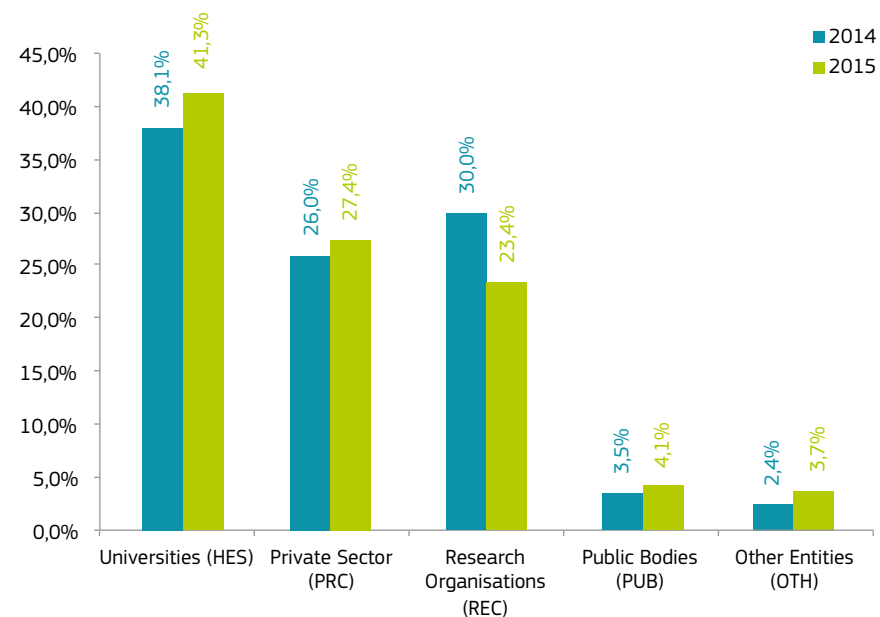


Universities remain in first place in terms of participation and funding received. Both universities and public bodies have had the highest increase in share of participation and financial contribution, whereas the share for research organisations has decreased.
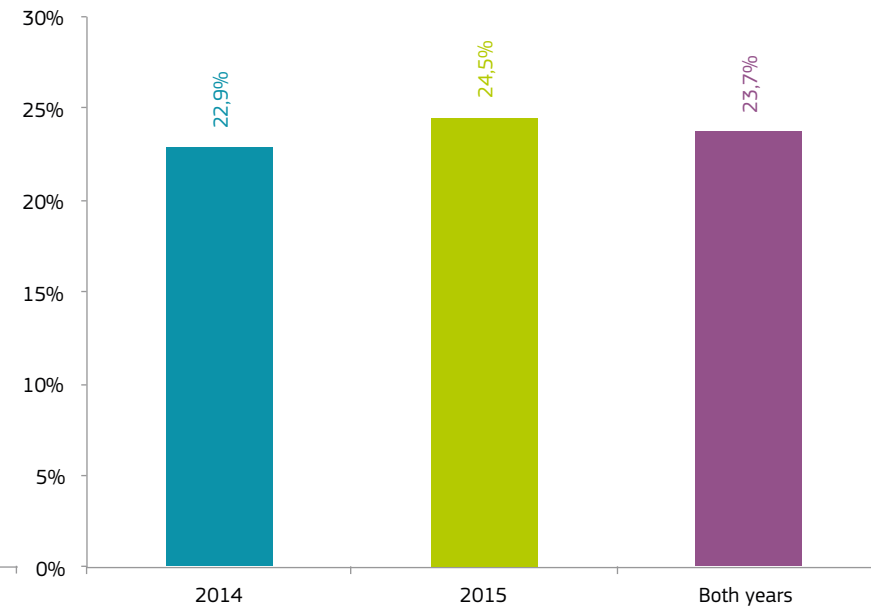
*Note: Please refer to Definitions of types of organisations in the glossary for more information.*

**SIGNED GRANT AGREEMENTS**

**SIGNED GRANT AGREEMENTS**

# How did SMEs perform?

### SME participation share
### in LEIT* and Societal Challenge Pillar
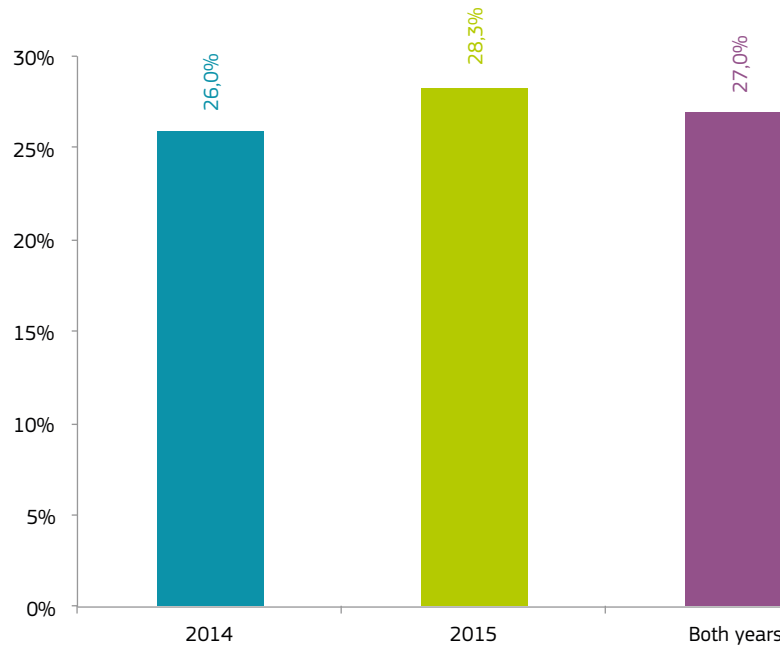
### EU financial contribution share to SMEs
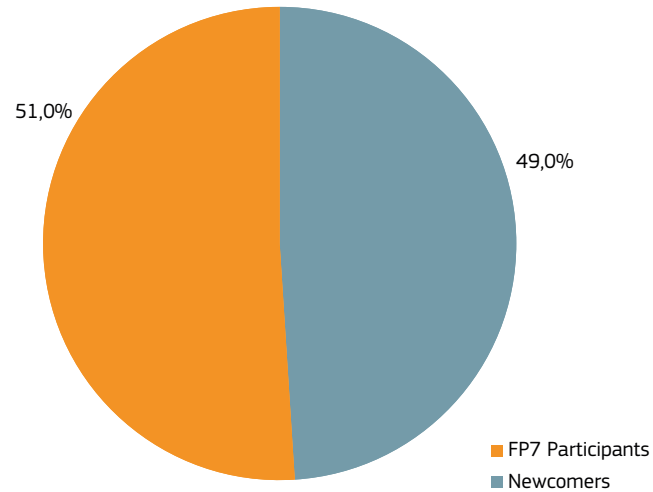### in LEIT* and Societal Challenge Pillar



In the *Leading and Emerging Industrial Technology (LEIT) and Societal Challenge Pillar, the Horizon 2020 target for funding of SMEs is 20% – the chart shows that this target has been achieved. SMEs have received 23.7% of funding overall, and made up 27.6% of participations.

# 4

## NEWCOMERS

**NEWCOMERS**

## Two-year average participant share

51,0%

49,0%

- FP7 Participants
- Newcomers

## Two-year average newcomer participant share

5,3%  2,5%

8,8%

13,6%

69,8%

- Private Sector (PRC)
- Public Bodies (PUB)
- Research Organisations (REC)
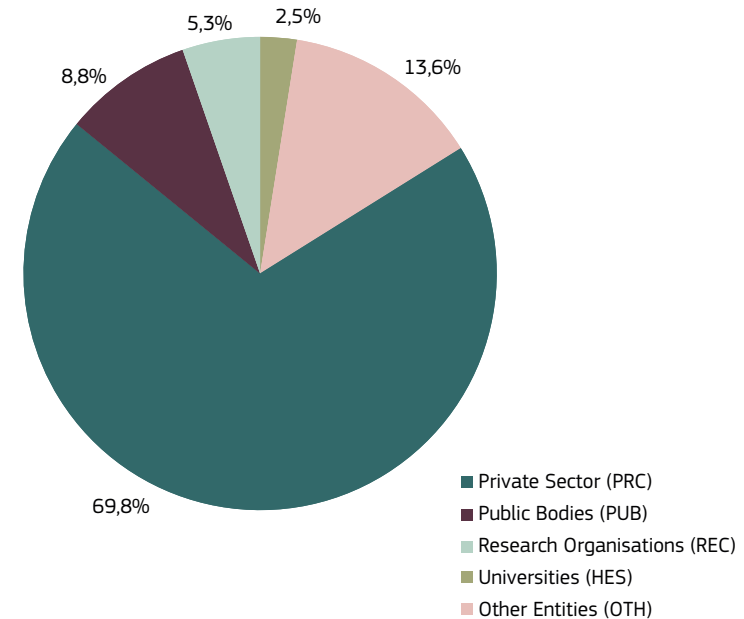- Universities (HES)
- Other Entities (OTH)

A newcomer is defined as a successful first-time applicant to Horizon 2020 who did not apply to the Seventh Framework Programme (FP7).

The chart shows that 51% of participants across 2014 and 2015 also participated in FP7, with 49% of newcomers. Looking only at 2014, the share of newcomer participation was 42.1%, showing an increase in 2015.

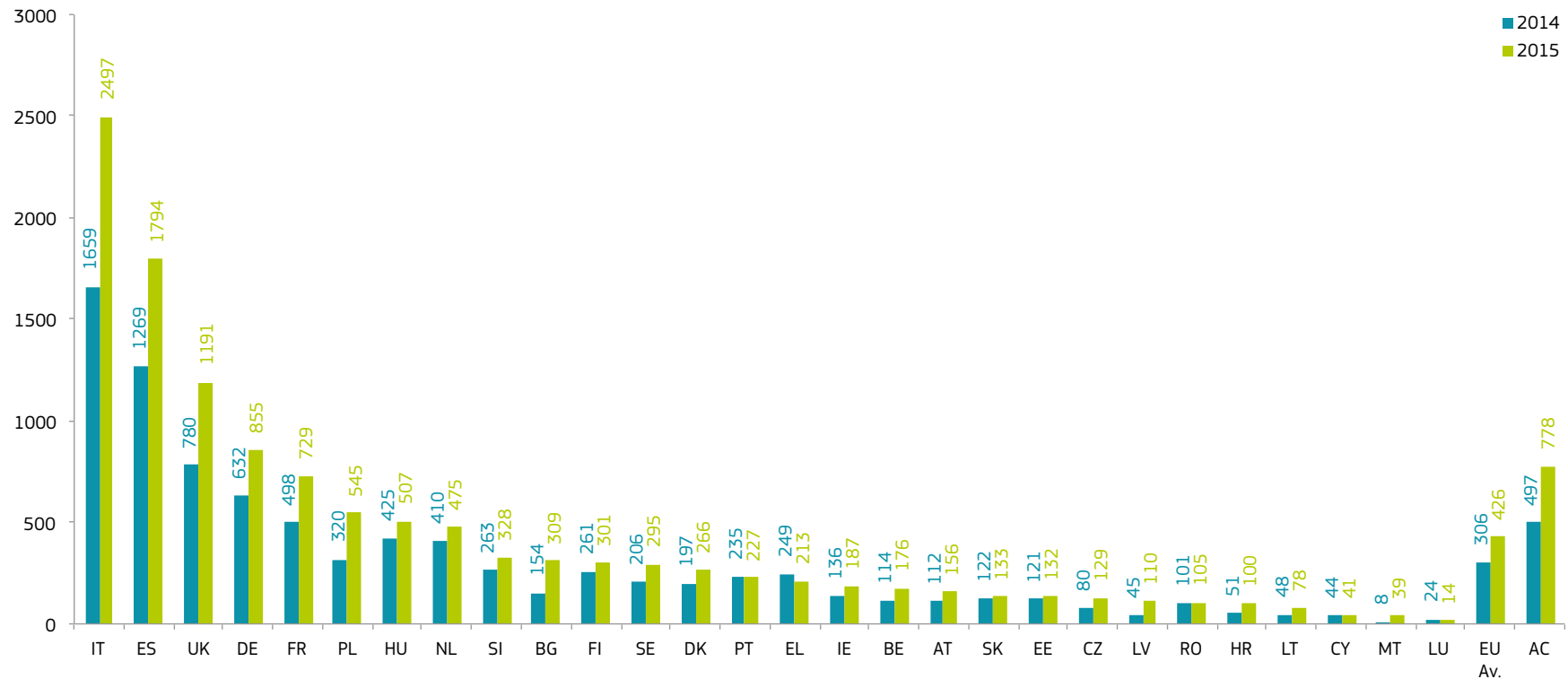The rate of newcomers is expected to increase throughout the programme.

Across the two first years of Horizon 2020, 69.8% of the newcomers were from the private sector, showing the attractiveness of Horizon 2020 for private companies. Out of these 68.9% were SMEs (62.4% in 2014 and 69.6% in 2015).

# 5

SME INSTRUMENT

SME INSTRUMENT

# Country breakdown for SME Instrument applications



Legend: ■ 2014 ■ 2015

| Country | 2014 | 2015 |
|---|---|---|
| IT | 1659 | 2497 |
| ES | 1269 | 1794 |
| UK | 780 | 1191 |
| DE | 632 | 855 |
| FR | 498 | 729 |
| PL | 320 | 545 |
| HU | 425 | 507 |
| NL | 410 | 475 |
| SI | 263 | 328 |
| BG | 154 | 309 |
| FI | 261 | 301 |
| SE | 206 | 295 |
| DK | 197 | 266 |
| PT | 235 | 227 |
| EL | 249 | 213 |
| IE | 136 | 187 |
| BE | 114 | 176 |
| AT | 112 | 156 |
| SK | 122 | 133 |
| EE | 121 | 132 |
| CZ | 80 | 129 |
| LV | 45 | 110 |
| RO | 101 | 105 |
| HR | 51 | 100 |
| LT | 48 | 78 |
| CY | 44 | 41 |
| MT | 8 | 39 |
| LU | 24 | 14 |
| EU Av. | 306 | 426 |
| AC | 497 | 778 |

There were just under 20,500 applications to the SME Instrument across the two years, with an increase from year to year (8,564 in 2014 and 11,932 in 2015). This charts shows the number of applications per Member State and the total number of applications from Associated Countries (AC).

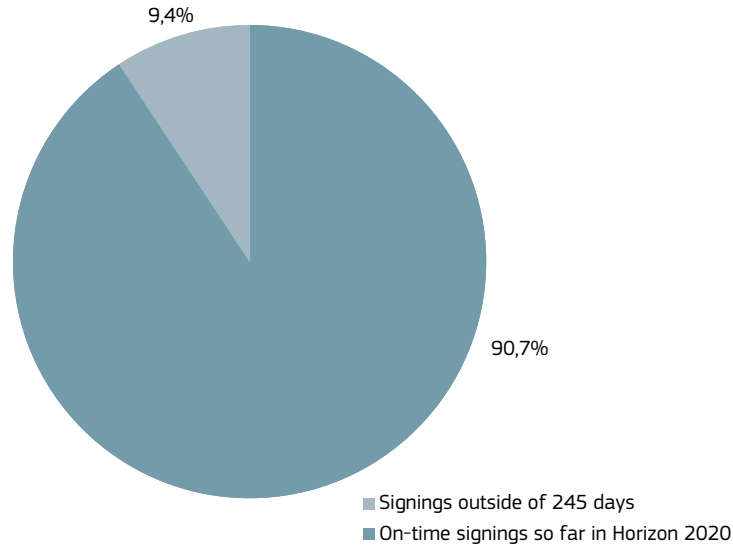# Success rate per Member State for SME Instrument
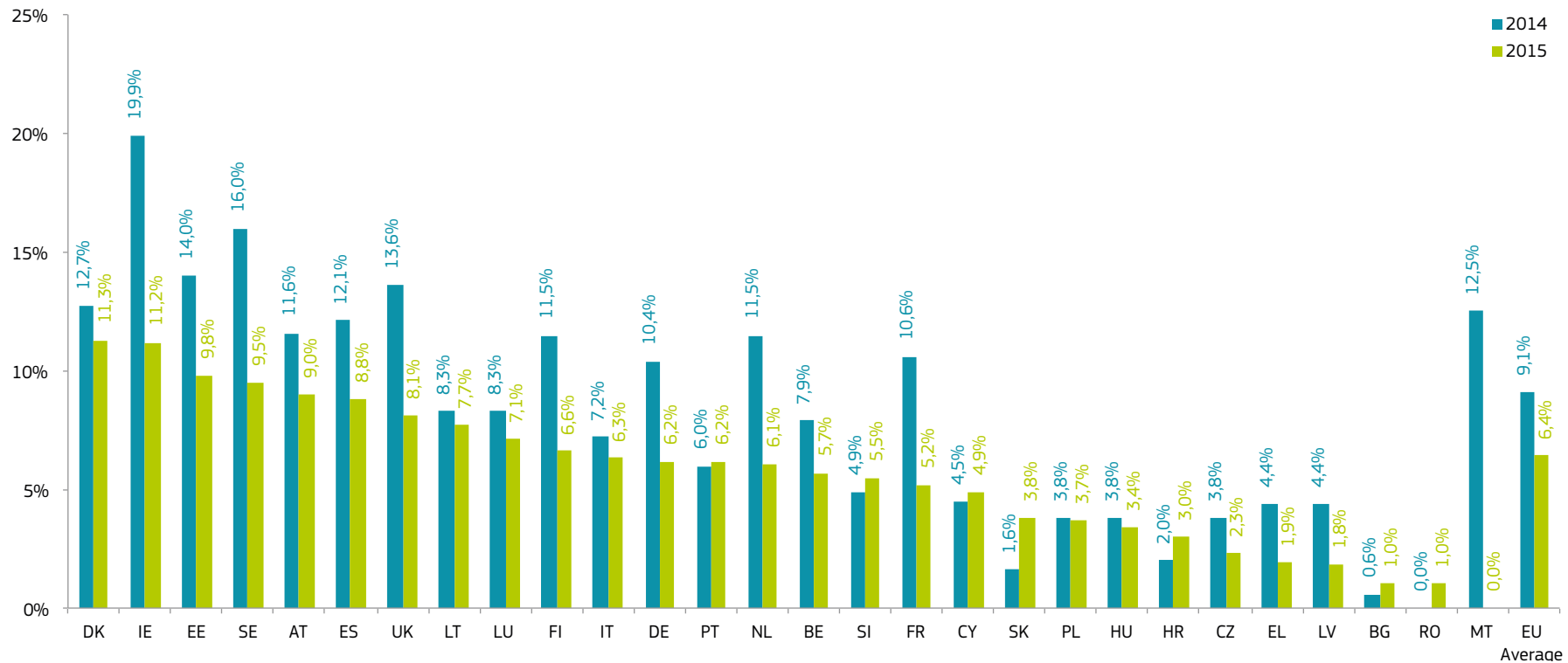


The chart shows the success rate per Member State of the SME Instrument across the two years. The average success rate of full proposals in the SME instrument in 2014 and 2015 was 7.5% (9.1% in 2014 and 6.4% in 2015), which is lower than the Horizon 2020 average of 13.1% in terms of overall applications.

SME INSTRUMENT

# 6

## TIME TO GRANT

**TIME TO GRANT**

## Share of grants within time-to-grant



9,4%

90,7%

■ Signings outside of 245 days
■ On-time signings so far in Horizon 2020

## Time-to-grant in average number of days



| | FP7 | 2014 | 2015 | 2014 and 2015 |
|---|---|---|---|---|
| | 303,0 | 216,6 | 184,9 | 201,7 |

'Time-to-grant' is the elapsed time between the call closing date and the signing of the grant agreement, which marks the official start of the project.

Under Horizon 2020, the European Commission has committed to signing grant agreements within 245 days (eight months) for all calls other than those of the European Research Council (ERC).

This target has been met in the majority of cases, with 90.6% of on-time signings so far in Horizon 2020 (2014/2015), incrising from 89.2% in 2014 to 92.4% in 2015.

As shown in the above chart, in FP7 the average number of days between the closing of the call and the signing of a grant agreement was 303 days.

In the first two years of Horizon 2020, the average time-to-grant period was 201.7 days – 216.6 in 2014, decreasing to 184.9 in 2015.
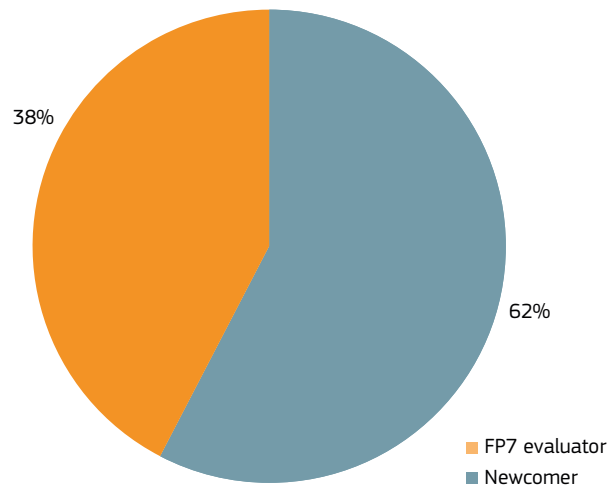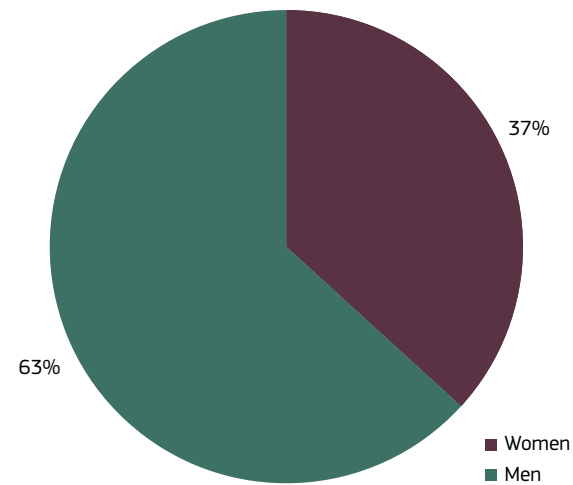
# 7

**EXPERTS**

**EXPERTS**

# Proposal evaluators

## Newcomers



38%

62%

- FP7 evaluator
- Newcomer

## Gender



37%

63%

- Women
- Men

Evaluators of Horizon 2020 have carried out 591,927 individual evaluations in the first two years of Horizon 2020. Of the evaluators, 62% were newcomers and 38% also evaluated in FP7.

The chart shows whether the evaluator had FP7 evaluation experience or is a newcomer to FP evaluation.

*Note: Assessment made using the available data*

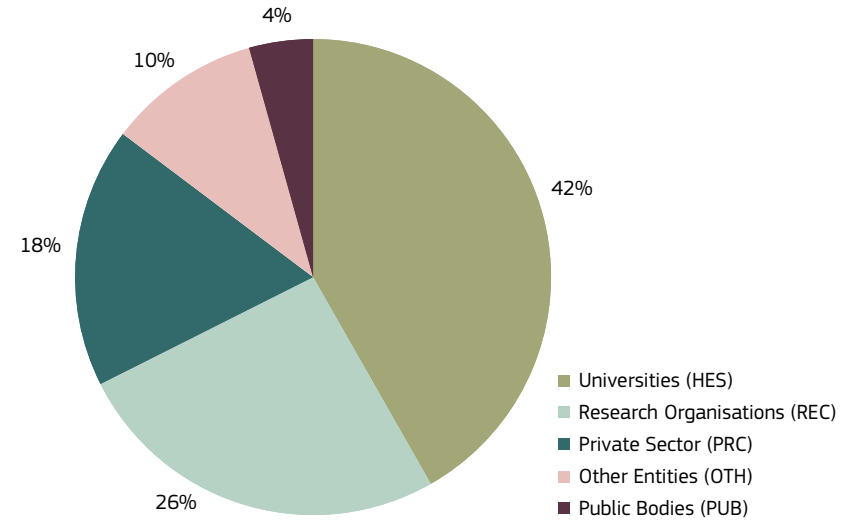As per the above chart, 37% of evaluators were women and 63% were men.

## Country of origin



- EU-15
- EU-13
- Third Countries
- Associated Countries
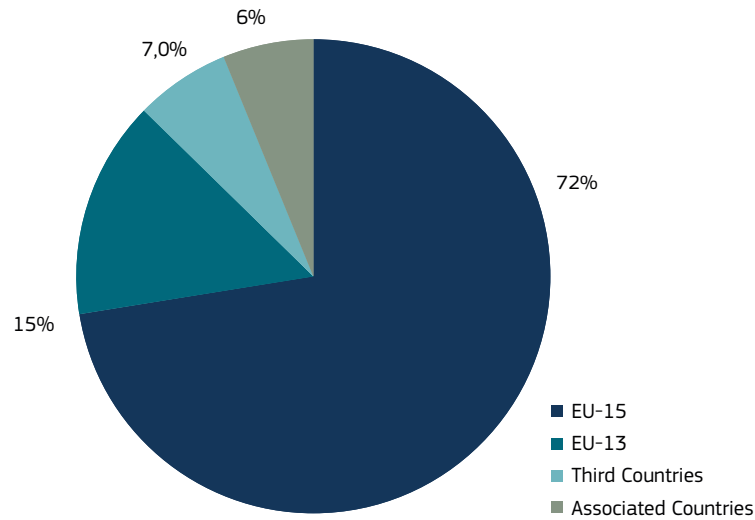
72% of evaluators had a background in the EU-15, 15% in the EU-13, 7% in Third Countries, 6% in Associated Countries. The evaluators came from 102 different countries.

*Note: Assessment made using the available data*

## Type of organisation background



- Universities (HES)
- Research Organisations (REC)
- Private Sector (PRC)
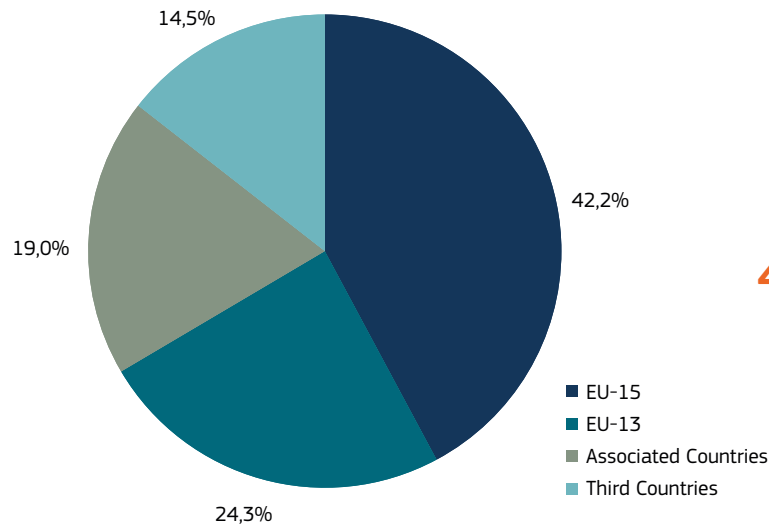- Other Entities (OTH)
- Public Bodies (PUB)

The majority of evaluators had a background in a university or research organisation (combined figure of 68%), whereas 18% came from the private sector. Public bodies and other entities accounted for about 14% of the evaluators.

**EXPERTS**

# 8

## SURVEY RESULTS

# Survey results show attractiveness of Horizon 2020



**Science and business cooperation:** 83% of NCPs responded that they 'agree' or 'strongly agree' that Horizon 2020 provides sufficient opportunities for cooperation between science and business.

**EU Added Value:** 77% 'agreed' or 'strongly agreed' that Horizon 2020 adds value compared to national funding programmes by supporting cross border R&I collaboration.

**Wide participation:** 76% 'agree' or 'strongly agree' that Horizon 2020 provides adequate opportunities for participation of all Member States.

**415 responses**

Pie chart values:
- 42,2% — EU-15
- 24,3% — EU-13
- 19,0% — Associated Countries
- 14,5% — Third Countries

Horizon 2020 National Contact Points (NCPs) provide support services for potential beneficiaries. In 2015, 415 responses were received on a survey of 34 multiple-choice questions in relation to the attractiveness of Horizon 2020, cross-cutting issues in Horizon 2020, and the EU Added Value of Horizon 2020. Of the response, 42.2% came from NCPs in EU-15, 24.3% from EU-13, 19.0% from Associated Countries and 14.5% from Third Countries.

*Note: The full results of the survey are presented in the Monitoring Report 2015.*

SURVEY RESULTS

# KEY PERFORMANCE INDICATORS FOR HORIZON 2020

**KEY PERFORMANCE INDICATORS**

**OBJECTIVES**

## HOW IS SUCCESS MEASURED?

To make sure every euro is spent effectively, the Commission has introduced a performance reporting mechanism.

**EUROPEAN RESEARCH COUNCIL**

Share of publications from ERC-funded projects in the top 1% highly cited per field of science

**FUTURE AND EMERGING TECHNOLOGIES**

Publications in peer-reviewed high-impact journals

Patent applications and patents awarded in future and emerging technologies

**MARIE SKŁODOWSKA-CURIE ACTIONS**

Cross-sector and cross-border circulation of researchers, including Ph.D. candidates

**RESEARCH INFRASTRUCTURES**

Number of researchers with access to research infrastructures through EU support

**EUROPE'S INDUSTRIAL LEADERSHIP**

Number of patent applications and patents awarded

Share of firms introducing innovations new to a company or the market

Number of joint public-private publications

**ACCESS TO RISK FINANCE FOR INVESTING IN RESEARCH & INNOVATION**

Total investments via debt financing and venture capital investments

Number of organisations funded and amount of private funds leveraged

**INNOVATION IN SMES**

Growth and job creation in participating SMEs

Share of SMEs introducing new innovations

**SEVEN SOCIETAL CHALLENGES**

Number of joint public-private publications

Number of prototypes and testing activities

Patent applications and patents awarded

Publications in peer-reviewed high-impact journals

**SPREADING EXCELLENCE AND WIDENING PARTICIPATION**

**SCIENCE WITH AND FOR SOCIETY**

Share of research organisations implementing actions to promote responsible research and innovation

Evolution of publications in high-impact journals

**NON-NUCLEAR DIRECT ACTIONS OF THE JOINT RESEARCH CENTRE**

Number of occurrences of tangible specific impacts on European policies

Number of peer reviewed publications in high-impact journals

**THE EUROPEAN INSTITUTE OF INNOVATION AND TECHNOLOGY**

Organisations from universities, business and research integrated in knowledge and innovation communities

Collaboration inside the knowledge triangle leading to the development of innovative products, services and processes

**Key Performance Indicators** help the Commission to track progress towards Horizon 2020's 12 objectives. The main benefits include increased accountability and transparency. The Performance framework provides EU decision makers and citizens with a clear picture of the progress towards expected results to be achieved with the money invested at the EU level.

More information:
http://ec.europa.eu/research/participants/data/ref/h2020/legal_basis/fp/h2020-eu-establact_en.pdf
http://ec.europa.eu/research/participants/data/ref/h2020/legal_basis/sp/h2020-sp_en.pdf

# PROJECT EXAMPLES

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# ASGARD

**Building a long-lasting community
for law enforcement agencies**

The ASGARD (Analysis System for Gathered Raw Data) project aims to build a sustainable, long-lasting community for law enforcement agencies and research and development industries. This community will create, maintain and evolve a first-class tool set for the extraction, fusion, exchange and analysis of big data including cyber-offenses data for forensic investigation.

*http://cordis.europa.eu/project/rcn/203297_en.html*
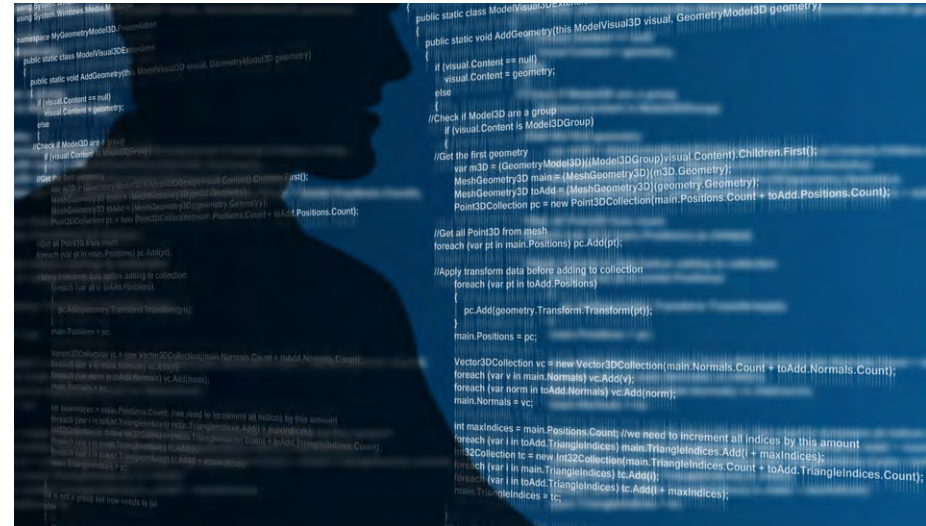
# SUNFISH

**Secure information sharing for the European
Digital Single Market**

The SUNFISH project (SecUre iNFormatIon SHaring in federated heterogeneous private clouds) aims to reduce the management cost of private clouds owned by public administrations and, beyond pure cost savings, to accelerate the transition to 21st century interoperable and scalable public services. The SUNFISH project will develop and integrate software enabling secure cloud federation as required by European public sector bodies.
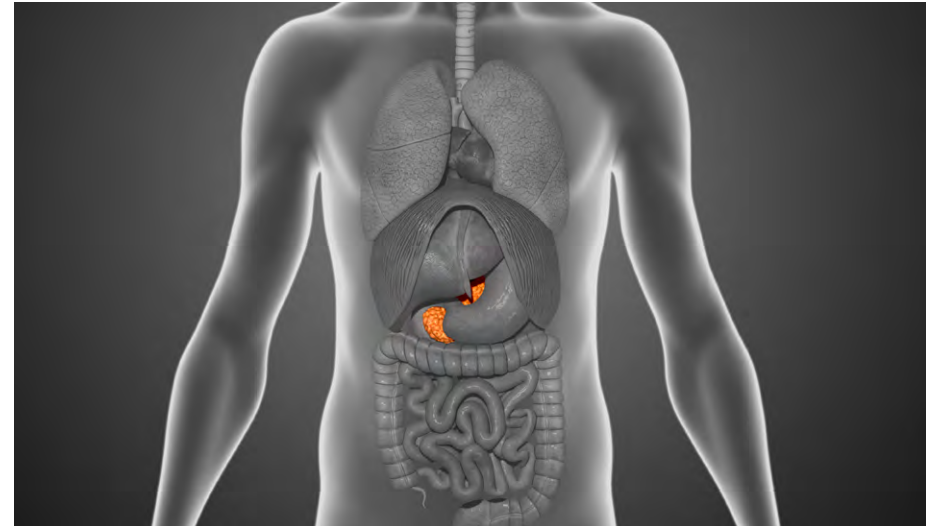
*http://www.sunfishproject.eu/tag/sunfish-project/*

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# PROMISE

## Opportunities and challenges for young people across Europe

This project will investigate how young people's responses to problems – often negative – create conflict, and how their responses could instead provide opportunities for positive social engagement. By addressing the experiences, values and attitudes of European young people seen to be in conflict with older generations, authorities and social norms, the project will get to the heart of barriers and create opportunities for social engagement.

*http://cordis.europa.eu/project/rcn/202648_en.html*

# IMMUNOVIA

## Immunovia, Swedish SME in the life science sector went to NASDAQ

The SME instrument provided a €4.2 million grant to Immunovia for the clinical validation of a serum protein biomarker signature for the early diagnosis of pancreatic cancer. The company has since been approved for the trading of shares on NASDAQ First North in Stockholm.

*http://immunovia.com/*

**PROJECT EXAMPLES**

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# IBSEN

### Quantities for social sciences

Social sciences must rely on data from experiments with very limited numbers of participants. The IBSEN project scans the fields of social psychology, sociology, economics, physics and mathematics of complex systems and computer science to take account of real world conditions to create predictive models from large-scale experiments using a viable global societal simulation tool.

*http://ibsen-h2020.eu*

# PEAKAPP

### ICT solutions for energy markets and end-users

PEAKapp aims to develop and validate innovative ICT-based systems connecting energy markets with end-users. The focus will be on achieving energy savings through behavioural change. The solution will also enable an increase in the consumption of renewable and low-priced electricity from the spot market using a dynamic electricity tariff. Validation under real life conditions in social housing will be carried out in Austria, Estonia, Sweden and Finland, involving 2,500 households.

*http://www.peakapp.eu/*
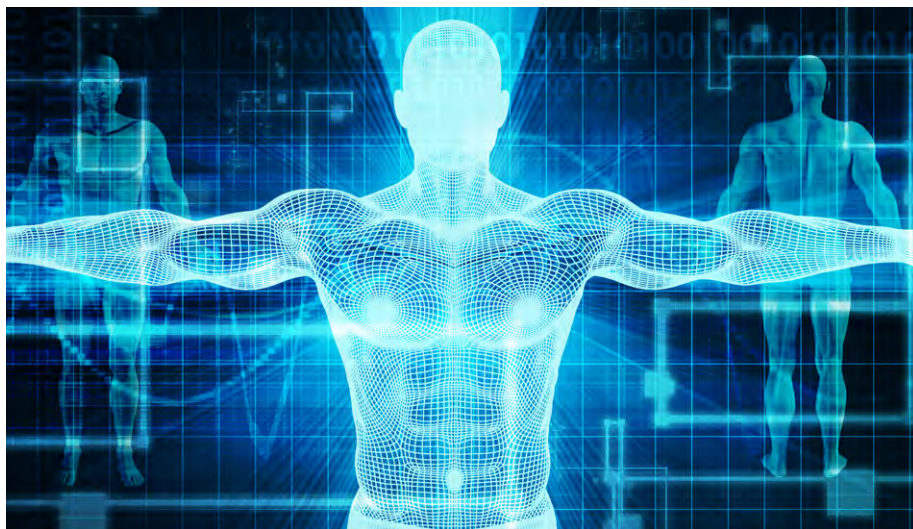
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# ELIXIR-EXCELERATE

**Accelerating the European life science infrastructure for biological information**

With 41 partners in 17 countries, this has been identified as one of the three highest-priority research infrastructures in Europe. The project coordinates and enhances existing resources into a world-leading data service for academia and industry, to improve knowledge-sharing capacity in bioinformatics.

*https://www.elixir-europe.org/news/elixir-accelerates-major-horizon-2020-funding*

# GRACE

**Evaluating the effectiveness of oil spill response methods**

This project will use novel observation technologies and integrated response methods to address the environmental impact of oil spills. The aim is for the results to be taken into account by the off-shore industry and oil spill response services.

*http://www.grace-oil-project.eu/en-US*

**PROJECT EXAMPLES**

# GLOSSARY

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 involved in 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 awarded funding 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 11.8% and has declined from 2014 to 2015. It should however be noted that this is mainly due to the strong increase in the number of submitted proposals, rather than less funding. At the same time, there is an increased interest from potential applicants in Horizon 2020, demonstrated by the fact that 49.0% of successful applicants were **newcomers** and the share is increasing.

**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 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 31 December 2015, there are thirteen 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 to 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 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** 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.

**Grants to named beneficiaries:** Most programme parts of Horizon 2020, have ad hoc calls to named beneficiaries. These calls have no deadline, and encompass projects in many different areas. These correspond to Identified beneficiary actions (in which the legal entities to be granted are listed in the adopted Work Programme) and Specific Grant Agreements (SGA) awarded in the context of Framework Partnership Agreements (FPA), establishing a long-term cooperation mechanism between the Commission/Agency and the beneficiaries of grants.

**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.

**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*

**GLOSSARY**