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Commission

# HORIZON 2020

*First results*



Research and  
Innovation



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EUROPEAN COMMISSION

# **Horizon 2020**

## First results

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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.

Foreword

Introduction

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2 SUCCESS RATES

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Project Examples

Glossary

This publication presents the results of Horizon 2020's first 100 calls for proposals<sup>1</sup>, 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**.

<sup>1</sup> 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.



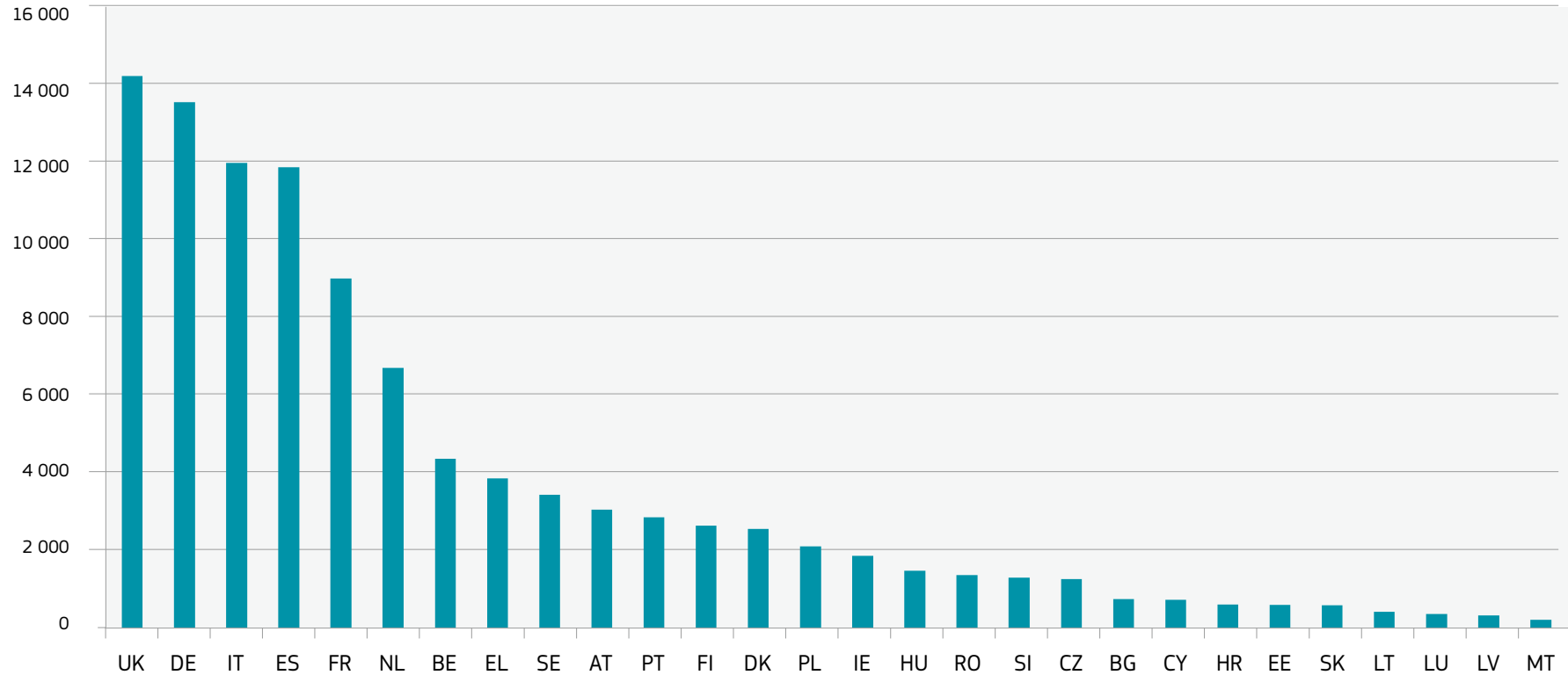
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# APPLICATIONS

## How many applications have been received?

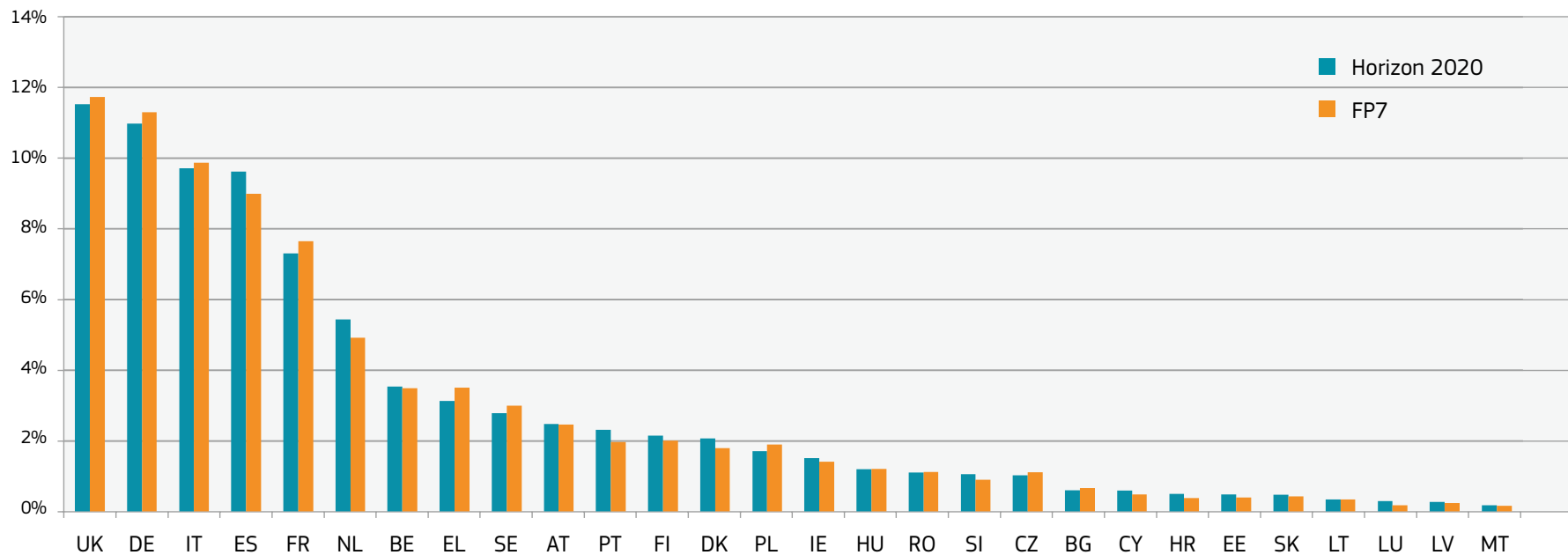
Number of eligible applications to Horizon 2020 per EU Member State



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

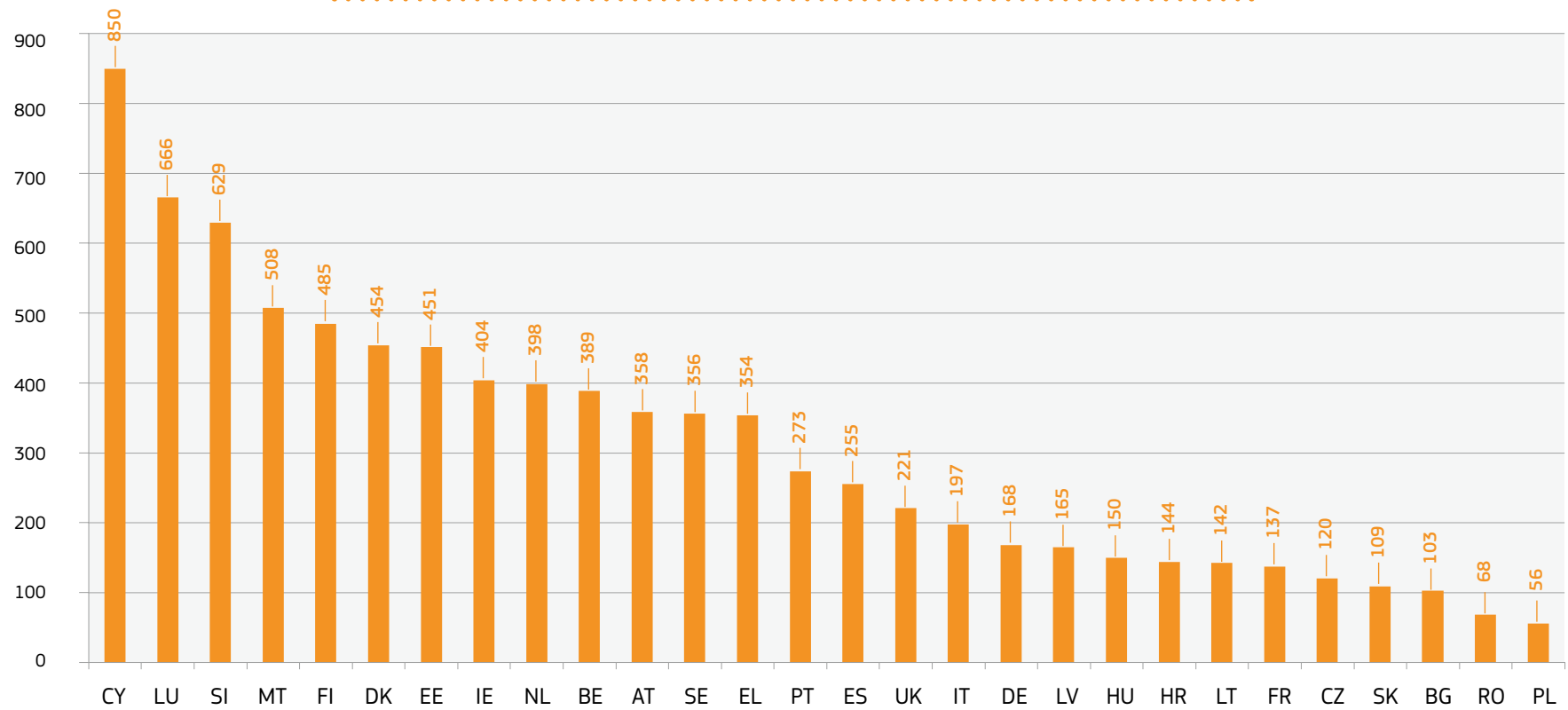


So far, the majority of Member States have increased their share of eligible applications compared to the Seventh Framework Programme (FP7). This demonstrates that the efforts to make Horizon 2020 more attractive, particularly to newcomers and to a wider range of participants, are working.

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

## What is the rate of applications by country?

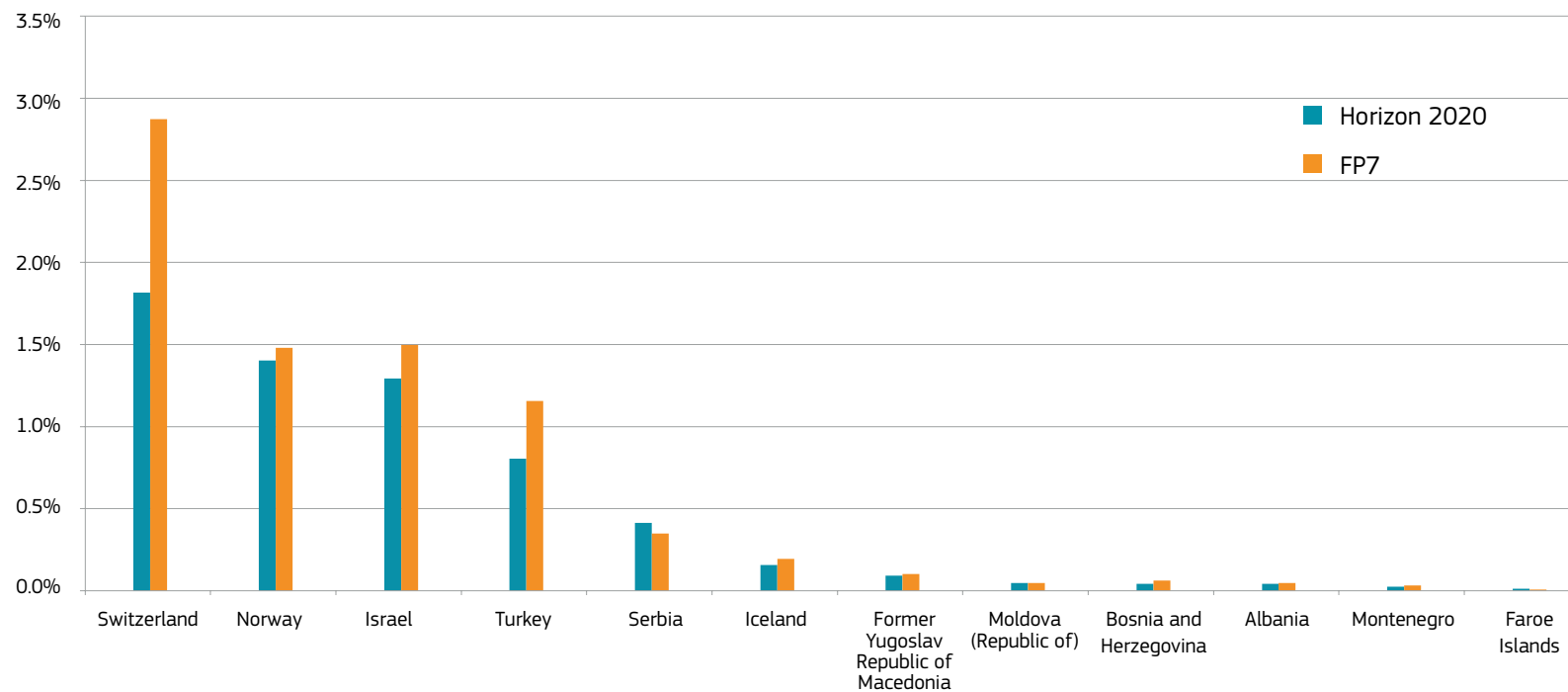
Number of eligible applications to Horizon 2020 per capita



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

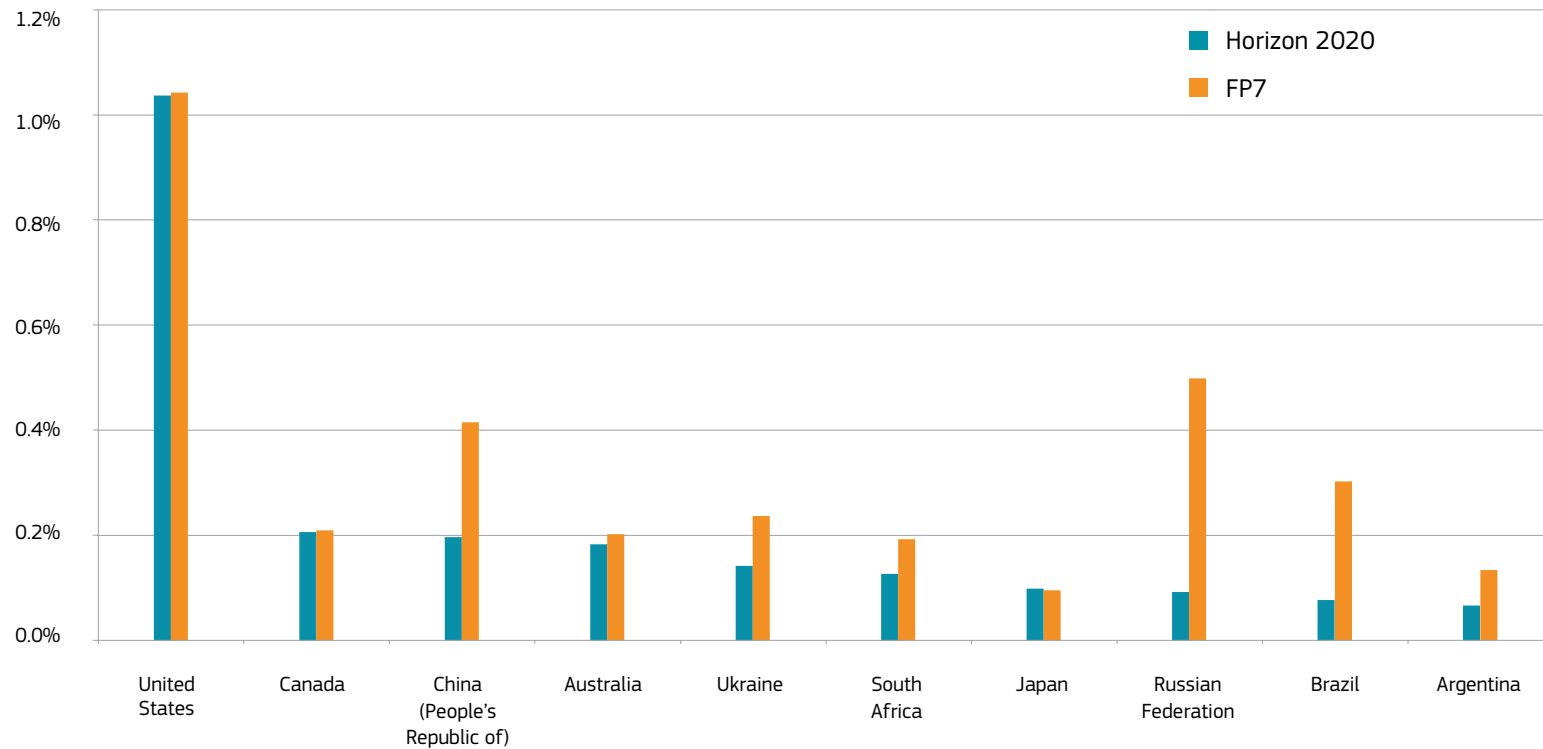


This graphic shows the results for the 12 countries Associated to Horizon 2020. More information on the status of Switzerland can be found at: <http://bit.ly/H2020Switzerland>

*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.

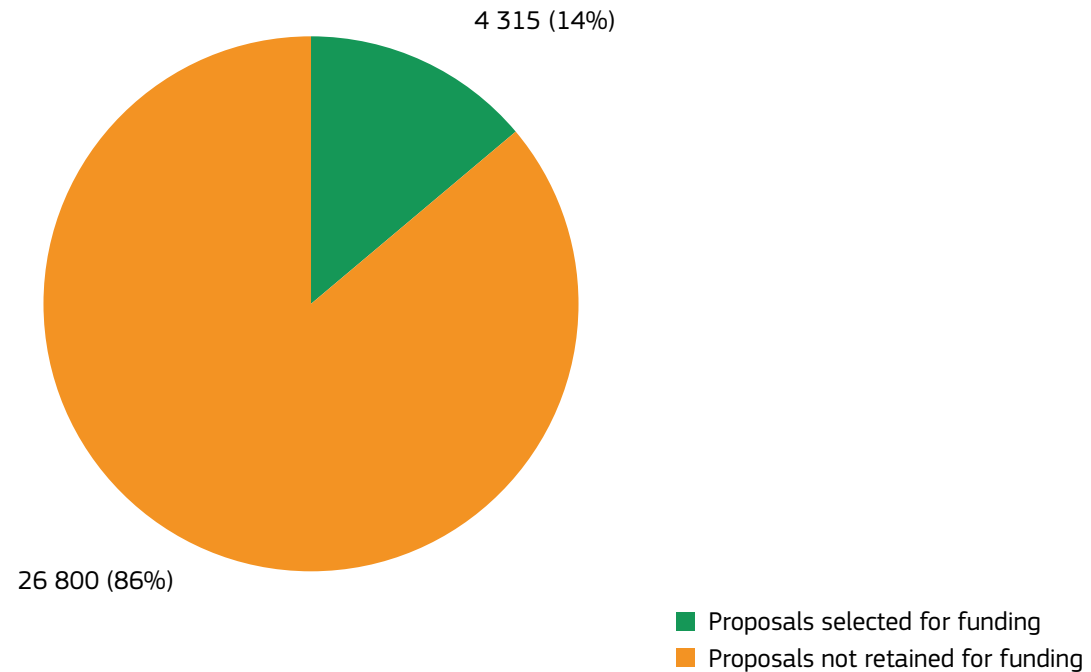
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# SUCCESS RATES

## What percentage of proposals received funding?

Success rate of eligible full proposals to Horizon 2020

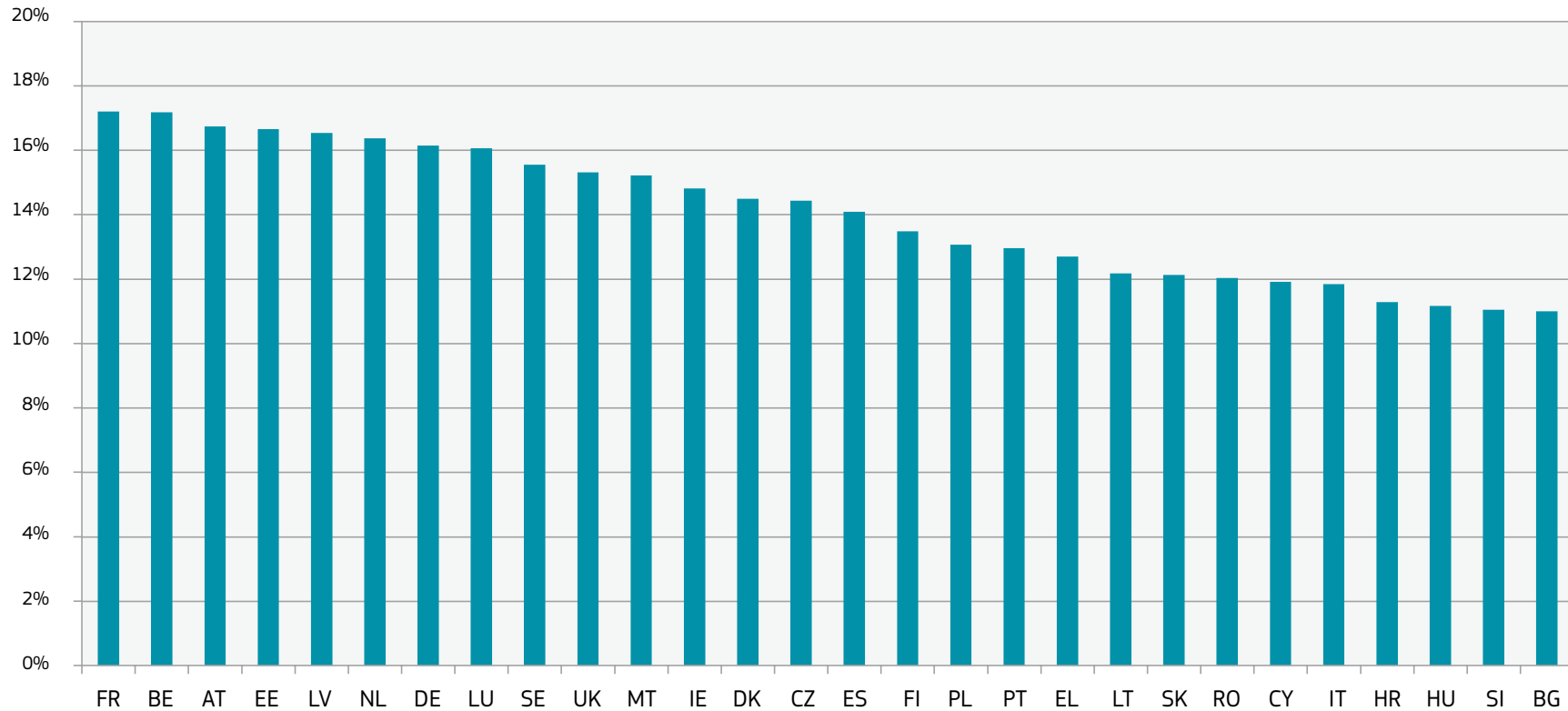


This chart concerns the 31 115 full proposals that were received, comprising 29 794 full proposals in single-stage calls and 1 321 full proposals in the second stage of the two-stage calls. Around 14% of full proposals were selected for funding, a success rate which reflects the very high number of eligible 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?

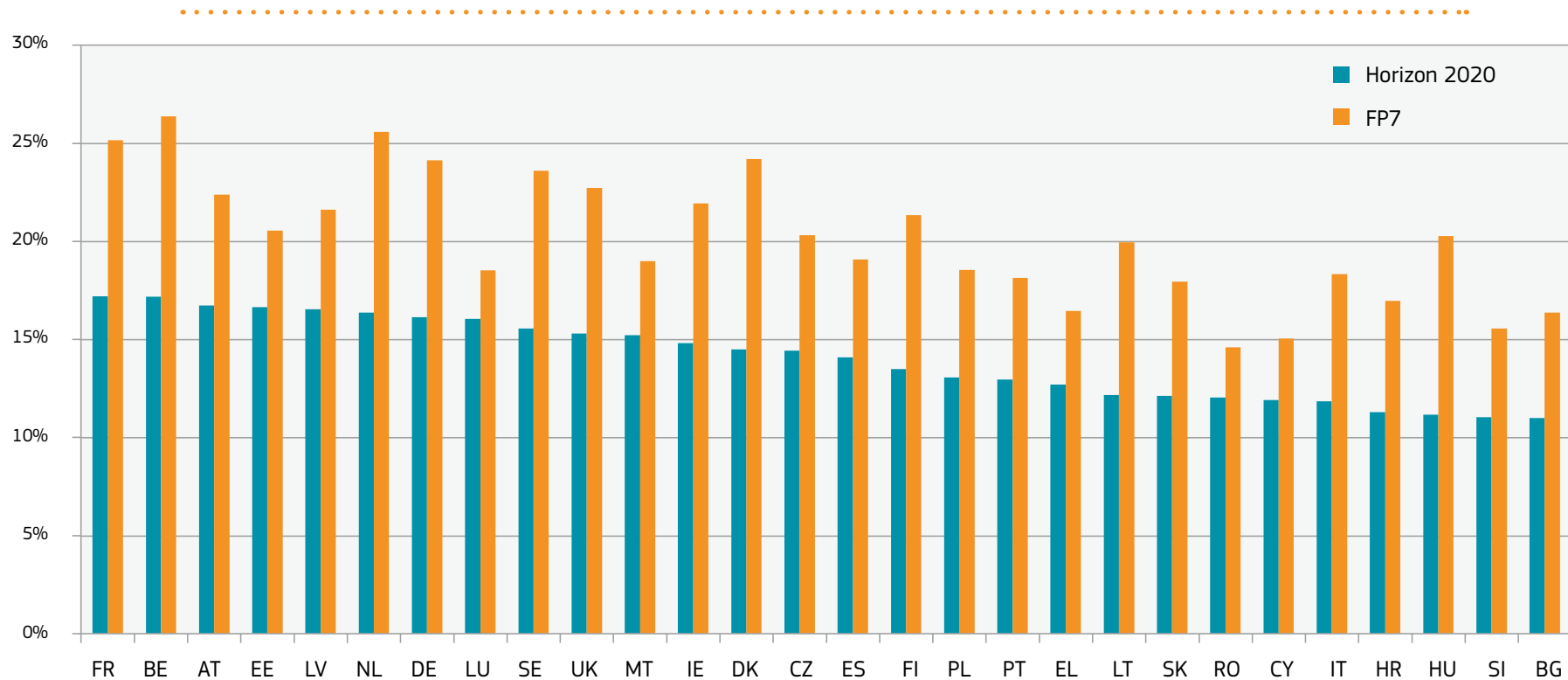
Success rates for applications to Horizon 2020 per EU Member State



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?

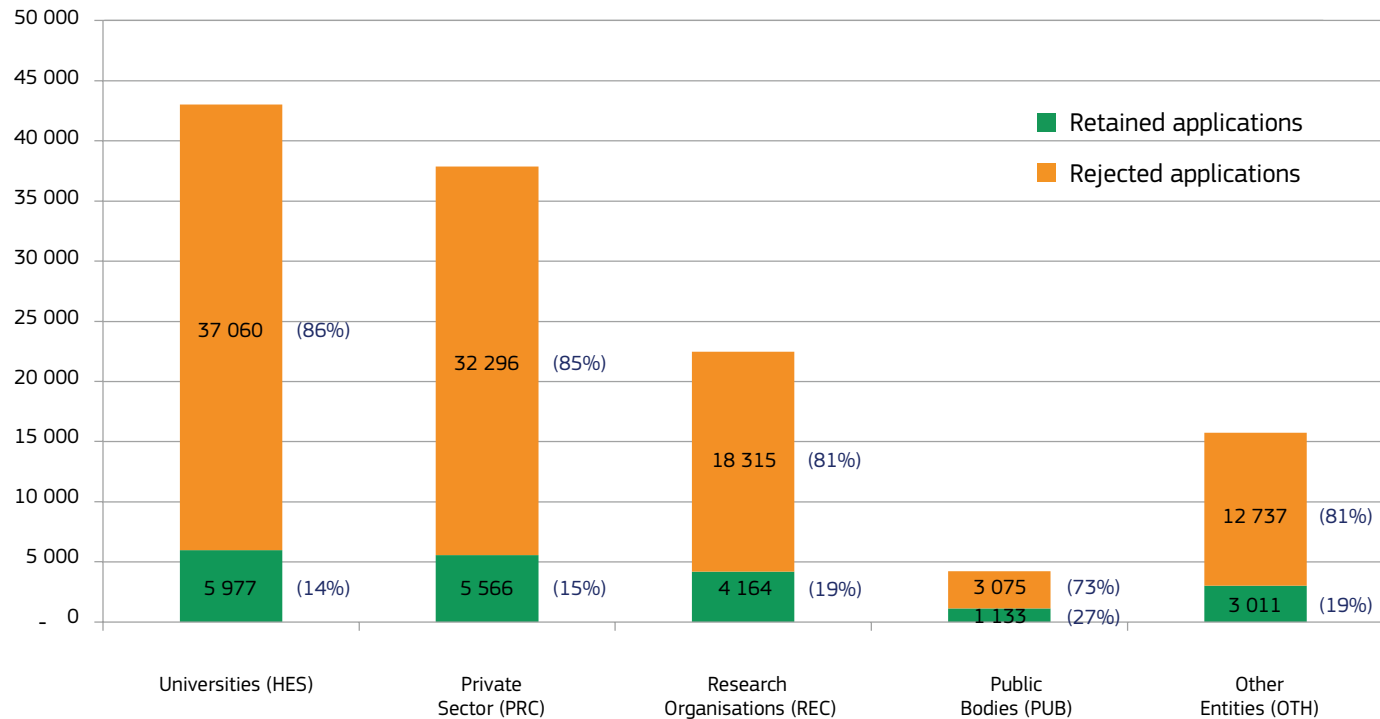
Success rate as percentage of eligible applications: Horizon 2020 compared with FP7



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.

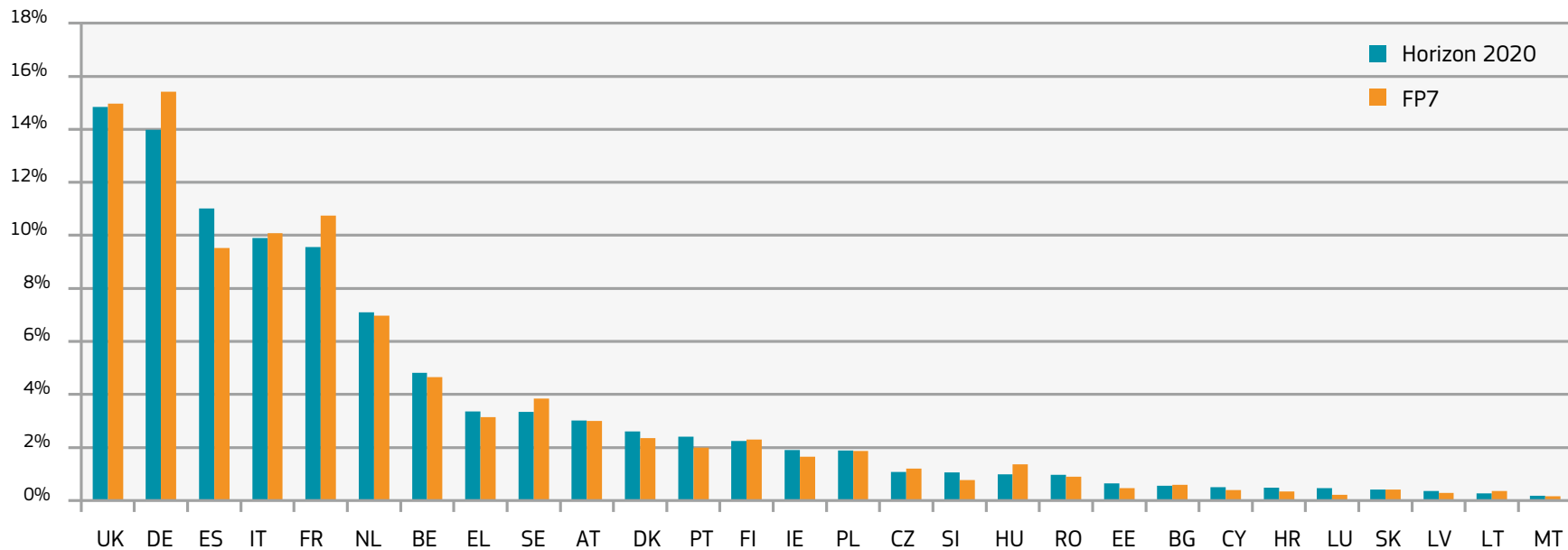
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**SIGNED GRANT  
AGREEMENTS**

## 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

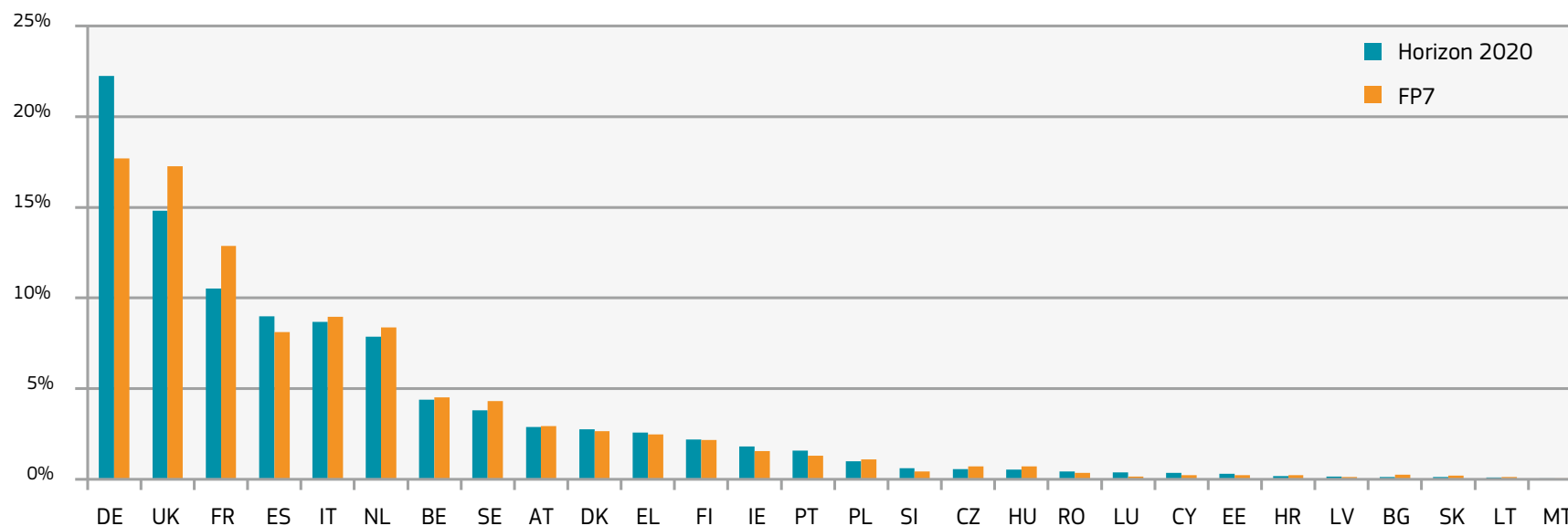


The majority of Member States have increased their share of participations in signed grant agreements so far under Horizon 2020.

*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

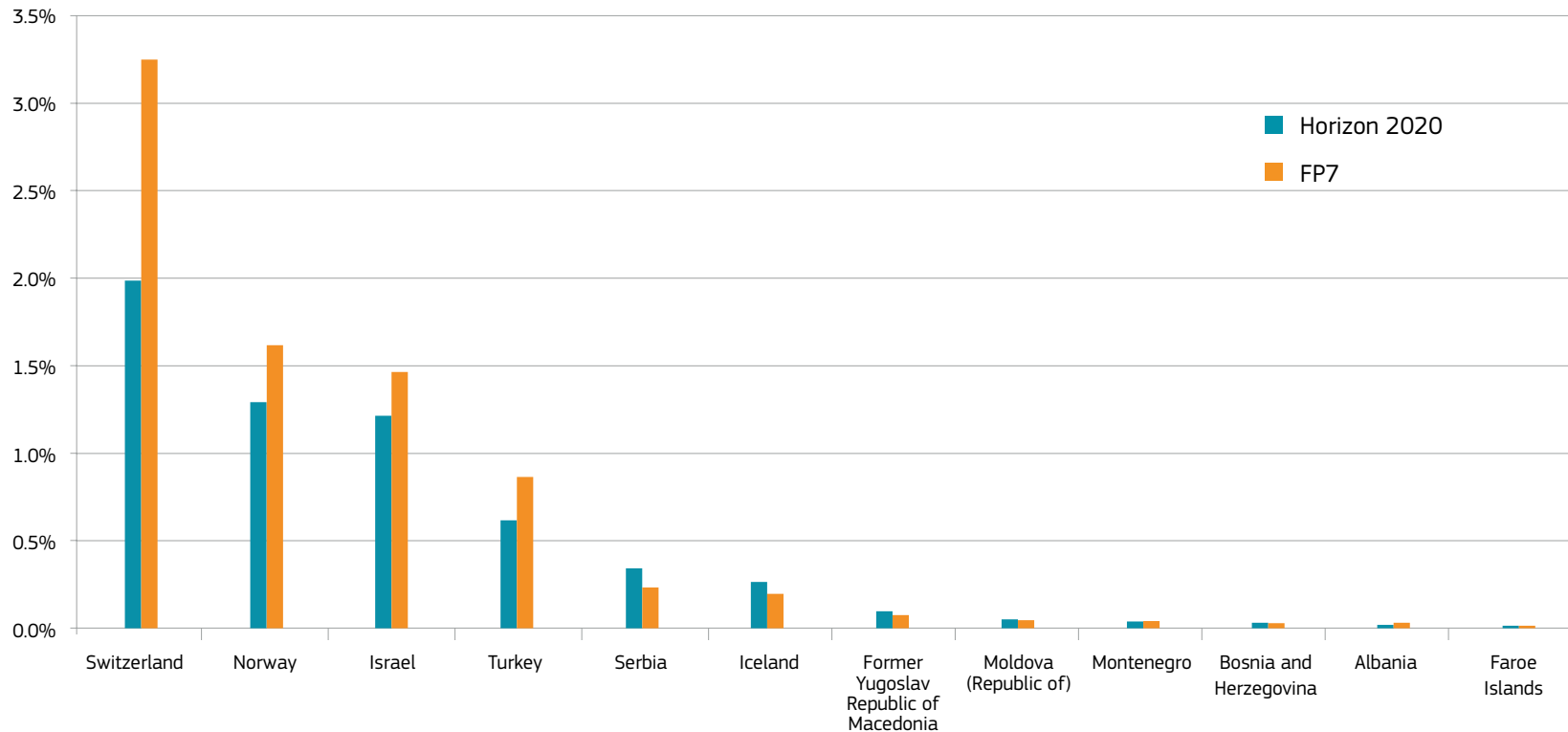


The EU financial contribution received for each participation is dependent on many factors, including the size of the project, the different roles in the project and differing local costs associated with participating. This is why each Member State's share of the participations in signed grant agreements 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?

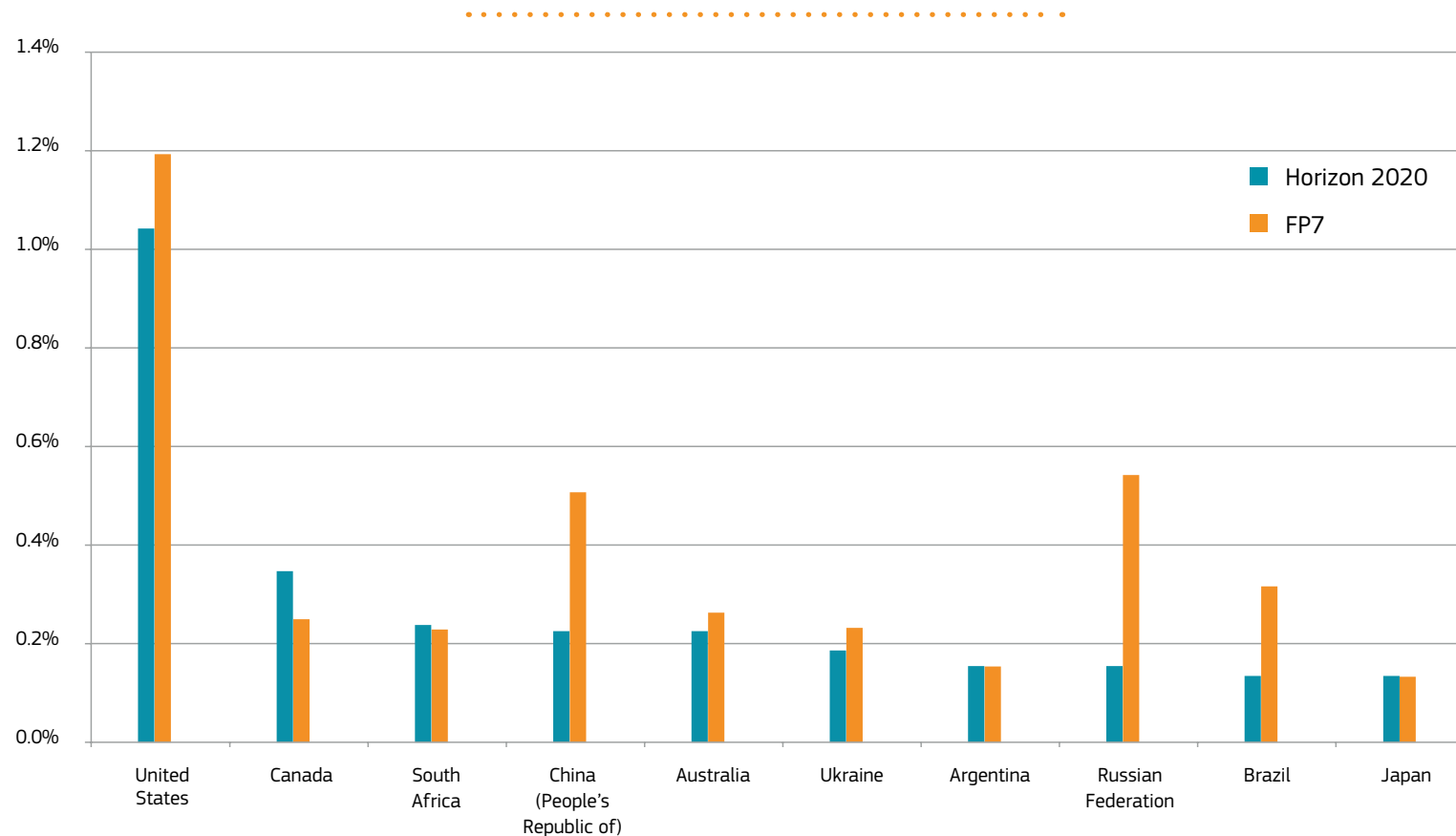
Share of participations in signed grant agreements per Associated country: Horizon 2020 compared with FP7



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

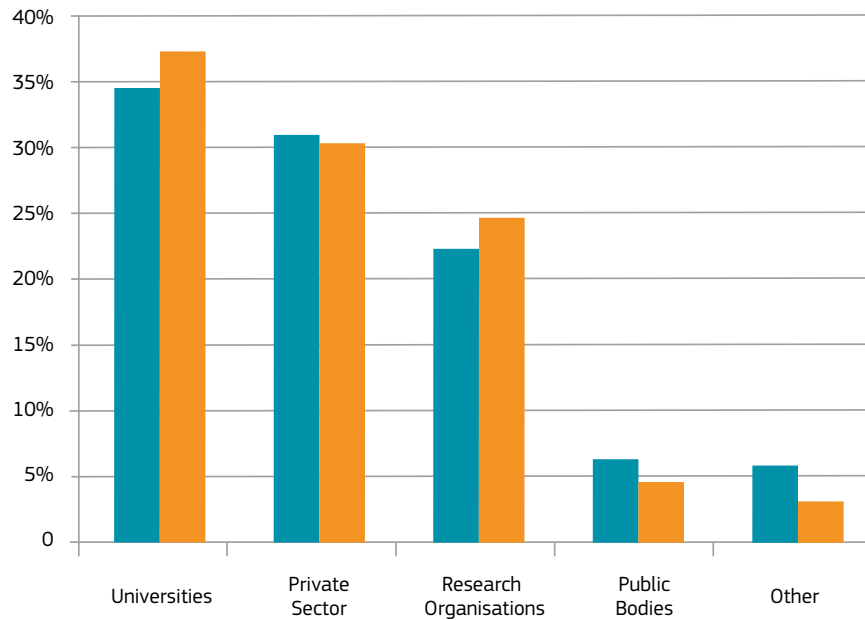


This chart shows the share of participations in grant agreements from the ten countries from the rest of the world (neither EU Member States nor Associated countries) that have performed best so far in Horizon 2020. Altogether there are participations in signed grant agreements from 73 different countries,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

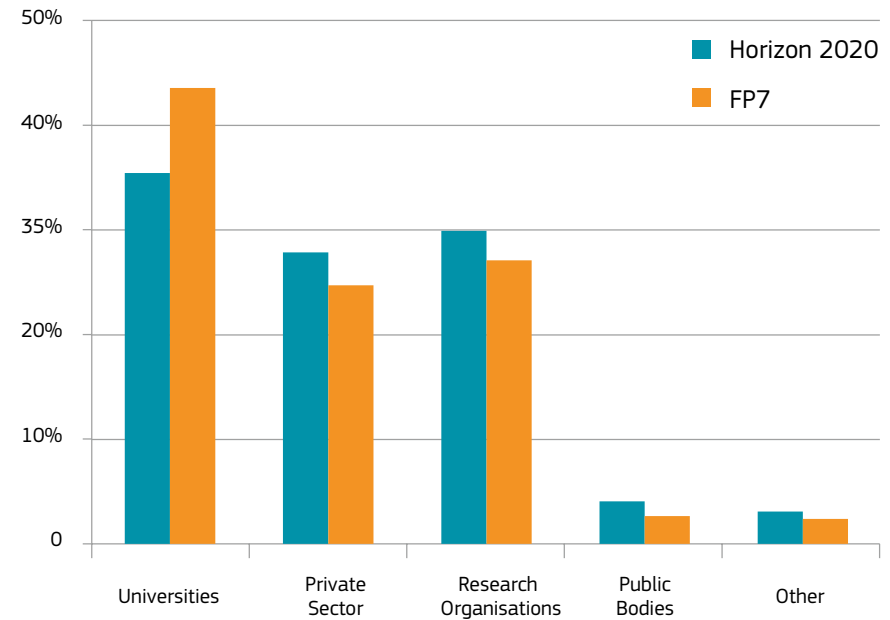


## How did different types of organisations fare in terms of grant agreements?

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.