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
<table>
<thead>
<tr>
<th>Proposed funding (million euro, 2014-20)</th>
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<tbody>
<tr>
<td><strong>European Research Council</strong></td>
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<tr>
<td><em>Frontier research by the best individual teams</em></td>
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<tr>
<td><strong>Future and Emerging Technologies</strong></td>
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<td><em>Collaborative research to open new fields of innovation</em></td>
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<td><strong>Marie Curie actions</strong></td>
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<td><em>Opportunities for training and career development</em></td>
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<tr>
<td><strong>Research infrastructures (including e-infrastructure)</strong></td>
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<tr>
<td><em>Ensuring access to world-class facilities</em></td>
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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
<table>
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<th>Proposed funding (million euro, 2014-20)</th>
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<tbody>
<tr>
<td>Leadership in enabling and industrial technologies (<em>ICT, nanotechnologies, materials, biotechnology, manufacturing, space</em>)</td>
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<tr>
<td>Access to risk finance</td>
</tr>
<tr>
<td><em>Leveraging private finance and venture capital for research and innovation</em></td>
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<tr>
<td>Innovation in SMEs</td>
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<tr>
<td><em>Fostering all forms of innovation in all types of SMEs</em></td>
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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)

<table>
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<tr>
<th>Category</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Health, demographic change and wellbeing</td>
<td>8 033</td>
</tr>
<tr>
<td>Food security, sustainable agriculture, marine and maritime resources &amp; the bioeconomy</td>
<td>4 152</td>
</tr>
<tr>
<td>Secure, clean and efficient energy*</td>
<td>5 782</td>
</tr>
<tr>
<td>Smart, green and integrated transport</td>
<td>6 802</td>
</tr>
<tr>
<td>Climate action, resource efficiency and raw materials</td>
<td>3 160</td>
</tr>
<tr>
<td>Inclusive, innovative and secure societies</td>
<td>3 819</td>
</tr>
</tbody>
</table>

*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:

<table>
<thead>
<tr>
<th>Priority</th>
<th>Funding</th>
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<tbody>
<tr>
<td>European Institute of Innovation and Technology (EIT) Combining research, innovation &amp; training in Knowledge and Innovation Communities</td>
<td>1 360 + 1 440*</td>
</tr>
<tr>
<td>Joint Research Centre (JRC)**</td>
<td>1 961</td>
</tr>
<tr>
<td>Providing a robust, evidence base for EU policies</td>
<td></td>
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* 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.
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”)

- Green Paper consultation (online comments, opinions, position papers etc)
- FP evaluations, FP7 interim review etc

**Commission**

- Proposal
- EP Position
- Council position
- Amendments (absolute majority of members)

**European Parliament**

- European Research Advisory Board
- Direct approval if agreement with EP
- Direct approval if agreement with Council

**Council**

- ERAC
- Amendments
- Conciliation: joint text

- Adoption

- Commission opinion on EP amendments
- Commission opinion on EP amendments
- (within 3 months)
- (approval within 6 weeks)

- Com. communication on Common position

1. Proposal
2. EP Position
3. Council position
4. Amendments
5. Conciliation: joint text
6. Adoption