

Procedure file

Basic information	
<p>COD - Ordinary legislative procedure (ex-codecision procedure) Regulation</p> <p>2011/0401(COD)</p>	Procedure completed
<p>Horizon 2020 framework programme for research and innovation 2014-2020</p> <p>Repealing Decision No 1982/2006/EC 2005/0043(COD)</p> <p>See also 2011/0399(COD)</p> <p>See also 2013/0232(COD)</p> <p>See also 2013/0233(COD)</p> <p>See also 2013/0242(COD)</p> <p>See also 2013/0243(COD)</p> <p>See also 2014/0228(NLE)</p> <p>See also 2014/0304(NLE)</p> <p>Amended by 2015/0009(COD)</p> <p>See also 2016/2147(INI)</p> <p>Repealed by 2018/0224(COD)</p>	
<p>Subject</p> <p>3.40.14 Industrial competitiveness</p> <p>3.50.01 European research area and policy</p> <p>3.50.02.01 EC, EU framework programme</p> <p>3.50.04 Innovation</p>	

Key players			
European Parliament	Committee responsible	Rapporteur	Appointed
	ITRE Industry, Research and Energy		17/01/2012
		S&D RIERA MADURELL Teresa	
		Shadow rapporteur	
		PPE EHLER Christian	
		ALDE JOHANSSON Kent	
		Verts/ALE LAMBERTS Philippe	
		ECR FORD Vicky	
	Committee for opinion	Rapporteur for opinion	Appointed
	AFET Foreign Affairs		04/09/2012
		S&D SOPHOCLEOUS Sophocles	
	DEVE Development		27/03/2012
	ALDE NEWTON DUNN Bill		
BUDG Budgets		02/07/2012	
	ALDE TORVALDS Nils		
EMPL Employment and Social Affairs	The committee decided not to give an opinion.		
ENVI Environment, Public Health and Food Safety		20/01/2012	
	ALDE BUȘOI Cristian-Silviu		
TRAN Transport and Tourism		19/12/2011	
	ALDE GRIESBECK Nathalie		

	REGI Regional Development		26/01/2012
		ECR VLASÁK Oldřich	
	AGRI Agriculture and Rural Development		20/12/2011
		PPE KALNIETE Sandra	
	PECH Fisheries		20/12/2011
		PPE TSOUKALAS Ioannis A.	
	CULT Culture and Education		31/01/2012
	ECR MCCLARKIN Emma		
JURI Legal Affairs		19/12/2011	
	PPE BORYS Piotr		
FEMM Women's Rights and Gender Equality		20/12/2011	
	S&D PAPADOPOULOU Antigoni		
Council of the European Union	Council configuration	Meeting	Date
	Competitiveness (Internal Market, Industry, Research and Space)	3276	03/12/2013
	Competitiveness (Internal Market, Industry, Research and Space)	3242	30/05/2013
	Competitiveness (Internal Market, Industry, Research and Space)	3223	18/02/2013
	Competitiveness (Internal Market, Industry, Research and Space)	3208	10/12/2012
	Competitiveness (Internal Market, Industry, Research and Space)	3190	10/10/2012
	Competitiveness (Internal Market, Industry, Research and Space)	3169	30/05/2012
	Competitiveness (Internal Market, Industry, Research and Space)	3147	20/02/2012
European Commission	Commission DG Research and Innovation	Commissioner GEOGHEGAN-QUINN Máire	
European Economic and Social Committee			

Key events			
13/12/2011	Committee referral announced in Parliament, 1st reading		
20/02/2012	Debate in Council	3147	
30/05/2012	Debate in Council	3169	Summary
10/10/2012	Debate in Council	3190	
28/11/2012	Vote in committee, 1st reading		
10/12/2012	Debate in Council	3208	Summary
20/12/2012	Committee report tabled for plenary, 1st reading	A7-0427/2012	Summary
18/02/2013	Debate in Council	3223	Summary
30/05/2013	Debate in Council	3242	Summary

20/11/2013	Debate in Parliament		
21/11/2013	Results of vote in Parliament		
21/11/2013	Decision by Parliament, 1st reading	T7-0499/2013	Summary
03/12/2013	Act adopted by Council after Parliament's 1st reading		
11/12/2013	Final act signed		
11/12/2013	End of procedure in Parliament		
20/12/2013	Final act published in Official Journal		

Technical information

Procedure reference	2011/0401(COD)
Procedure type	COD - Ordinary legislative procedure (ex-codecision procedure)
Procedure subtype	Legislation
Legislative instrument	Regulation
	<p>Repealing Decision No 1982/2006/EC 2005/0043(COD)</p> <p>See also 2011/0399(COD)</p> <p>See also 2013/0232(COD)</p> <p>See also 2013/0233(COD)</p> <p>See also 2013/0242(COD)</p> <p>See also 2013/0243(COD)</p> <p>See also 2014/0228(NLE)</p> <p>See also 2014/0304(NLE)</p> <p>Amended by 2015/0009(COD)</p> <p>See also 2016/2147(INI)</p> <p>Repealed by 2018/0224(COD)</p>
Legal basis	Treaty on the Functioning of the EU TFEU 182-p1; Treaty on the Functioning of the EU TFEU 173-p3
Other legal basis	Rules of Procedure EP 159
Mandatory consultation of other institutions	European Economic and Social Committee
Stage reached in procedure	Procedure completed
Committee dossier	ITRE/7/08101

Documentation gateway

Legislative proposal	COM(2011)0809	30/11/2011	EC	Summary
Document attached to the procedure	SEC(2011)1427	30/11/2011	EC	
Document attached to the procedure	SEC(2011)1428	30/11/2011	EC	
Economic and Social Committee: opinion, report	CES0806/2012	28/03/2012	ESC	
Committee draft report	PE489.637	15/06/2012	EP	
Amendments tabled in committee	PE492.656	29/06/2012	EP	

Amendments tabled in committee		PE492.710	29/06/2012	EP	
Amendments tabled in committee		PE492.761	02/07/2012	EP	
Amendments tabled in committee		PE492.765	02/07/2012	EP	
Amendments tabled in committee		PE492.789	02/07/2012	EP	
Amendments tabled in committee		PE492.790	03/07/2012	EP	
Amendments tabled in committee		PE492.805	04/07/2012	EP	
Committee opinion	AGRI	PE489.455	12/07/2012	EP	
Committee of the Regions: opinion		CDR0402/2011	19/07/2012	CofR	
Committee opinion	CULT	PE487.737	25/07/2012	EP	
Committee opinion	DEVE	PE489.624	05/09/2012	EP	
Committee opinion	JURI	PE489.509	18/09/2012	EP	
Committee opinion	AFET	PE492.560	19/09/2012	EP	
Committee opinion	TRAN	PE491.273	20/09/2012	EP	
Committee opinion	PECH	PE492.588	20/09/2012	EP	
Committee opinion	FEMM	PE489.559	24/09/2012	EP	
Committee opinion	ENVI	PE487.915	25/09/2012	EP	
Committee opinion	REGI	PE492.563	04/10/2012	EP	
Committee report tabled for plenary, 1st reading/single reading		A7-0427/2012	20/12/2012	EP	Summary
Committee opinion	BUDG	PE491.278	28/01/2013	EP	
Text adopted by Parliament, 1st reading/single reading		T7-0499/2013	21/11/2013	EP	Summary
Draft final act		00067/2013/LEX	11/12/2013	CSL	
Commission response to text adopted in plenary		SP(2014)87	30/01/2014	EC	
Follow-up document		SWD(2016)0123	07/04/2016	EC	Summary
Follow-up document		SWD(2016)0376	22/11/2016	EC	Summary
Follow-up document		SWD(2017)0220	29/05/2017	EC	
Follow-up document		SWD(2017)0222	29/05/2017	EC	
Follow-up document		SWD(2017)0221	29/05/2017	EC	
Follow-up document		SWD(2017)0338	06/10/2017	EC	
Follow-up document		SWD(2017)0339	06/10/2017	EC	
For information		SWD(2017)0352	18/10/2017	EC	
For information		SWD(2017)0351	18/10/2017	EC	
Follow-up document		C(2018)0061	12/01/2018	EC	

[Additional information](#)

National parliaments	IPEX
European Commission	EUR-Lex

Final act
Regulation 2013/1291 OJ L 347 20.12.2013, p. 0104 Summary

Horizon 2020 framework programme for research and innovation 2014-2020

PURPOSE: establishes Horizon 2020 - the Framework Programme for Research and Innovation (2014-2020) ("Horizon 2020")

PROPOSED ACT: Regulation of the European Parliament and of the Council.

BACKGROUND: designed to support the Europe 2020 Flagship Initiative "[Innovation Union](#)", the basic principle of "Horizon 2020" is to adopt a much more strategic approach to research and innovation. All policy instruments and measures are designed to contribute to research and innovation and to develop further the European Research Area whereby knowledge, researchers and technology circulate freely, and to accelerate the commercialisation and diffusion of innovation across the Single Market.

The set consists of the proposals for:

- a Framework Programme for Horizon 2020;
- a single set of Rules for [Participation and Dissemination](#);
- a [single specific programme](#) to implement Horizon 2020;
- a [single proposal](#) for the parts of Horizon 2020 corresponding to the Euratom Treaty.

Horizon 2020 contributes directly to tackling the major societal challenges identified in Europe 2020 and its flagship initiatives. It will contribute equally to creating industrial leadership in Europe. It will also increase excellence in the science base, essential for the sustainability and long term prosperity and wellbeing of Europe. To achieve these aims, the proposals include a full range of support that is integrated across the research and innovation cycle. Horizon 2020 therefore brings together and strengthens activities currently funded under the 7th Framework Programme for research, the innovation parts of the Competitiveness and Innovation Framework Programme, and the European Institute of Innovation and Technology. In this way, the proposals are also designed to realise a substantial simplification for participants.

IMPACT ASSESSMENT: the proposals rely on two in-depth impact assessments, drawing on stakeholder consultations, internal and external evaluations, and contributions from international experts.

The assessments found that the Horizon 2020 option would bring more clarity of focus, best achieve the necessary critical mass of effort at programme and project level, and lead to greatest impact on the policy objectives and downstream economic, competitiveness, and social benefits, while at the same time helping to simplify matters by e.g. easing the administrative burden for participants, streamlining the applicable rules and procedures, ensuring consistency between instruments and pointing to a new risk/trust balance.

LEGAL BASIS: Articles 173(3) and 182(1) TFEU.

CONTENT: this Regulation establishes Horizon 2020 - the Framework Programme for Research and Innovation (2014-2020) and determines the framework governing Union support to research and innovation activities and fostering better exploitation of the industrial potential of policies of innovation, research and technological development.

Union added value: Horizon 2020 will play a central role in the delivery of the Europe 2020 strategy for smart, sustainable and inclusive growth by providing a common strategic framework for the Union's research and innovation funding, thus acting as a vehicle for leveraging private investment, creating new job opportunities and ensuring Europe's long-term sustainable growth and competitiveness.

The proposals have been designed to maximise Union added value and impact, focusing on objectives and activities that cannot be efficiently realised by Member States acting alone.

Union level intervention:

- can strengthen the overall research and innovation framework and coordinate Member States' research efforts thereby avoiding duplication, retaining critical mass in key areas and ensuring public financing is used in an optimal way;
- will enable continent-wide competition to select the best proposals, thereby raising levels of excellence and providing visibility for leading research and innovation;
- is best placed to support trans-national mobility, thereby improving training and career development for researchers;
- is more able to take on high risk and long-term R&D, thereby sharing the risk and generating a breadth of scope and economies of scale that could not otherwise be achieved;
- can leverage additional public and private investments in research and innovation;
- can contribute to the European Research Area whereby knowledge, researchers and technology circulate freely, and accelerate the commercialisation and diffusion of innovations across the Single Market.

General objective, priorities and specific objectives: Horizon 2020 shall contribute to building an economy based on knowledge and innovation across the whole Union by leveraging sufficient additional research, development and innovation funding. Thereby, it shall support the

implementation of the Europe 2020 strategy and other Union policies, as well as the achievement and functioning of the European Research Area (ERA).

This general objective shall be pursued through three mutually reinforcing priorities dedicated to: (a) excellent science; (b) industrial leadership; (c) societal challenges.

The Joint Research Centre shall contribute to the general objective and priorities by providing scientific and technical support to Union policies.

The European Institute of Innovation and Technology (EIT) set up by Regulation

(EU) No 294/2008 shall contribute to the general objective and priorities with the specific objective of integrating the knowledge triangle of research, innovation and education.

The relevant performance indicators for the EIT and JRC are set out in the text.

The Commission may use, on the basis of a cost-benefit analysis, existing executive agencies for the implementation of Horizon 2020, as provided for in Council Regulation (EC) No 58/2003 laying down the statute for executive agencies to be entrusted with certain tasks in the management of Union programmes.

BUDGET IMPLICATIONS: the financial envelope for the implementation of Horizon 2020 shall be EUR 87740 million, of which a maximum of EUR 86198 million shall be allocated to activities under Title XIX TFEU. The amount for activities shall be distributed among the priorities set out above as follows:

- Excellent science, EUR 27818 million;
- Industrial leadership, EUR 20280 million;
- Societal challenges, EUR 35888 million.

The maximum overall amount for the Union financial contribution from Horizon 2020 to the non-nuclear direct actions of the Joint Research Centre shall be EUR 2212 million.

The indicative breakdown for the specific objectives within the priorities and the maximum overall amount of the contribution to the non-nuclear direct actions of the JRC are set out in the text.

The EIT shall be financed through a maximum contribution from Horizon 2020 of EUR 3194 million:

- a first allocation of EUR 1542 million shall be provided to the European Institute of Innovation and Technology for activities under Title XVII
- a second allocation of up to EUR 1652 million shall be provided, subject to review. This additional amount shall be provided on a pro-rata basis from the amount for the specific objective "Leadership in enabling and industrial technologies".

Horizon 2020 framework programme for research and innovation 2014-2020

Following a public debate, the Council reached a partial general approach on "Horizon 2020", the proposed framework programme for funding research and innovation for the years 2014-2020.

The ministerial agreement on the main lines of the programme paves the way for future work in order to secure the timely approval of the Council and the European Parliament. "Horizon 2020" will replace the EU's 7th research framework programme (FP7), which runs until the end of 2013.

The Council also took note of a [Presidency report](#) on the progress made concerning the other three parts of the package: the specific programme implementing Horizon 2020, the rules of participation in research projects and the Euratom programme on nuclear research activities.

During the debate, delegations further developed essential elements of the general framework for Horizon 2020, including:

- the simplification of procedures that will apply to fund projects, the possibility of widening participation by reinforcing the attractiveness of researchers' careers across the Union, compliance with ethical principles and relevant legislation;
- increased participation of SMEs in research projects covering the whole chain from the idea to the market;
- public/private partnerships and coherence with other EU and national policy and financial instruments.

The agreement within the Council takes into account the results of the previous ministerial debates on Horizon 2020 that took place on 6 December 2011 and 2 and 21 February 2012.

It is proposed to allocate EUR 80 billion for the 2014-2020 period, thus making Horizon 2020 the world's largest research programme.

Horizon 2020 framework programme for research and innovation 2014-2020

The Council adopted several positions as regards the different aspects of the Horizon 2020: new framework programme for research and innovation (2014-2020) which will replace the EU's 7th Research Framework Programme which ends in 2013.

The progression of the situation is as follows:

On 31 May 2012, the Council reached an agreement on a partial general approach on the "Horizon 2020 framework programme". On that occasion, the Council also took note of a report on the progress made concerning the other three parts of the package: the specific programme implementing Horizon 2020, the rules of participation in research projects and the Euratom programme.

On 10 October 2012, the Council reached an agreement on a partial general approach on the [rules for participation](#), and on an amended

regulation of the EIT.

On 11 December 2012, the Council reached an agreement on a partial general approach on : (i) the [draft decision](#) establishing the Specific Programme implementing Horizon 2020; (ii) a [proposal](#) to define the content of the strategic innovation programme of the European Institute of Innovation and Technology (EIT) for the period 2014-2020.

Specific Programme implementing actions under Horizon 2020: the agreement is based on a compromise text put forward by the Presidency. The debate focused on two key aspects of the proposal: the processes and practices to close the research and innovation gap between European regions in order to better address the objectives of the European Research Area, and finding the most suitable governance structure while maintaining the objectives of simplification.

Outstanding issues

- Comitology: one delegation would like the threshold on the approval of the funding of indirect actions to be below EUR 2.5 million, while another would like the approval of all funding actions for Societal Challenge 6 to be approved by the Committee regardless of the threshold. Another delegation still maintains its scrutiny reservation on delegated acts in regards to financial instruments.

- Widening participation and closing the innovation divide: discussion concerned the following: (i) the concept of teaming of excellent research institutions and low performing RDI regions, mainly with regard to the (financial) support that may be provided by the Commission and at what stage this support is given ; (ii) the addition of an action on the participation of additional partners in on-going projects ; (iii) the introduction of a reference for monitoring the impact of various features of the funding system on the participation as well as references to gender, sector and geographical balance of appointed independent experts.

- Societal Challenge 7: discussions were based on: (i) the references to military and defence aspects of research; (ii) the addition of references to "coherence" with the European Space Agency and other actors, in addition to the concept of complementarity.

The Commission fully reserves its position on the entire compromise proposal. Its reservations pertain mainly to: all comitology aspects, in particular the approval of individual projects (with or without threshold) and the Horizon 2020 governance structure, as well as the interlinkages between Horizon 2020 and [COSME](#) and the related threshold on loan guarantees of less than EUR 150 000.

European Institute of Innovation and Technology (EIT): the EIT strategic innovation agenda includes an overview of the activities planned for the next seven years, in particular, the priority fields for the new Knowledge and Innovation Communities (KICs) and their selection and designation. Its main themes are:

- added-value manufacturing
- Food4future - sustainable supply chain from resources to consumers
- innovation for healthy living and active ageing
- raw materials sustainable exploration, extraction, processing, recycling and substitution
- smart secure societies
- urban mobility.

It is proposed to set up new KICs in two waves: in 2014 and after 2017, subject to a positive review.

Euratom programme: the Council also took note of a report on the progress made regarding the Euratom [proposal](#) complementing Horizon 2020 in the field of nuclear research.

The successive positions within the Council on the various strands of Horizon 2020 will facilitate the start of negotiations with the European Parliament with a view to achieving a first-reading agreement on the whole package in the course of 2013.

Horizon 2020 framework programme for research and innovation 2014-2020

The Committee on Industry, Research and Energy adopted the report by Teresa RIERA MADURELL (S&D, ES) on the proposal for a Regulation of the European Parliament and of the Council establishing Horizon 2020 - The Framework Programme for Research and Innovation (2014-2020).

The parliamentary committee recommends that the European Parliaments position adopted at first reading in accordance with the ordinary legislative procedure should be to amend the Commissions proposal as follows:

General objective and added value: Members stipulate that the objective of Horizon 2020 should be the strengthening the European scientific and technological base and fostering benefits for society, including better exploitation of the social, economic and industrial potential of policies of innovation, research and technological development. Support under Horizon 2020 shall be targeted towards activities where intervention at Union level brings added value compared to intervention at national or regional level.

Budget: the financial allocation in the legislative proposal is only an indicative amount for the legislative authority and cannot be agreed until agreement has been reached on the proposed Regulation establishing the Multiannual Financial Framework (MFF) for the period 2014-2020.

Nevertheless, the report underlines that the framework programme should contribute to the achievement of the objective of 3% of GDP spent on RTD in the Union between now and 2020. Members consider that the Union budget should mirror this ambitious goal by making a radical shift towards funding future-oriented investments and this should be clearly visible in a considerable increase in the funding level for the next seven-year period.

Members propose allocating the total budget as follows: (a) 32.6% to scientific excellence; (b) 24.3% to industrial leadership; and (c) 37.5% to societal challenges. The maximum overall amount for the Union financial contribution to the non-nuclear direct actions of the Joint Research Centre shall be 2.4% of the total budget. The European Institute of Innovation and Technology shall be financed through a maximum contribution of 3.3% of the total budget.

Strategic advice and coordination: Members stress that effective coordination between the three main pillars of Horizon 2020 shall be ensured. Strategic advice and coordination of research and innovation aiming at common objectives and requiring synergies across Horizon 2020 shall be pursued.

Main purposes of the programme: according to Members, Horizon 2020 should, in particular, seek to attain the following objectives:

(i) emphasis on the widest possible use and dissemination of knowledge generated by the supported activities up to its commercial exploitation. The programme should ensure all stages in the research and innovation chain, including frontier and applied research, knowledge transfer;

(ii) spreading and promoting excellent research throughout all the European regions as a precondition for a geographically balanced growth and innovation strategy of the Union;

(iii) consolidating the links between science and society with a view to increasing public confidence in science. Horizon 2020 should:

- promote active participation and informed engagement of citizens and civil society in the research and innovation process;
- ensure due consideration of the gender dimension;
- promote excellent science education;
- increase the accessibility and re-use of the results of publicly funded research, in particular scientific publications and data;
- close the digital, research and innovation divide;
- develop responsible research and innovation and governance framework agendas that meet citizens' and civil society's concerns and expectations ;

(iv) fostering the mobility of researchers as a means for preventing forms of brain-drain among the Member States by supporting activities that attract, retain, train and develop research and innovation talent: human capital building activities, including those focused specifically at young people and women, should be a standard element in all research and innovation activities funded by the Union;

(v) enabling free access to scientific information: to increase the circulation and exploitation of knowledge, open access to scientific publications should be mandatory if a decision to publish is taken for scientific publications which receive public funding from Horizon 2020;

(vi) special consideration should be given to multidisciplinary and interdisciplinary approaches as necessary elements for major scientific progress;

(vii) addressing global challenges: the programme should encourage and support activities towards exploiting Europe's leadership in the race to develop new processes and technologies promoting sustainable development, in a broad sense, and combating climate change. The report retains the structure proposed by the Commission, except for the section Inclusive, innovative and secure societies. This challenge was divided in two because of the particular nature of challenges relating to security.

(viii) extending SME participation: at least 4.0% of the Horizon 2020 budget should be delivered through a dedicated SME instrument which should be managed and implemented by a single dedicated administrative structure. Particular attention shall also be paid to the adequate participation and representation of SMEs in the governing structures of the ERA and in particular of public-private partnerships;

(ix) reducing the research and innovation divide within the Union by enabling synergies with the Structural Funds in support of research and innovation through the implementation of complementary measures in a coordinated way.

Innovation fast-track: to facilitate the commercialisation and diffusion of innovations, the report recommends the use of open calls with accelerated procedures, following a bottom-up logic, to ensure fast realisation of innovative projects.

Transparent and efficient implementation process: multiannual indicative roadmaps should be set at the beginning of the programming for each specific objective and cross-cutting theme and a short and transparent drafting process of the annual work programmes should be strived at. The Commission, when preparing and drawing-up the roadmaps and work programmes should involve and inform the European Parliament and the Council.

International cooperation: international cooperation with third countries and international organisations should be promoted and integrated in Horizon 2020 to achieve, in particular to: (i) respect international commitments such as the achievement of the Millennium Development Goals; (ii) the creation of globally competitive centres of excellence making the Union a global hub for world-leading cutting-edge research and innovation.

Political control: in order that the European Parliament is able to exercise its function of political control and to ensure transparency and accountability, the Commission should duly and regularly inform the European Parliament of all relevant aspects of the implementation of Horizon 2020.

Horizon 2020 framework programme for research and innovation 2014-2020

The Council held a policy debate on open access to scientific information resulting from public-funded research projects, one of the objectives of the development of the European Research Area, which is at the heart of the strategy for growth and jobs.

Member States:

- supported the idea of developing broader and more rapid access to scientific publications in order to help researchers and businesses to build on the findings of publicly funded research;
- noted the Commission proposal to develop experimental policy actions on open access to research data and to run a pilot for that purpose in the future Horizon 2020 research framework programme;
- welcomed the Commission's view that open access to scientific publications should be a general principle of the future Horizon 2020 research framework programme and presented some of the initiatives carried out under their respective national programmes.

Member States emphasised the need to:

- define clear policies, in consultation with relevant stakeholders, on open access to scientific publications and research data, on preservation and re-use of scientific information and on related e-infrastructures for disseminating scientific information, at both national and EU levels,
- promote common implementation standards and criteria, including interoperable infrastructures, in order to achieve the maximum benefit from open access in a sustainable way within a digital European Research Area.

Horizon 2020 framework programme for research and innovation 2014-2020

Ministers took note of the [state of play](#) on negotiations with the European Parliament concerning the different parts of the Horizon 2020 programme, following the presentation of a report by the Irish Presidency.

Significant progress has been made in the negotiations of Horizon 2020, including during the 6 informal trilogues and several technical meetings to date. However, in the informal trilogue meeting of 16 April, it became apparent that the negotiations have reached a point at which a number of critical issues stand in the way of reaching agreement.

To make progress, the Presidency prepared a policy paper on which it presented the Presidencys assessment on the critical issues for the Parliament at this stage. These were classified in 3 categories, namely (i) issues related to the Horizon 2020 architecture; (ii) new objectives, activity lines and sub-activity lines, and ways for improving the participation of small businesses in the programme; and (iii) simplification and effectiveness, in particular of the future funding model for research projects.

The discussion at Coreper, on 8 May 2013 gave the Presidency some indication as to where the Member States position themselves on these major issues and where a possible way towards a bigger compromise package could be sought. Following that discussion, the Presidency produced compromise proposals for discussion at the Research Working Party and in technical meetings with the European Parliament. An important new element in these discussions has been the budget.

Over the next few weeks, as part of building up the package to be agreed with the Parliament on 17 June, negotiations are likely to focus on the distribution of the budget between the different specific objectives and whether and how any budgetary preferences of the co-legislators are to be expressed in the text of the Horizon 2020 Regulation and its annexes.

Horizon 2020 framework programme for research and innovation 2014-2020

The European Parliament adopted by 533 votes to 29 with 22 abstentions, a legislative resolution on the proposal for a regulation of the European Parliament and of the Council establishing Horizon 2020 - The Framework Programme for Research and Innovation.

Parliament adopted its position in first reading following the ordinary legislative procedure. The amendments adopted in plenary were the result of a compromise between Parliament and Council. They amend the Commission proposal as follows:

Objectives: Horizon 2020 should contribute to the achievement of the objective of 3% of GDP spent on research and development in the Union between now and 2020. The programme shall maximise Union added value and impact by:

- focusing on objectives and activities that cannot be efficiently realised by Member States acting alone;
- providing a common strategic framework for the Union's funding of excellent research and innovation ;
- ensuring Europe's long-term sustainability, growth, economic development, social inclusion and industrial competitiveness ;
- addressing societal challenges across the Union.

Horizon 2020 should support all stages in the research and innovation chain, including non-technological and social innovation and activities that are closer to the market. The latter include innovative financial instruments.

Budget : the financial envelope for the implementation of Horizon 2020 is set at EUR 77 028,3 million in current prices, divided as follows :

- Excellent science : EUR 24 441.1 million;
- Industrial leadership : EUR 17 015.5 million;
- Societal challenges : EUR 29 679 million.
- Spreading excellence and widening participation : EUR 816.5 million ;
- Science with and for society : EUR 462.2 million;
- Non-nuclear direct actions of the JRC : EUR 1 902.6 million.

The European Institute of Innovation and Technology (EIT) shall be financed through a maximum contribution from Horizon 2020 of EUR 2 711.4 million.

An appropriate proportion of the budget for research infrastructures should be devoted to e-infrastructures.

SMEs support : Horizon 2020 should provide a range of means to support the research and innovation activities and capacities of SMEs throughout the different stages of the innovation cycle. A dedicated SME instrument that is targeted at all types of SMEs with an innovation potential, in a broad sense, shall be created under a single centralised management system.

New participants: Horizon 2020 should be open to new participants, such as the members of EFTA, with a view to ensuring extensive and excellent cooperation with partners throughout the Union and with a view to ensuring an integrated European Research Area (ERA).

Attract researchers: Horizon 2020 should contribute to achieving the ERA, encouraging the development of framework conditions to help European researchers to remain in or to return to Europe, attract researchers from around the world and make Europe a more attractive destination for the best researchers.

Synergies with the structural Funds : to achieve maximum impact, Horizon 2020 should develop close synergies with other Union programmes in areas such as education, space, environment, energy, agriculture and fisheries, competitiveness and SMEs, internal security, culture and media.

It should also develop close interactions with the European Structural and Investment

Funds, for a more comprehensive alignment with the objectives of the Europe 2020 strategy.

Collaborative projects and partnership programmes: Horizon 2020 should be implemented primarily through transnational collaborative projects, delivered through calls for proposals. Those projects will be complemented by public-private and public-public partnerships.

By the end of 2017, as part of the Horizon 2020 interim evaluation, both existing and new public-private partnerships should be subject to an assessment, which should include an analysis of their openness, transparency and effectiveness.

Fast Track to Innovation: in order to accelerate the transformation of new technologies into innovative products and to reduce the time from idea to market, a Fast Track to Innovation (FTI) pilot should be implemented within the specific objective Leadership in enabling and industrial technologies and within the priority "Societal challenges".

Fast Track to Innovation (FTI) shall be implemented in the form of a full-scale pilot in, establishing an FTI call starting in 2015.

Access to knowledge: to increase the circulation and exploitation of knowledge, open access to scientific publications should be ensured. Furthermore, open access to research data resulting from publicly funded research under Horizon 2020 should be promoted, taking into account constraints pertaining to privacy, national security and intellectual property rights.

Lastly, public outreach activities must be carried out to generate and sustain public support for Horizon 2020.

Horizon 2020 framework programme for research and innovation 2014-2020

PURPOSE: to establish Horizon 2020 - the Framework Programme for Research and Innovation (2014-2020).

LEGISLATIVE ACT: Regulation (EU) No 1291/2013 of the European Parliament and of the Council establishing Horizon 2020 - the Framework Programme for Research and Innovation (2014-2020) and repealing Decision No 1982/2006/EC.

CONTENT: Horizon 2020 will replace the EU's 7th Research Framework Programme (FP7), which runs until the end of 2013. Horizon 2020 shall maximise Union added value and impact, focusing on objectives and activities that cannot be efficiently realised by Member States acting alone.

The general objective of Horizon 2020 is to contribute to building a society and an economy based on knowledge and innovation across the Union by leveraging additional research, development and innovation funding and by contributing to attaining research and development targets, including the target of 3% of GDP for research and development across the Union by 2020.

Horizon 2020 focuses on three priorities, namely:

1. generating excellent science in order to strengthen the Union's world-class scientific excellence and make the Union research and innovation system more competitive,
2. fostering industrial leadership to speed up the development of technologies that will support businesses and innovation, including for small companies, and
3. tackling societal challenges in order to respond to the priorities identified in the Europe 2020 strategy by supporting activities covering the entire chain from research to market.

The general objective shall be pursued through these three mutually reinforcing priorities.

Some of the main features of the Horizon 2020 programme include:

- **Simplification:** simplification is a central aim of Horizon 2020. It is to be reflected in its design, rules, financial management and implementation in order to attract a strong participation of universities, research centres, industry and small and medium-sized enterprises (SMEs). A simplified funding model will be used for the reimbursement of activities.
- **Science with and for society:** a separate structure and budget line will contribute to the harmonious integration of scientific and technological endeavour into European society. In addition, it will be used to increase the attractiveness of scientific and technological careers, in particular for young people, as well as to address the existing gender imbalance in these fields.
- **Spreading excellence and widening participation:** the research and innovation potential of the Member States, despite some recent convergence, remains very different, with large gaps between "innovation leaders" and "modest innovators". Activities shall help close the research and innovation divide in Europe by promoting synergies with the European Structural and Investment Funds (ESI Funds) and also by specific measures to unlock excellence in low performing research, development and innovation (RDI) regions, thereby widening participation in Horizon 2020 and contributing to the realisation of the ERA.
- **Small and medium-sized enterprises:** Horizon 2020 will provide a range of means to support the research and innovation activities and capacities of SMEs along the different stages of the innovation cycle. The creation of a dedicated SME instrument will help to increase the participation of SMEs under Horizon 2020 funded projects.
- **Fast Track to Innovation (FTI):** in order to reduce the time from idea to market, using a bottom-up approach, and to increase the participation of industry, SMEs and first-time applicants in Horizon 2020, the Fast Track to Innovation (FTI) pilot should be implemented within the specific objective "Leadership in enabling and industrial technologies" and within the priority "Societal challenges". It should stimulate private sector investment in research and innovation, promote research and innovation with a focus on value creation and accelerate the development of technologies into innovative products, processes and services.
- **Partnerships for research and innovation:** Horizon 2020 will support the development and implementation of public-private and public-public partnerships, including the European Technology Platforms, the Joint Programming Initiatives and the European Innovation Partnerships.
- **Ethical principles:** all the research and innovation activities carried out under Horizon 2020 shall comply with ethical principles and relevant national, Union and international legislation. Particular attention shall be paid to the need to ensure high levels of human health protection. Research on human stem cells, both adult and embryonic, may be financed, depending both on the contents of the scientific proposal and the legal framework of the Member States involved. However, no funding shall be granted for research activities that are prohibited in all the member states and no activity shall be funded in a member state where such activity is forbidden.
- **International Cooperation:** international cooperation with third countries will be promoted in each of the three priorities of Horizon 2020.

- Sustainable development and climate change: Horizon 2020 will encourage and support activities towards exploiting Europe's leadership in the race to develop new processes and technologies promoting sustainable development, in a broad sense, and combating climate change.

Mid-term evaluation: the Commission will carry out, with the assistance of independent experts, a review of the Horizon 2020 programme not later than end 2017.

Budget: the new funding programme is granted with a budget of EUR 77 028 300 000 at current prices for a period of seven years. It is distributed as follows:

- excellent science, EUR 24 441.1 million;
- industrial leadership, EUR 17 015.5 million;
- societal challenges, EUR 29 679 million;
- spreading excellence and widening participation, EUR 816.5 million;
- science with and for society, EUR 462.2 million;
- non-nuclear direct actions of the JRC, EUR 1 902.6 million.

The EIT shall be financed through a maximum contribution from Horizon 2020 of EUR 2 711.4 million.

Horizon 2020 shall be implemented through the consolidated specific programme established by [Council Decision 2013/743/EU](#). The rules for participation and dissemination of results are laid down in [Regulation \(EU\) No 1290/2013](#) of the European Parliament and of the Council.

ENTRY INTO FORCE: 23.12.2013.

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The Commissions staff working document presents the first annual monitoring report on Horizon 2020, the European Union's Framework Programme for Research and Innovation (2014-2020). With its dedicated budget of around EUR 75 billion over seven years, Horizon 2020 is the biggest EU Research and Innovation programme. The implementation of Horizon 2020 is based on multiannual work programmes, which are prepared by the Commission in consultation with stakeholders.

This document focuses on the implementation of the work programme 2014-2015, which was adopted in December 2013. It helps to identify the most important issues related to performance as measured by the Key Performance Indicators, implementation aspects and participation trend. It covers 58 calls within the Horizon 2020 work programme and six calls from the work programmes of the public-private partnerships (Joint Undertakings). 2014 has also been a year of transition from FP7 to Horizon 2020 and the report presents achievements of some of the key improvements established by Horizon 2020, notably in terms of simplification.

The report also includes the implementation activities of the European Institute of Innovation and Technology (EIT) as well as of the Euratom Research and Training Programme.

Main findings:

Implementation aspects: the report shows that the time to grant has been reduced compared to FP7, but also shows that further effort is needed in order to ensure data quality and gathering processes.

Special attention has been paid to the following participation trends:

Oversubscription: Horizon 2020 is a very attractive programme, as demonstrated by the high number of eligible proposals (33 792) and applications (122 713). The success rate of Horizon 2020 is 13.39%, compared to the FP7 rate of 19% on average over the seven years.

EU-28 participation rates: 86.7% of the total number of eligible applications was submitted from the EU- 28. Almost 75% of the total financial contribution resulting from calls for proposals went to 6 EU-15 countries (Germany, the United Kingdom, France, Spain, the Netherlands and Italy).

Public-Private and Public-Public Partnerships: while it has not been possible to report on the actual investments from industry partners and other sources in PPPs, the investment from participating states in Article 185 initiatives is estimated in EUR 178.1 million, of which the Union contribution is EUR 58.5 million. This corresponds to a leverage effect of 2:1.

Crosscutting issues: for Horizon 2020 calls closed in 2014, the EU financial contribution targets were not achieved, even if programmable actions were very close to the climate target (32% instead of 35%) and relatively close for sustainable development (50% instead of 60%). The Commission is working on measures to improve these figures.

Horizon 2020 has fostered Open Innovation: Private-for-Profit entities represent more than 60% of the applicants in retained proposals. Within LEIT and Societal Challenges cumulated budget, the share of EU financial contribution going to private entities is 43.66%. Horizon 2020 has promoted Open Science with frontier research under the European Research Council (ERC), amounting to a financial contribution of EUR 1 734 million, EUR 220 million for Future and Emerging Technologies, Marie Skłodowska-Curie Actions have received funding for EUR 864 million and Research Infrastructures projects for EUR 391 million.

Overall, 6% of the budget went to social science and humanities partners.

The Commission states that the next edition of the annual monitoring report will keep analysing these trends, focussing in particular on changes occurred compared to previous Horizon 2020 implementation years.

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This second Monitoring Report on Horizon 2020 focuses on the implementation of the second year of the Work Programme 2014-2015, which was adopted in December 2013.

Horizon 2020 marks a shift towards the use of indicators that aim to capture results and impacts. The legal basis of Horizon 2020 specifies a list of compulsory Key Performance Indicators to be taken into account in its evaluation and monitoring system.

It provides timely information on participation, implementation, cross-cutting issues, as well as overviews by thematic area.

The report largely relies on input indicators in the form of EU funding, participations and applications. Early output has started to become available from the funded projects, such as publications, patent application and patent awards. These kinds of data, as they start to become more robust, will provide valuable evidence on the performance of Horizon 2020 in the future.

The report found good progress had been made on the 14 horizontal cross-cutting issues assessed, even though the ambitious target for climate change has not yet been reached. Progress remains to be made in terms of data gathering and monitoring of outputs of the programme, in particular on the Key Performance Indicators.

The main positive findings of the monitoring report are as follows:

- Interest in Horizon 2020 is growing: there was a strong increase in the general number of applications by 23.9% over 2014 (or close to 30 000 more).
- Horizon 2020 is attractive to private business: Horizon 2020 saw an increase in the number of applications from the private sector by 26.5% from 2014 to 2015 (or over 11 000 more applications). Horizon 2020 is also an attractive means for academia and industry to collaborate this was underlined by the survey of National Contact Points (NCPs), in which 83% agreed that Horizon 2020 provides sufficient opportunities for cooperation between science and business.
- There is high potential for R&I in Europe: only one out of every four high quality proposals is funded. An additional EUR 41.6 billion would have been necessary in the first two years of Horizon 2020 to fund all the over 25 000 high quality proposals, which were not funded. This underlines the huge potential for high quality research and innovation in Europe.
- Funding going to EU-13 Member States rose slightly: there was an observable trend towards more funding for those Member States which joined the EU in 2004 (EU-13) or more recently in Horizon 2020. The total share of the funding going to these countries increased from 4.3% in 2014 to 4.7% in 2015. However, success rates for EU-13 applicants remain lower than for the other EU Member States.
- Grant signature has accelerated: the average time elapsed from call deadline to grant signature keeps declining throughout Horizon 2020: the average time-to-grant dropped by 31.7 days from 2014 to 2015 (or 15% shorter).
- The monitoring report also highlights some points requiring attention:
- Oversubscriptions: in spite of very similar funding rates in 2014 and 2015, the growing interest in Horizon 2020 presents a challenge. In total, over 8 500 more proposals were submitted in 2015 than in 2014. This is reflected in lower success rates in 2015 than in 2014 throughout Horizon 2020: both in terms of numbers of proposals, from 13.2% to 10.7%, and in terms of funding, from 14.2% to 10.9%.
- International collaboration: although the share of participation of non-EU countries in internationally open collaborative projects increased from 2.1% in 2014 to 2.8% in 2015, and for all projects from 1.7% in 2014 to 2.0% in 2015, the share of non-EU country participation in FP7 was higher (i.e. 4.0% for all projects and 4.3% for collaborative projects).
- Newcomers: the participation of newcomers to the programme was identified by the NCP survey, as the most challenging area. On average, applications from participants with FP7 (7th Framework Programme for RTD) experience have success rates that are 4 percentage points higher, and the difference is even higher for SMEs. In addition, the shares of newcomers participation vary greatly across the programme: from 1.4% (for the ERC) to 38.3% (in Societal Challenge 3).