

## Infomail

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**Topic:** Adoption of Horizon 2020 and publication of the Horizon 2020 Work Programmes  
**Date:** 11 December 2013  
**To:** SERI, Euresearch, SNSF, Swiss Academies, CRUS, KFH, ETH Board, CTI, CUS  
**From:** Martin Müller (European Advisor for Research)

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## Introduction

On 3 December 2013, the **Competitiveness Council adopted Horizon 2020**. This closes the negotiation rounds with the European Parliament (EP) and the European Commission (EC), **paving the way for the publication of the Horizon 2020 Work Programmes and the launch of the first calls for proposals**. Indeed, the EC adopted the Work Programmes on 10 December 2013 and published them, along with the final texts, guidelines and specific manuals for prizes and grants on the participant portal on 11 December 2013.

Horizon will receive €77 billion in 2011 current prices (€79 with Euratom). This represents a 13% decrease from the original proposal of the EC. Most importantly, it is specified in the General Annex of the work programme that **"all countries associated to the Seventh Framework Programme will in principle be associated to Horizon 2020 by the time the first grant agreements under Horizon 2020 are signed"**, with a list of associated countries that includes Switzerland in the footnote. This implies that applicants from Swiss institutions can start forming consortia and actively prepare their preparations to the first calls for proposals. First calls close in March 2014 already.

In parallel to the adoption of Horizon 2020 and the publication of the work programmes, fifteen Advisory Groups have been set up, with the role of supporting and advising the EC on designing subsequent bi-annual Work Programmes.

## Main changes in Horizon 2020 compromise

The text adopted follows the compromise reached between the EP and the Council in September and is built on the following elements:

- Two specific objectives, namely **'Spreading excellence and widening participation'** and **'Science with and for Society'**, were added to three priorities 'Excellent science', 'Industrial leadership' and 'Societal challenges' that compose Horizon 2020.
- Horizon 2020 will be implemented mostly through **Research and Innovation Actions** (RIA) and **Innovation Actions** (IA). RIA and IA consist in collaborative projects that draw at least three participants from three different countries. The difference between RIA and IA is the closeness the project it to commercialisation or market application. Besides RIA and IA, Coordination and Support Actions (CSA) target coordination or networking activities and not research or innovation as such.
- A single funding model will be used in Horizon 2020 reimbursing **100% of the direct costs** and applying **a flat rate of 25%** of the direct costs for indirect costs. For for-profit organisations participating in IA, only 70% of the direct costs will be funded.

- For **large research infrastructures**, defined as combining more than €20 million in historical assets, parts of the indirect costs can be declared as direct costs and thus be fully reimbursed. Specific guidelines are provided in the Model Grant Agreement (MGA).
- Dedicated instruments such as individual grants for Principal Investigators (PI) in the European Research Council (ERC) scheme or fellowships for Marie Skłodowska-Curie Actions will also continue to exist. Cofund actions implement ERA-NET and Public Commercial Procurement (PCP) and Public Procurement for Innovative Solutions (PPI).
- The **'time-to-grant' has been strictly limited to eight months** for all actions in Horizon 2020 with an exception for the ERC. Of these eight months, five concern the evaluation and three the negotiation phase. For two stage evaluation procedures, the time limitation starts after the second submission deadline.
- A **'Fast-Track to Innovation'** instrument has been added to the original proposal of the EC. This new instrument will target applicants from the industry and Small- and Medium Sized Enterprises (SME). The instrument will be introduced as a pilot in 2015.
- The **European Institute for Innovation and Technology (EIT)** is a central part of Horizon 2020. Decision has been taken in the final compromise to launch five new Knowledge and Innovation Communities (KIC) in two waves. The 'Healthy living and active ageing' and 'Raw materials' KIC will be launched in 2014, followed by 'Food4future' and 'Added value manufacturing' in 2016. Finally, the last KIC 'Urban mobility' will be launched in 2018.
- **Open Access (OA)** to publications will be the rule in Horizon 2020 and applicants can claim funding for its costs. Pilots for OA to data will be introduced as a pilot in specific areas of Horizon 2020, notably within the Future and Emerging Technologies (FET) schemes.
- The description of the calls is much broader than in the previous framework programme and calls for much more interdisciplinary. This may result **in a more difficult evaluation process**.

#### Actions to come with regards to Horizon 2020

- Work will continue towards **the finalising of the annotated MGA** with members of the member states expert group meeting in January, February and March.
- The **Public-Private Partnerships (PPP)** and **Public-Public Partnerships (P2P)**, which have strong links with Horizon 2020, have been agreed upon by the Competitiveness Council on 3 December. **The EP still needs to adopt the P2P in Plenary, which should happen in March 2014.**
- Now that Horizon 2020 has been formally adopted, **Programme Committees** will be set up. The committees will give an opinion on the part of the work programme for 2015.

#### Links

Council press release:

[http://www.consilium.europa.eu/uedocs/cms\\_Data/docs/pressdata/en/intm/139875.pdf](http://www.consilium.europa.eu/uedocs/cms_Data/docs/pressdata/en/intm/139875.pdf)

Horizon 2020 reference documents:

[http://ec.europa.eu/research/participants/portal/desktop/en/funding/reference\\_docs.html](http://ec.europa.eu/research/participants/portal/desktop/en/funding/reference_docs.html)

List of Horizon 2020 Advisory Groups:

[http://ec.europa.eu/research/horizon2020/index\\_en.cfm?pg=h2020-experts](http://ec.europa.eu/research/horizon2020/index_en.cfm?pg=h2020-experts)

## Budgetary allocations and structure of Horizon 2020

<b>FRAMEWORK PROGRAMME FOR RESEARCH AND INNOVATION (HORIZON 2020) (article 173 and 182 TFEU) €77bn</b>			
<b>PART (PRIORITY) I EXCELLENT SCIENCE €24.44 bn<sup>1</sup></b>	<b>PART (PRIORITY) II Industrial Leadership €17.02 bn</b>	<b>PART (PRIORITY) III SOCIETAL CHALLENGES €29.68 bn</b>	<b>PART IV NON-NUCLEAR ACTIONS OF JOINT RESEARCH CENTRE (JRC) €1.90bn</b>
<b>European Research Council (ERC) €13.09 bn:</b> 1. Starting Grant (StG) 2. Consolidator Grant (CoG) 3. Advanced Grant (AdG) 4. Proof of Concept (PoC) 5. Synergy Grants (SyG)	<b>Leadership in Enabling and Industrial Technologies (LEIT) €13.56 bn:</b> 1. ICT 2. nanotechnologies 3. advanced materials 4. biotechnology 5. advanced manufacturing and processing 6. space	1. health, demographic change and wellbeing €7.47 bn 2. food security, sustainable agriculture and forestry, marine and maritime and inland water research and bioeconomy €3.85 bn 3. secure, clean and efficient energy €5.93 bn 4. smart, green and integrated transport €6.33 bn 5. climate action, environment, resource efficiency and raw materials €3.08 bn 6. Europe in a changing world – inclusive, innovative and reflective societies €1.31 bn 7. secure societies – protecting freedom and security of Europe and its citizens €1.69 bn	Thematic areas: 1. towards an open and competitive economy 2. development of a low carbon society 3. sustainable management of natural resources 4. safety of food and consumer products 5. security and crisis management 6. reference materials and measurements
<b>Future Emerging Technologies (FET) €2.70 bn:</b> 1. FET Open 2. FET Proactive 3. FET Flagships	<b>Access to Risk Finance €2.84 bn:</b> 1. Debt Facility 2. Equity Facility 3. Capacity-Building in Technology Transfer		
<b>Marie Skłodowska-Curie Actions (MSCA) €6.16 bn:</b> 1. Initial Training Networks (ITN) 2. Individual Fellowships 3. Research and Innovation Staff Exchange (RISE) 4. COFUND	<b>Innovation in SME €0.62bn</b>		
<b>Research Infrastructures (RI) €2.49 bn:</b> 1. developing European RI for 2020 and beyond 2. fostering innovation potential of RI and their human resources 3. reinforcing European RI policy and international cooperation			
<b>SPECIFIC OBJECTIVE PART IIIa Spreading Excellence and Widening Participation (article 184) €0.82 bn</b>			
<b>SPECIFIC OBJECTIVE PART IIIb Science with and for Society €0.46 bn</b>			
<b>European Institute for Innovation and Technology (EIT) (article 173) €2.71 bn</b>			

<sup>1</sup> All budgets are indicated in 2011 current prices

### CROSSCUTTING ISSUES

- development and application of key enabling and industrial technologies as well as future and emerging technologies and to areas relating to bridging from discovery to market application
- cross-disciplinary and cross-sectoral research and innovation
- social and economic sciences and humanities
- climate change and sustainable development
- fostering the functioning and achievement of the ERA and of the Innovation Union
- framework conditions in support of the Innovation Union
- contributing to all relevant Europe 2020 flagship initiatives
- widening participation across the EU in research and innovation and helping to close the research and innovation divide in Europe
- international networks for excellent researchers and innovators such as European Cooperation in Science and Technology (COST)
- International cooperation with third countries and international organisations
- responsible research and innovation including gender
- SME involvement in research and innovation and the broader private sector participation
- enhancing the attractiveness of the research profession and to facilitating cross-border and cross-sector mobility of researchers

**Complementarity with other Union policies and programmes, including European Structural and Investment Funds (ESI), Common Agricultural Policy, Programme for the Competitiveness of Enterprises and SMEs (COSME), Erasmus+ and Life+**

**Complementarity to 185-Joint Programming Initiatives and 187-Joint Undertakings**

**Synergies with the European Structural and Investment Funds (ESI)**