

# Procedure file

Basic information	
CNS - Consultation procedure Decision	2011/0402(CNS) Procedure completed
Specific programme implementing the Horizon 2020 Framework Programme for Research and Innovation 2014-2020	
Repealing Decision 2006/975/EC <a href="#">2005/0184(CNS)</a>	
Repealing Decision 2006/971/EC <a href="#">2005/0185(CNS)</a>	
Repealing Decision 2006/972/EC <a href="#">2005/0186(CNS)</a>	
Repealing Decision 2006/973/EC <a href="#">2005/0187(CNS)</a>	
Repealing Decision 2006/974/EC <a href="#">2005/0188(CNS)</a>	
See also <a href="#">2013/0064(COD)</a>	
Repealed by <a href="#">2018/0225(CNS)</a>	
Subject	
3.50.01 European research area and policy	
3.50.02.01 EC, EU framework programme	
3.50.04 Innovation	

Key players			
European Parliament	Committee responsible	Rapporteur	Appointed
	<b>ITRE</b> Industry, Research and Energy		15/02/2012
		PPE <a href="#">CARVALHO Maria da Graça</a>	
		Shadow rapporteur	
		S&D <a href="#">DROUTSAS Dimitrios</a>	
		ALDE <a href="#">JOHANSSON Kent</a>	
		ECR <a href="#">FORD Vicky</a>	
		EFD <a href="#">TZAVELA Niki</a>	
	Committee for opinion	Rapporteur for opinion	Appointed
	<b>AFET</b> Foreign Affairs		04/09/2012
		S&D <a href="#">SOPHOCLEOUS Sophocles</a>	
	<b>BUDG</b> Budgets	The committee decided not to give an opinion.	
	<b>EMPL</b> Employment and Social Affairs	The committee decided not to give an opinion.	
	<b>ENVI</b> Environment, Public Health and Food Safety		20/01/2012
	ALDE <a href="#">BUȘOI Cristian-Silviu</a>		
<b>TRAN</b> Transport and Tourism	The committee decided not to give an opinion.		
<b>AGRI</b> Agriculture and Rural Development		20/12/2011	
	PPE <a href="#">KALNIETE Sandra</a>		
<b>CULT</b> Culture and Education		31/01/2012	
	ECR <a href="#">MCCLARKIN Emma</a>		
<b>JURI</b> Legal Affairs		19/12/2011	

Council of the European Union	Council configuration	Meeting	Date
	<a href="#">Competitiveness (Internal Market, Industry, Research and Space)</a>	<a href="#">3208</a>	10/12/2012
	<a href="#">Competitiveness (Internal Market, Industry, Research and Space)</a>	<a href="#">3190</a>	10/10/2012
	<a href="#">Competitiveness (Internal Market, Industry, Research and Space)</a>	<a href="#">3147</a>	20/02/2012
European Commission	Commission DG <a href="#">Research and Innovation</a>	Commissioner GEOGHEGAN-QUINN Máire	

## Key events

30/11/2011	Legislative proposal published	<a href="#">COM(2011)0811</a>	Summary
17/01/2012	Committee referral announced in Parliament		
20/02/2012	Debate in Council	<a href="#">3147</a>	
10/10/2012	Debate in Council	<a href="#">3190</a>	
28/11/2012	Vote in committee		
10/12/2012	Debate in Council	<a href="#">3208</a>	
08/01/2013	Committee report tabled for plenary, 1st reading/single reading	<a href="#">A7-0002/2013</a>	Summary
20/11/2013	Debate in Parliament		
21/11/2013	Results of vote in Parliament		
21/11/2013	Decision by Parliament	<a href="#">T7-0504/2013</a>	Summary
03/12/2013	Act adopted by Council after consultation of Parliament		
03/12/2013	End of procedure in Parliament		
20/12/2013	Final act published in Official Journal		

## Technical information

Procedure reference	2011/0402(CNS)
Procedure type	CNS - Consultation procedure
Procedure subtype	Legislation
Legislative instrument	Decision
	Repealing Decision 2006/975/EC <a href="#">2005/0184(CNS)</a> Repealing Decision 2006/971/EC <a href="#">2005/0185(CNS)</a> Repealing Decision 2006/972/EC <a href="#">2005/0186(CNS)</a> Repealing Decision 2006/973/EC <a href="#">2005/0187(CNS)</a>

	Repealing Decision 2006/974/EC <a href="#">2005/0188(CNS)</a> See also <a href="#">2013/0064(COD)</a> Repealed by <a href="#">2018/0225(CNS)</a>
Legal basis	Treaty on the Functioning of the EU TFEU 182-p4
Other legal basis	Rules of Procedure EP 159
Stage reached in procedure	Procedure completed
Committee dossier	ITRE/7/08080

Documentation gateway					
Legislative proposal		<a href="#">COM(2011)0811</a>	30/11/2011	EC	Summary
Document attached to the procedure		<a href="#">SEC(2011)1427</a>	30/11/2011	EC	
Document attached to the procedure		<a href="#">SEC(2011)1428</a>	30/11/2011	EC	
Economic and Social Committee: opinion, report		<a href="#">CES0806/2012</a>	28/03/2012	ESC	
Committee draft report		<a href="#">PE489.688</a>	05/06/2012	EP	
Amendments tabled in committee		<a href="#">PE492.816</a>	03/07/2012	EP	
Amendments tabled in committee		<a href="#">PE492.815</a>	04/07/2012	EP	
Amendments tabled in committee		<a href="#">PE492.814</a>	05/07/2012	EP	
Committee opinion	<b>AGRI</b>	<a href="#">PE489.458</a>	12/07/2012	EP	
Committee opinion	<b>CULT</b>	<a href="#">PE487.744</a>	16/07/2012	EP	
Amendments tabled in committee		<a href="#">PE492.826</a>	17/07/2012	EP	
Committee opinion	<b>JURI</b>	<a href="#">PE483.736</a>	18/09/2012	EP	
Committee opinion	<b>AFET</b>	<a href="#">PE492.562</a>	19/09/2012	EP	
Committee opinion	<b>ENVI</b>	<a href="#">PE487.909</a>	20/09/2012	EP	
Committee report tabled for plenary, 1st reading/single reading		<a href="#">A7-0002/2013</a>	08/01/2013	EP	Summary
Text adopted by Parliament, 1st reading/single reading		<a href="#">T7-0504/2013</a>	21/11/2013	EP	Summary
Commission response to text adopted in plenary		<a href="#">SP(2014)87</a>	30/01/2014	EC	

Additional information	
National parliaments	<a href="#">IPEX</a>
European Commission	<a href="#">EUR-Lex</a>

Final act
<a href="#">Decision 2013/743</a> <a href="#">OJ L 347 20.12.2013, p. 0965</a> Summary <a href="#">Corrigendum to final act 32013D0743R(01)</a> <a href="#">OJ L 102 21.04.2015, p. 0096</a> Summary

# Specific programme implementing the Horizon 2020 Framework Programme for Research and Innovation 2014-2020

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

**PROPOSED ACT:** Council Decision.

**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 will bring together all existing EU research and innovation funding currently provided through the Framework Programme for Research and Technological Development (FP), the Competitiveness and Innovation Framework Programme (CIP) and the European Institute of Innovation and Technology (EIT). The different types of funding provided by the existing programmes will be brought together into a single coherent, flexible framework, which will run from 2014 to 2020. It will provide funding for every stage of the innovation process from basic research to market uptake, in line with the EU's commitments under the "Innovation Union".

**IMPACT ASSESSMENT:** the four 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 the greatest impact on the policy objectives and downstream economic, competitiveness, and social benefits, while at the same time helping to simplify matters by 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:** Article 182(4) TFEU.

**CONTENT:** while Horizon 2020 sets out the general objective of that Framework Programme, this proposal aims to establish the specific programme implementing Horizon 2020 for the period from 1 January 2014 to 31 December 2020. It determines the specific objectives for Union support to the research and innovation activities as well as the rules for implementation.

The specific programme shall consist of four Parts, the first three relating to indirect actions:

**Part I Excellent science:** this will support the activities of the European Research Council on frontier research, future and emerging technologies, Marie Curie Actions and European research infrastructures. These activities should aim at building competence in the long term, focusing strongly on the next-generation of science, systems and researchers, and providing support for emerging talent from across the Union and from associated countries. Union activities to support excellent science should help consolidate the European Research Area and make the Unions science system more competitive and attractive on a global scale.

A budget of EUR 27.818 billion will strengthen the EU's position as a world leader in science. This will include:

- EUR 15.008 billion for the highly successful European Research Council (ERC), which provides substantial grants to top-level individual researchers working in Europe.
- Investment of EUR 3.505 billion in future and emerging technologies (FET) to open up new fields of research and innovation.
- A budget of EUR 6.503 billion for the Marie Curie Actions to develop research and innovation skills through the training, mobility and career development of researchers.
- Funding of EUR 2.802 billion will also be available for supporting access to, and networking of priority research infrastructures across Europe.

**Part II Industrial leadership:** in order to increase the Union's industrial leadership there is an urgent need to stimulate private sector research and development and innovation investment, promote research and innovation with a business driven agenda and accelerate the development of new technologies which will underpin future businesses and economic growth. Part II "Industrial leadership" should support investments in excellent research and innovation in key enabling technologies and other industrial technologies, facilitate access to risk finance for innovative companies and projects, and provide Union wide support for innovation in small and medium-sized enterprises.

This Part of Horizon 2020 has a budget of EUR 27.818 million allocated as follows:

- Leadership in enabling and industrial technologies: EUR 15.580 of which EUR 500 million for the EIT (including EUR 8.975.000.000 for information and communication technologies (ICT), of which EUR 1.588.000.000 for photonics and micro- and nanoelectronics, EUR 4293 million for nanotechnologies, advanced materials and advanced manufacturing and processing, EUR 575 million for biotechnology and EUR 1737 million for space.
- Access to risk finance : EUR 4.000 millions;
- Innovation in SMEs : EUR 700 millions.

**Part III Societal challenges:** this Part should increase the effectiveness of research and innovation in responding to key societal challenges by supporting excellent research and innovation activities. Those activities should be implemented using a challenge- based approach, which

brings together resources and knowledge across different fields, technologies and disciplines. Social sciences and humanities research is an important element for addressing all of the challenges. The activities should cover the full range of research and innovation with an emphasis on innovation-related activities such as piloting, demonstration, test-beds, and support for public procurement, pre-normative research and standard setting, and market uptake of innovations. The activities should support directly the corresponding sectoral policy competences at Union level. All challenges should contribute to the overarching objective of sustainable development.

This Part of Horizon 2020 has a budget of EUR 35.888 million allocated as follows:

- Health, demographic change and well-being : EUR 9 077 million of which EUR 292 million for the EIT.
- Food security, sustainable agriculture durable, marine and maritime research and the bio-economy : EUR 4 694 million of which EUR 150 million for the EIT ;
- Secure clean and efficient energy: EUR 6.537 million of which EUR 210 million for the EIT ;
- Smart, green and integrated transport : EUR 7.690 million of which EUR 247 million for the EIT.
- Climate action, resource efficiency and raw materials : EUR 3.573 millions of which EUR 115 million for the EIT.
- Inclusive, innovative and secure societies : EUR 4.317 million of which EUR 138 millions for the EIT.

Part IV "Non-nuclear direct actions of the Joint Research Centre" (EUR 2.210 million) has the specific objective of providing customer-driven scientific and technical support to Union policies.

BUDGETARY IMPLICATIONS: the financial envelope for the implementation of the specific programme shall be EUR 87.740.000.000 of which a maximum of EUR 86.198.000.000 is allocated to activities under Title XIX of the TFEU.

DELEGATED ACTS: the power to adopt acts in accordance with Article 290 TFEU will be delegated to the Commission to adapt or further elaborate the performance indicators corresponding to the specific objectives of the specific programme and the specific conditions for use of the finance facilities.

## Specific programme implementing the Horizon 2020 Framework Programme for Research and Innovation 2014-2020

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The Committee on Industry, Research and Energy adopted the report by Maria Da Graça CARVALHO (EPP, PT) on the proposal for a decision establishing the Specific Programme Implementing [Horizon 2020](#) The Framework Programme for Research and Innovation (2014-2020).

The parliamentary committee approves the Commission proposal subject to the following amendments:

Excellence, the main driver of Horizon 2020: Members wish to stress that Horizon 2020 will have excellence as its main foundation, while it pursues three priorities, namely (i) generating scientific excellence; (ii) creating industrial leadership; and (iii) tackling societal challenges.

Specific objectives:

- Part I Scientific excellence should also pursue the specific objective of spreading excellence and widening participation.
- Part III should contribute to the achievement of the priority societal challenges by means of participative and cross-disciplinary research, technological development actions, demonstration and innovation actions, including on socio-economic questions and social innovation, and by promoting research with and for society. Among the specific objectives pursued should be, among other things: (i) improving solutions for maintaining the autonomy of ageing persons; (ii) safeguarding quality agriculture; (iii) resource-conserving economy and accelerating climate change mitigation, considering its impacts on ecosystems, on the structure and reduction of biodiversity and on natural resource management; (iv) protecting the freedom and security of Europe and its citizens.

Evaluation of the specific programme: the general performance indicators should include the creation of patents and intellectual property rights (IPRs), the creation of start-ups and spin-offs and the implementation of research results in practice. Performance indicators, across all Horizon 2020 programmes, shall be published at least once a year and shall be constantly available to Union citizens through a public website.

Coordination and work programmes: Members call on the Commission to ensure effective coordination between the three main priorities of Horizon 2020.

- Strategic research and innovation coordination based on strategic scientific panels shall be established based on need and demand. When drafting the work programmes, the Commission shall consult those strategic scientific panels as well as other stakeholders using existing instruments whenever relevant, such as European Innovation Partnerships, European Technology Platforms and Joint Technology Initiatives.
- The Commission should include an indicator of the Technology Readiness Level (TRL) scale in actions it calls for in its work programmes.
- The work programmes shall include a balanced number of small (focused), medium and large (integrative) projects.

SMEs: Members call for particular attention to be paid, when financing SMEs, to simplification of procedures for accessing the funds and reporting obligations. At least 4% of the Horizon 2020 budget should be used for an instrument dedicated to SMEs. Moreover, at least 20% of the total combined budget for the specific objective 'Leadership in enabling and industrial technologies' and the priority "societal challenges" should go to SMEs.

Delegated acts: the power to adopt delegated acts shall be conferred on the Commission for a period of seven years from the entry into force of this Decision (and not for an indeterminate period, as proposed by the Commission).

## Specific programme implementing the Horizon 2020 Framework Programme for Research and

# Innovation 2014-2020

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The European Parliament adopted by 559 votes to 24, with 19 abstentions, in the framework of a special legislative procedure (European Parliament consultation), a legislative resolution on the proposal for a decision establishing the Specific Programme Implementing [Horizon 2020](#) The Framework Programme for Research and Innovation (2014-2020).

Parliament amended the Commission proposal as follows:

Priorities and specific objectives: Horizon 2020 should focus on three priorities:

- strengthen the excellence of European research (Excellent science);
- strengthen industrial leadership (Industrial leadership);
- contribute to the priority societal challenges (Societal challenges).

Parliament hoped that these priorities would be achieved through a specific programme with a section for each of the three priorities, a section for "Spreading excellence and widening participation", a section for "Science with and for society" and section for direct actions of the Joint Research Centre.

The three priorities should include an international dimension.

- Spreading excellence and widening participation actions should fully exploit the potential of European talent and aim to ensure that the benefits of focusing on innovation are both maximised and widely distributed in the EU economy accordance with the principle of excellence.

Activities shall help close the research and innovation divide in Europe by promoting synergies with the European Structural and Investment (ESI) Funds and also by specific measures shall be taken to unlock excellence in low performing RDI regions, thereby widening participation in Horizon 2020 and contributing to the realisation of the European Research Area.

- Science with and for society: actions should build effective cooperation between science and society, recruit new talent for science and pair scientific excellence with social awareness and responsibility. Social sciences and humanities research should be fully integrated into each of the general objectives of Horizon 2020. This will include ample opportunities for supporting such research through the European Research Council, the Marie Skłodowska-Curie actions or the Research Infrastructures specific objective.

Small and medium-sized enterprises (SMEs): Horizon 2020 should encourage and support the increased participation of SMEs in an integrated way across all specific objectives.

Fast Track to Innovation (FTI): the Fast Track to Innovation will speed up time from idea to market significantly and is expected to increase industry participation in Horizon 2020 and first-time applicants.

International cooperation: Horizon 2020 sets out the general principles for participation of organisations from third countries and international organisations. As research and innovation in general benefit largely from an openness towards third countries, Horizon 2020 will continue with the principle of general openness, while encouraging reciprocal access to third country programmes. Focus should be on cooperation with three major country groupings: (i) industrialised and emerging economies; (ii) enlargement and neighbourhood countries; and (iii) developing countries.

Sustainable development and climate change: Horizon 2020 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. Such horizontal approach, fully integrated in all Horizon 2020 priorities.

Bridging from discovery to market application: bridging actions throughout Horizon 2020 are aimed at bringing discovery to market application, leading to exploitation and commercialisation of ideas whenever appropriate. The actions should be based on a broad innovation concept and stimulate cross-sectoral innovation.

Cross-cutting support measures: these should be supported by a number of transversal support measures, including support to: (i) enhancing the attractiveness of the research profession, including the general principles of the European Charter for researchers; (ii) strengthening the evidence base and the development of and support for ERA; (iii) recognising top performing Horizon 2020 beneficiaries and projects in the different fields through symbolic awards; (iv) improving framework conditions in support of the Innovation Union, including exploring the possibility of setting up an European Intellectual Property Rights valorisation instrument; (v) administration and coordination of international networks for excellent researchers and innovators (such as COST).

## Specific programme implementing the Horizon 2020 Framework Programme for Research and Innovation 2014-2020

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Corrigendum to Council Decision 2013/743/EU of 3 December 2013 establishing the specific programme implementing Horizon 2020 ? the Framework Programme for Research and Innovation (2014-2020) and repealing Decisions 2006/971/EC, 2006/972/EC, 2006/973/EC, 2006/974/EC and 2006/975/EC ([Official Journal of the European Union L 347 of 20 December 2013](#))

On page 1038, Annex II, 3. PART III. PRIORITY ?SOCIETAL CHALLENGES?, last sentence:

for:

?Moreover, for each of the challenges, progress shall be assessed against the contribution to the specific objectives which are detailed in Annex I to Regulation (EU) No 104/2013.?

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read:

?Moreover, for each of the challenges, progress shall be assessed against the contribution to the specific objectives which are detailed in Annex I to Regulation (EU) No 1291/2013.?

## Specific programme implementing the Horizon 2020 Framework Programme for Research and Innovation 2014-2020

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

**LEGISLATIVE ACT:** Council Decision establishing the specific programme implementing Horizon 2020 - the Framework Programme for Research and Innovation (2014-2020) and repealing Decisions 2006/971/EC, 2006/972/EC, 2006/973/EC, 2006/974/EC and 2006/975/EC.

**CONTENT:** the Decision establishes the specific programme implementing Regulation (EU) No 1291/2013 establishing the specific programme implementing the Framework Programme for Research and Innovation [Horizon 2020](#) (2014-2020) and determines the specific objectives for Union support to the research and innovation activities as well as the rules for implementation.

Horizon 2020 replaces the EU Seventh Framework Programme (FP7) for research, which ended in 2013. Its objective is to contribute to the construction of a society and an economy based on knowledge and innovation across the Union.

In line with the Framework Programme, the specific Programme is made up of the following sections:

**Excellent science:** the Programme supports: i) the activities of the European Research Council (ERC) on frontier research, ii) future and emerging technologies, iii) Marie Skłodowska-Curie actions and iv) European research infrastructures.

These activities should aim at building competence in the long term, focusing strongly on the next generation of science, systems and researchers, and providing support for emerging talent from across the Union and from associated countries. Union activities to support excellent science should help consolidate the European Research Area (ERA) and make the science system of the Union more competitive and attractive on a global scale.

**Europe's industrial leadership:** the Programme supports research, technological development, demonstration and innovation in the following enabling and industrial technologies: i) information and communication technologies (ICT); ii) nanotechnologies; iii) advanced materials; iv) biotechnology; v) advanced manufacturing and processing; vi) space.

The objectives are also: i) to improve access to risk finance for investment in research and innovation; and ii) to enhance innovation in micro, small and medium-sized enterprises (SMEs).

**Societal challenges:** research, technological development, demonstration and innovation should contribute to the achievement of the following specific objectives:

- improving the lifelong health and well-being of all;
- securing sufficient supplies of safe, healthy and high quality food and other bio-based products (food security, sustainable agriculture and forestry, marine, maritime and inland water research, and the bioeconomy);
- making the transition to a reliable, affordable, publicly accepted, sustainable and competitive energy system, aiming at reducing fossil fuel dependency;
- achieving a European transport system that is resource-efficient, climate- and environmentally-friendly, safe and seamless (Smart, green and integrated transport);
- achieving a resource- and water-efficient and climate change resilient economy and society, protection and sustainable management of natural resources and ecosystems and a sustainable supply and use of raw materials;
- fostering a greater understanding of Europe, providing solutions and supporting inclusive, innovative and reflective European societies in a context of unprecedented transformations and growing global interdependencies;
- fostering secure European societies in a context of unprecedented transformations and growing global interdependencies and threats, while strengthening the European culture of freedom and justice.

**Spreading excellence and widening participation:** it aims to fully exploit the potential of Europe's talent pool and ensure that the benefits of an innovation-led economy are both maximised and widely distributed across the Union.

**Science with and for society:** the objective is to build effective cooperation between science and society, by fostering the recruitment of new talent for science, and pairing scientific excellence, on the one hand, with social awareness and responsibility, on the other hand.

**Non-nuclear direct actions of the Joint Research Centre (JRC):** these actions contribute to all of the priorities set out in the Horizon 2020 Programme with the specific objective of providing customer-driven scientific and technical support to Union policies.

In carrying out the direct actions in accordance with its mission, the JRC should place particular emphasis on areas of key concern for the Union, namely smart, inclusive and sustainable growth, and the headings Security and citizenship and Global Europe of the Multiannual Financial Framework for 2014-2020.

The broad lines of the specific objectives and activities to be carried out are described in the Annexes to the Decision.

**Budget:** in accordance with the Regulation establishing Horizon 2020, the financial envelope for the implementation of the specific programme shall be EUR 74 316.9 million.

**Implementation:** the Decision provides that the Commission shall establish a European Research Council (ERC), which shall be the means of implementing the actions under Excellent science which relate to the specific objective The European Research Council (ERC).

The ERC shall have a President who shall be chosen from among senior and internationally respected scientists. The independent Scientific Council shall be composed of scientists, engineers and scholars of the highest repute and appropriate expertise, of both women and men in different age groups, ensuring a diversity of research areas.

A dedicated implementation structure shall be responsible for the administrative implementation and programme execution.

ENTRY INTO FORCE: 23.12.2013.

DELEGATED ACTS: the Commission may adopt delegated acts in order to ensure that the specific conditions for the use of the finance facilities reflect market conditions. The power to adopt such acts is conferred on the Commission for the duration of Horizon 2020. The Council may object to a delegated act within a period of two months from the date of notification (this period can be extended for a month). If the Council makes objections, the delegated act will not enter into force. The European Parliament will be informed of delegated acts adopted by the Commission and any objection expressed towards them.