



# HORIZON 2020

**The New EU  
Framework Programme for  
Research and Innovation**

**2014-2020**

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# What is Horizon 2020

- **A core part of Europe 2020, Innovation Union & European Research Area:**
  - Responding to the **economic crisis** to invest in future jobs and growth
  - Addressing **people's concerns** about their livelihoods, safety and environment
  - Strengthening the **EU's global position in research, innovation and technology**
- **Initial Commission proposal for a €80 billion research and innovation funding programme (2014-2020); now just over €70 billion (79 billion in current prices including inflation)**

# Active involvement of stakeholders

- **EU Presidencies: Sweden** (societal challenges-based approach), **Spain** (integration of research and innovation), **Hungary** (FP7 interim evaluation), **Poland** (widening participation), **European Council conclusions** from 4.2.2011 (Common Framework to bring together all EU research and innovation funding)
- **European Parliament reports:** Merkies (Innovation Union), Audy (FP7 evaluation), Matias (Horizon 2020) and Carvalho (simplification)
- Overwhelming response to **the public consultation** on Horizon 2020 (more than 2000 contributions)
- **25 workshops on the content** of Horizon 2020

# What's 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** facing EU society, e.g. health, clean energy and transport
- **Simplified access**, for all companies, universities, institutes in all EU countries and beyond

\* The 7<sup>th</sup> Research Framework Programme (**FP7**), innovation aspects of Competitiveness and Innovation Framework Programme (**CIP**), EU contribution to the European Institute of Innovation and Technology (**EIT**)

# Three priorities



# Priority 1. Excellent science

Proposed funding (€ million, 2014-2020)\*

<b><i>European Research Council (ERC)</i></b> Frontier research by the best individual teams	<b>13 095</b>
<b><i>Future and Emerging Technologies</i></b> Collaborative research to open new fields of innovation	<b>2 696</b>
<b><i>Marie Skłodowska-Curie actions (MSCA)</i></b> Opportunities for training and career development	<b>6 162</b>
<b><i>Research infrastructures (including e-infrastructure)</i></b> Ensuring access to world-class facilities	<b>2 488</b>

\* All funding figures in this presentation are subject to the pending Multiannual Financial Framework Regulation by the EP and the Council

## Priority 2. Industrial leadership

Proposed funding (€ million, 2014-2020)

<p><b><i>Leadership in enabling and industrial technologies (LEITs)</i></b> (ICT, nanotechnologies, materials, biotechnology, manufacturing, space)</p>	<b>13 557</b>
<p><b><i>Access to risk finance</i></b> Leveraging private finance and venture capital for research and innovation</p>	<b>2 842</b>
<p><b><i>Innovation in SMEs</i></b> Fostering all forms of innovation in all types of SMEs</p>	<b>616</b> + complemented by expected 20% of budget of societal challenges + LEITs and <b>'Access to risk finance'</b> with strong SME focus

# Priority 3. Societal challenges

Proposed funding (€ million, 2014-2020)

<b>Health, demographic change and wellbeing</b>	<b>7 472</b>
<b>Food security, sustainable agriculture and forestry, marine and maritime and inland water research and the Bioeconomy</b>	<b>3 851</b>
<b>Secure, clean and efficient energy *</b>	<b>5 931</b>
<b>Smart, green and integrated transport</b>	<b>6 339</b>
<b>Climate action, environment, resource efficiency and raw materials</b>	<b>3 081</b>
<b>Inclusive, innovative and reflective societies</b>	<b>1 310</b>
<b>Secure societies</b>	<b>1 695</b>
<i>Science with and for society</i>	462
<i>Spreading excellence and widening participation</i>	816

\* Additional funding for nuclear safety and security from the Euratom Treaty activities (2014-2018)



# Horizon 2020 and partnering

## Public-private partnerships (PPPs):

- Through Joint Technology Initiatives or other formal structures (Art. 187)
- Through contractual agreements, which provide inputs for work programmes
- Only when criteria met, e.g. clear commitments from private partners

## Public-public partnerships (P2Ps):

- Through « ERA-Nets » for topping up individual calls/actions (replacing current ERA-Net, ERA-Net Plus, Inco-Net, Inno-net)
- Through participation in joint programmes between Member States (Art. 185)
- Supporting agendas of Joint Programming Initiatives when in line with Horizon 2020
- Only when criteria met, e.g. financial commitments of participating countries

## European Innovation Partnerships (EIPs):

- Not funding instruments, but for coordination with broader policies and programmes

# Innovation Investment Package

## €22 billion Innovation Investment Package

### Joint Technology Initiatives (under Article 187)

- Innovative Medicines Initiative 2 (IMI2)
- Clean Sky (Aeronautics) 2 (CS2)
- Fuel Cell and Hydrogen 2 (FCH2)
- Bio-based Industries (BBI)
- Electronic components and systems (ECSEL)

### Joint programmes (under Article 185)

- European and Developing Countries Clinical Trials Partnership (EDCTP) 2
- European Metrology Research Programme 2
- Eurostars (for SMEs) 2
- Active and Assisted Living 2

# Public-public partnerships (P2Ps)

**SEAS-Era:** Towards Integrated European Marine Research Strategy and Programmes (Eranet) - develop **a coordination structure** of MS marine research programmes sustainable at the long term with the major goal of **developing and implementing common research strategies** related to the EU basins

**BONUS+/Bonus-185** : Multilateral call for research projects (Eranet+) / Joint Baltic Sea Research Programme. Adopted in July 2010 (Article 185)

**JPI Oceans:** Joint Programming Initiative for “Healthy and Productive Seas and Oceans ”

# Role of the EIT and JRC in Horizon 2020

	<i>Proposed funding (€ million, 2014-2020)</i>
<b><i>European Institute of Innovation &amp; Technology (EIT)</i></b> Combining research, innovation & training in knowledge and Innovation Communities	<b>2 711</b>
<b><i>Joint Research Centre (JRC)*</i></b> Providing a robust, evidence base for EU policies	<b>1 903</b>

\* Additional funding for the JRC for Euratom Treaty activities

# Simplification - Rules for Participation

## 1. A single set of rules:

- ✓ Adapted for the whole research and innovation cycle
- ✓ Covering all research programmes and funding bodies
- ✓ Aligned to the Financial Regulation, coherent with other new EU Programmes

## 2. One project – one funding rate

- ✓ Maximum of 100% of the total eligible costs (except for innovation and demonstration actions, where a 70% maximum will apply for profit making entities)
- ✓ Indirect eligible costs: a flat rate of **25% of direct eligible costs**

## 3. Simple evaluation criteria

- ✓ Excellence – Impact – Implementation (Excellence only, for the ERC)

## 4. New forms of funding aimed at innovation

- ✓ pre-commercial procurement, inducement prizes, dedicated loan and equity instruments

## 5. International participation

- ✓ facilitated but better protecting EU interests

# Simplification - Rules for Participation

## 6. Simpler rules for grants

- ✓ broader acceptance of participants accounting practices for direct costs, flat rate for indirect costs, no time-sheets for personnel working full time on a project, possibility of output-based grants

## 7. Fewer, better targeted controls and audits

- ✓ Lowest possible level of requirements for submission of audit certificates without undermining sound financial management
- ✓ Audit strategy focused on risk and fraud prevention

## 8. Improved rules on intellectual property

- ✓ Balance between legal security and flexibility
- ✓ Tailor-made IPR provisions for new forms of funding
- ✓ A new emphasis on open access to research publications

***Beyond the Rules: further simplified provisions in the Grant Agreement and implementing procedures to facilitate access to Horizon 2020 (e.g. common IT platform).***



# RESEARCH & INNOVATION

## Participant Portal



European Commission > Research & Innovation > Participant Portal > Home

HOME

FUNDING OPPORTUNITIES

HOW TO PARTICIPATE

EXPERTS

SUPPORT



LOGIN



REGISTER

## Welcome to the Research and Innovation Participant Portal

### About the Participant Portal:

The Participant Portal is your entry point for the electronic administration of EU-funded research and innovation projects. It hosts services for managing proposals and projects throughout their lifecycle.

The Participant Portal supports activities funded mainly by the following EU programmes:

- **7th Framework Programme for Research and Technological Development (FP7)**
- **Competiveness and Innovation Framework Programme (CIP)**

### Using the Participant Portal:

**As a guest user**, browse the public pages to:

- search for funding opportunities
- download guidance and legal documents
- search for the participant identification code (PIC) of an organisation
- contact the FP7 support services and browse the FAQ for guidance on the Participant Portal tools

**As a registered user**, benefit from personalised services for proposal submission, negotiation, and project management.



WHATS NEW



FUNDING OPPORTUNITIES



HOW TO PARTICIPATE?



WORK AS AN EXPERT



ACCESS MY PERSONAL AREA



INFORMATION AND SUPPORT

RESEARCH ON EUROPA CORDIS OLAF



# Simplification: summary

- **Single set of** simpler and more coherent participation **rules**
- New **balance between trust and control**
- Moving from several **funding rates** for different beneficiaries and activities to **just two**
- Replacing the four methods to calculate overhead or «indirect costs» with a **single flat rate**
- Major simplification under the **forthcoming financial regulation**
- **Successful applicants to get working more quickly:** time-to-grant of **8 months**; exceptions for the ERC and in duly justified cases
- **No negotiation of the grant agreement in future, what is submitted will be evaluated. Potential participants must now be aware of this.**



# Forms of funding

- **Grants**

- Direct financial contribution by way of donation in order to finance an action

- **Prizes**

- Financial contribution given as reward following a contest  
(recognition or inducement prizes)

- **Procurement**

- Supply of assets, execution of works or provision of services against payment

- **Financial instruments**

- Equity or quasi-equity investments; loans; guarantees; other risk-sharing instruments

# Types of actions supported by grants

- Research and innovation actions
- Innovation actions (prototyping, testing, demonstrating, piloting, large-scale product validation and market replication).
- Coordination and support actions
- SME instrument
- ERANET Co-fund
- Pre-commercial procurement (PCP) Co-fund
- Public procurement of innovative solutions (PPI) Co-fund

# Contributing to the European Research Area (ERA)

- ERA framework proposal in 2012 to create a single market for knowledge research and innovation
- Complemented by Horizon 2020:
  - ✓ Boosting support to ERA priorities – mobility, infrastructures, knowledge transfer, policy learning
  - ✓ Stronger partnerships with Member States and private sector to invest more efficiently
  - ✓ Taking account of gender, ethical issues, researcher careers and mobility open access to results

# Strong participation by SMEs

- **Integrated approach** - around 20% of the total budget for societal challenges and LEITs to go to SMEs
- **Simplification** of particular benefit to SMEs (e.g. single entry point)
- A **new SME instrument (SBIR model)** will be used across all societal challenges as well as for the LEITs
- A dedicated activity for research-intensive SMEs in **'Innovation in SMEs'**
- **'Access to risk finance'** will have a strong SME focus (debt and equity facility)

# Socio-economic sciences and humanities (SSH)

- **Integrated approach:** SSH included as an integral part of the activities, working beyond 'silos' (e.g. understanding the determinants of health and optimising the effectiveness of healthcare systems)
- The '**Inclusive and reflective societies**' challenge: issues such as smart and sustainable growth, social transformations, social innovation and creativity, the position of Europe as a global actor as well as the social dimension of a secure society (SSH have the tools to contribute to addressing security challenges, enhancing the societal dimension of security policy and research)
- **Bottom-up funding:** ERC, MSCA, Research Infrastructures

# Widening participation

- **Principle of excellence:** continue to allocate funding on the basis of competitive calls, selecting only the best projects
- **Clear division of labour** between cohesion policy and Horizon 2020
  - ✓ Cohesion policy: support for regions in building up their research and innovation capacity
  - ✓ Horizon 2020: widen participation, better coordination between the two Union funding programmes, support policy learning reforms
- **Accompanying measures in Horizon 2020** to ensure that excellence prevails wherever it exists, including: twinning, ERA chairs, support for access to international networks, development of smart specialisation strategies

# International cooperation

- **International cooperation is crucial** to address many Horizon 2020 objectives
- **Principle of general openness:** the programme will remain to be the most open funding programme in the world
- Horizon 2020 shall be open to the **association of:** acceding countries, candidate countries and potential candidates and selected international partner countries that fulfil the relevant criteria (capacity, track record, close economic and geographical links to the Union, etc.)
- Targeted actions to be implemented taking **a strategic approach to international cooperation** (dedicated measures in the 'Inclusive, innovative and secure societies' challenge)

# International cooperation: The Atlantic Ocean Research Alliance



**Launched in May 2013 (Galway Statement) under Irish Presidency with Commissioners Geoghegan-Quinn & Damanaki**

**Goal:** To better understand the Atlantic Ocean and to promote the sustainable management of its resources. The work will also study the interplay of the Atlantic Ocean with the Arctic Ocean, particularly with regards to climate change.



# EURATOM

**Budget:** €939 million to support indirect research actions in nuclear fission, radiation protection and fusion activities

**Duration of the Programme** - 5 years, in line with the Euratom Treaty

## What is new?

- Euratom Programme complements Horizon 2020 and addresses the same key challenges;
- The same rules for participation apply to Horizon 2020 and Euratom Programme;
- A streamlined fusion research programme focusing on the implementation of the fusion roadmap;
- A single regulation instead of four separate decisions during FP7

# Next steps

- **Formal political decisions on Horizon 2020** *Autumn 2013*
- **Formal political decision on Multi-annual financial framework (2014-2020)** *Autumn 2013*
- **Adoption of work programme and publication of first calls for proposals** *11 December 2013  
(several deadlines)*
- **Horizon 2020 national launch events** *October to January 2014*



# HORIZON 2020

**Muito obrigada pela vossa atenção!**

**Horizonte 2020:**  
[www.ec.europa/research/horizon2020](http://www.ec.europa/research/horizon2020)