



Reunión informativa sobre HORIZONTE 2020

La negociación interinstitucional de Horizonte 2020
Situación actual

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Subdirección General de Relaciones Internacionales y con Europa

What is Horizon 2020

- Commission proposal for a 80 billion euro research and innovation funding programme (2014-20)
- Part of proposals for next EU budget, complementing Structural Funds, education, etc.
- A core part of Europe 2020, Innovation Union & European Research Area:
 - **Responding to the economic crisis** to invest in future jobs and growth
 - **Addressing peoples' concerns** about their livelihoods, safety and environment.
 - **Strengthening the EU's global position** in research, innovation and technology

What's new

- **A single programme** *bringing together three separate programmes/initiatives**
- **More innovation**, *from research to retail, all forms of innovation*
- **Focus on societal challenges** *facing EU society, e.g. health, clean energy and transport*
- **Simplified access**, *for all companies, universities, institutes in all EU countries and beyond.*

**The 7th research Framework Programme (FP7), innovation aspects of Competitiveness and Innovation Framework Programme (CIP), EU contribution to the European Institute of Innovation and Technology (EIT)*

Three priorities:

1 Excellent science

2 Industrial leadership

3 Societal challenges

Priority 1 Excellent science

Why:

- World class science is the foundation of tomorrow's technologies, jobs and wellbeing
- Europe needs to develop, attract and retain research talent
- Researchers need access to the best infrastructures

Proposed funding (million euro, 2014-20)

European Research Council <i>Frontier research by the best individual teams</i>	13 268
Future and Emerging Technologies <i>Collaborative research to open new fields of innovation</i>	3 100
Marie Curie actions <i>Opportunities for training and career development</i>	5 752
Research infrastructures (including e-infrastructure) <i>Ensuring access to world-class facilities</i>	2 478

Priority 2 Industrial leadership

Why:

- Europe needs more innovative SMEs to create growth and jobs
- Strategic investments in key technologies (e.g. advanced manufacturing, micro-electronics) underpin innovation across existing and emerging sectors
- Europe needs to attract more private investment in research and innovation

Proposed funding (million euro, 2014-20)

Leadership in enabling and industrial technologies (<i>ICT, nanotechnologies, materials, biotechnology, manufacturing, space</i>)	13 781
Access to risk finance <i>Leveraging private finance and venture capital for research and innovation</i>	3 538
Innovation in SMEs <i>Fostering all forms of innovation in all types of SMEs</i>	619

Access to risk finance

- Remedy market deficiencies in **accessing risk finance** for research and innovation
- **Debt facility:** loans, guarantees, counter-guarantees,...
 - demand-driven component: first come, first served
 - policy-driven component: focusing on key sectoral policies of the Union
- **Equity facility:** equity finance
 - start-up window: focus on early stage
 - growth window: expansion and growth stage investments in conjunction with Equity Facility for Growth of COSME
 - primarily demand-driven, possibility of earmarking for particular policy goals
- Further **implementation details** in Specific Programme

Priority 3 Societal challenges

Why:

- EU policy objectives (climate, environment, energy, transport etc) cannot be achieved without innovation
- Breakthrough solutions come from multi-disciplinary collaborations, including social sciences & humanities
- Promising solutions need to be tested, demonstrated and scaled up

Proposed funding (million euro, 2014-20)

Health, demographic change and wellbeing	8 033
Food security, sustainable agriculture, marine and maritime resources & the bioeconomy	4 152
Secure, clean and efficient energy*	5 782
Smart, green and integrated transport	6 802
Climate action, resource efficiency and raw materials	3 160
Inclusive, innovative and secure societies	3 819

*Additional €1 050m for nuclear safety and security from the Euratom Treaty activities (2014-18). Does not include ITER.

Role of the EIT and JRC in Horizon 2020

Three priorities to be supported by:

European Institute of Innovation and Technology (EIT) <i>Combining research, innovation & training in Knowledge and Innovation Communities</i>	1 360 + 1 440*
Joint Research Centre (JRC)** <i>Providing a robust, evidence base for EU policies</i>	1 961

* Second tranche pro rata from LEIT and Societal challenges (subject to review)

**Additional €724 m for the JRC to be funded from the Euratom Treaty activities

Strong participation by SMEs

- **Integrated approach** - around 15% of the total budget for societal challenges and LEITs to go to SMEs.
- **Simplification** of particular benefit to SMEs (e.g. single entry point).
- A **new SME instrument**, building on the SBIR model, will be used across all societal challenges as well as for the LEITs
- A dedicated activity for research-intensive SMEs in '**Innovation in SMEs**'.
- '**Access to risk finance**' will have a strong SME focus (debt and equity facility)

Links to COSME

- Horizon 2020 and COSME are **complementary programmes** to generate growth and jobs
- **Different focus:**
 - Horizon 2020 = innovation driven growth
 - COSME = support to create favourable business environment and competitiveness
- **Closely coordinated**, for instance:
 - Integrated financial instruments (debt and equity), with facilities in both programmes serving complementary objectives
 - Enterprise Europe Network set up under COSME, but to provide support to SMEs for EU funding

Rules for Participation: *what's new? (1)*

1. A SINGLE SET OF RULES

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

2. ONE PROJECT - ONE FUNDING RATE.

- Maximum of 100% of direct costs (except for actions close to market, where a 70% maximum will apply)
- Indirect eligible costs: a flat rate of 20% of direct eligible costs

3. SIMPLE EVALUATION CRITERIA

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

4. **NEW FORMS OF FUNDING** aimed at innovation: pre-commercial procurement, inducement prizes, dedicated loan and equity instruments.

5. **INTERNATIONAL PARTICIPATION:** facilitated but better protecting EU interests.

Rules for Participation: *what's new?* (2)

6. SIMPLER RULES FOR GRANTS: broader acceptance of participants accounting practices for direct costs, flat rate for indirect costs, no time-sheets for personnel working full time on a project, possibility of output-based grants.

7. FEWER, BETTER TARGETED CONTROLS AND AUDITS

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

8. IMPROVED RULES ON INTELLECTUAL PROPERTY

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

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

The “Ordinary legislative procedure” (ex “co-decision”)

