

Horizon 2020 framework programme for research and innovation 2014-2020

2011/0401(COD) - 30/11/2011 - Legislative proposal

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".