



2018/0224(COD)

9.7.2018

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DRAFT REPORT

on the proposal for a regulation of the European Parliament and of the Council establishing Horizon Europe – the Framework Programme for Research and Innovation, laying down its rules for participation and dissemination (COM(2018)0435 – C8-0252/2018 – 2018/0224(COD))

Committee on Industry, Research and Energy

Rapporteur: Dan Nica

Symbols for procedures

- * Consultation procedure
- *** Consent procedure
- ***I Ordinary legislative procedure (first reading)
- ***II Ordinary legislative procedure (second reading)
- ***III Ordinary legislative procedure (third reading)

(The type of procedure depends on the legal basis proposed by the draft act.)

Amendments to a draft act

Amendments by Parliament set out in two columns

Deletions are indicated in ***bold italics*** in the left-hand column. Replacements are indicated in ***bold italics*** in both columns. New text is indicated in ***bold italics*** in the right-hand column.

The first and second lines of the header of each amendment identify the relevant part of the draft act under consideration. If an amendment pertains to an existing act that the draft act is seeking to amend, the amendment heading includes a third line identifying the existing act and a fourth line identifying the provision in that act that Parliament wishes to amend.

Amendments by Parliament in the form of a consolidated text

New text is highlighted in ***bold italics***. Deletions are indicated using either the ▬ symbol or ~~strikeout~~. Replacements are indicated by highlighting the new text in ***bold italics*** and by deleting or striking out the text that has been replaced.

By way of exception, purely technical changes made by the drafting departments in preparing the final text are not highlighted.

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DRAFT EUROPEAN PARLIAMENT LEGISLATIVE RESOLUTION

on the proposal for a regulation of the European Parliament and of the Council establishing Horizon Europe – the Framework Programme for Research and Innovation, laying down its rules for participation and dissemination (COM(2018)0435 – C8-0252/2018 – 2018/0224(COD))

(Ordinary legislative procedure: first reading)

The European Parliament,

- having regard to the Commission proposal to Parliament and the Council (COM(2018)0435),
 - having regard to Article 294(2) and Articles 173(3), 182(1), 183 and 188 of the Treaty on the Functioning of the European Union, pursuant to which the Commission submitted the proposal to Parliament (C8-0252/2018),
 - having regard to Article 294(3) of the Treaty on the Functioning of the European Union,
 - having regard to Rule 59 of its Rules of Procedure,
 - having regard to the report of the Committee on Industry, Research and Energy and the opinions of the Committee on Development, the Committee on Budgets, the Committee on Budgetary Control, the Committee on the Environment, Public Health and Food Safety, the Committee on Transport and Tourism, the Committee on Regional Development, the Committee on Agriculture and Rural Development and the Committee on Culture and Education (A8-0000/2018),
1. Adopts its position at first reading hereinafter set out;
 2. Calls on the Commission to refer the matter to Parliament again if it replaces, substantially amends or intends to substantially amend its proposal;
 3. Instructs its President to forward its position to the Council, the Commission and the national parliaments.

Amendment 1

Proposal for a regulation

Recital 1

Text proposed by the Commission

(1) It is the Union's objective to strengthen its scientific and technological bases ***and encourage its competitiveness***, including in its industry, while promoting all research and innovation activities to

Amendment

(1) It is the Union's objective to strengthen its scientific and technological bases ***by achieving a balanced European research area in which researchers, scientific knowledge and technology***

deliver on the Union's strategic priorities, which ultimately aim at promoting peace, the Union's values and the well-being of its peoples.

circulate freely, and encouraging it to become more competitive, including in its industry, while promoting all research and innovation activities to deliver on the Union's strategic priorities *and commitments*, which ultimately aim at promoting peace, *tackling climate change, sustainable development*, the Union's values and the well-being of its peoples.

Or. en

Amendment 2

Proposal for a regulation

Recital 2

Text proposed by the Commission

(2) To deliver scientific, economic and societal impact in pursuit of this general objective, the Union should invest in research and innovation through Horizon Europe - a Framework Programme for Research and Innovation 2021-2027 (the 'Programme') to support the creation *and* diffusion of high-quality knowledge and technologies, to strengthen the impact of research and innovation in developing, supporting and implementing Union policies, to support the uptake of innovative solutions in industry and society to *address global challenges* and promote industrial competitiveness; to foster all forms of innovation, including breakthrough innovation, and strengthen market deployment of innovative solutions; and optimise the delivery of such investment for increased impact within a strengthened European Research Area.

Amendment

(2) To deliver scientific, economic and societal impact in pursuit of this general objective *and maximize the EU added value of its RDI investments*, the Union should invest in research and innovation through Horizon Europe - a Framework Programme for Research and Innovation 2021-2027 (the 'Programme') to support the creation, diffusion *and transfer* of high-quality knowledge and technologies *in the Union*, to strengthen the impact of research and innovation *in addressing global societal challenges as defined by the Sustainable Development Goals, and* in developing, supporting and implementing Union policies, to support the uptake of innovative *sustainable* solutions in *the Union's* industry and society to *improve people's well-being* and promote *its* industrial competitiveness; to foster all forms of innovation, including breakthrough innovation, and strengthen market deployment of innovative solutions; and optimise the delivery of such investment for increased impact within a strengthened European Research Area.

Or. en

Amendment 3

Proposal for a regulation

Recital 3

Text proposed by the Commission

(3) *The promotion of research and innovation activities deemed necessary to help realise Union policy objectives should take into account the innovation principle as put forward in the Commission Communication of 15 May 2018 'A renewed European Agenda for Research and Innovation - Europe's chance to shape its future' (COM(2018)306).*

Amendment

deleted

Or. en

Amendment 4

Proposal for a regulation

Recital 4

Text proposed by the Commission

(4) Open Science, Open Innovation, Open to the World constitute general *principles*, which should ensure excellence and impact of the Union's investment in research and innovation. They should be adhered in the implementation of the Programme, *in particular for the strategic planning in respect of the pillar 'Global Challenges and Industrial Competitiveness'*.

Amendment

(4) *A fair balance between the continuation of "Open Science, Open Innovation, Open to the World" and the safeguard of Union's scientific and socio-economic interests constitute the general principle*, which should ensure excellence and *European* impact of the Union's investment in research and innovation. *This balance* should be adhered in the implementation of the Programme.

Or. en

Amendment 5

Proposal for a regulation

Recital 5

(5) Open science, **including open access to scientific publications and research data**, has the potential to increase the quality, impact and benefits of science and to accelerate the advancement of knowledge by making it more reliable, more efficient and accurate, better understandable by society and responsive to societal challenges. Provisions should be laid down to ensure that beneficiaries provide open access to peer-reviewed scientific publications, research data and other research outputs in an open and non-discriminatory manner, free of charge and as early as possible in the dissemination process, and to enable their widest possible use and re-use. More emphasis should **in particular** be given to the responsible management of research data, which should comply with the FAIR principles of ‘Findability’, ‘Accessibility’, ‘Interoperability’ and ‘Reusability’, notably through the mainstreaming of Data Management Plans. Where appropriate, beneficiaries should make use of the possibilities offered by the European Open Science Cloud and adhere to further open science principles and practices.

(5) Open science has the potential to increase the quality, impact and benefits of science and to accelerate the advancement of knowledge by making it more reliable, more efficient and accurate, better understandable by society and responsive to societal challenges. Provisions should be laid down to ensure that beneficiaries provide open access to peer-reviewed scientific publications, research data and other research outputs in an open and non-discriminatory manner, free of charge and as early as possible in the dissemination process, and to enable their widest possible use and re-use. **As far as research data is concerned, the principle should be “as open as possible, as closed as necessary”, therefore recognising the need for different access regimes because of the Union’s economic interest, Intellectual Property Rights, personal data protection and confidentiality, security concerns and other legitimate interests.** More emphasis should be given to the responsible management of research data, which should comply with the FAIR principles of ‘Findability’, ‘Accessibility’, ‘Interoperability’ and ‘Reusability’, notably through the mainstreaming of Data Management Plans. Where appropriate, beneficiaries should make use of the possibilities offered by the European Open Science Cloud and **the European Data Infrastructure and** adhere to further open science principles and practices. **Provisions for reciprocity and fair open access should be laid down in all association and international cooperation agreements.**

Or. en

Amendment 6

Proposal for a regulation Recital 5 a (new)

Text proposed by the Commission

Amendment

(5 a) SME beneficiaries are encouraged to make use of the existing instruments such as IPR SME Helpdesk that supports European Union small and medium sized enterprises to both protect and enforce their Intellectual Property (IP) rights through the provision of free information and services, in the form of confidential advice on intellectual property and related issues, plus training, materials and online resources.

Or. en

Amendment 7

Proposal for a regulation Recital 6

Text proposed by the Commission

Amendment

(6) The conception and design of the Programme should respond to the need for establishing a critical mass of supported activities, throughout the EU Union and through international cooperation, in line with the UN Sustainable Development Goals (SDGs). Programme implementation should reinforce the pursuit of this aim.

(6) The conception and design of the Programme should respond to the need for establishing a critical mass of supported activities, throughout the EU Union and through ***targeted*** international cooperation, in line with the UN Sustainable Development Goals (SDGs) ***and the Paris Agreement***. Programme implementation should reinforce the pursuit of this aim.

Or. en

Amendment 8

Proposal for a regulation Recital 8

Text proposed by the Commission

(8) The Programme should maintain a balanced approach between bottom-up (investigator or innovator driven) and top-down (determined by strategically defined priorities) funding, according to the nature of the research and innovation communities that are engaged, the types and purpose of the activities carried out and the impacts that are sought. The mix of these factors should determine the choice of approach for the respective parts of the Programme, all of which contribute to all of the Programme's general and specific objectives.

Amendment

(8) The Programme should maintain a balanced approach between bottom-up (investigator or innovator driven) and top-down (determined by strategically defined priorities) funding, according to the nature of the research and innovation communities that are engaged ***across the Union, the success rates in a line of activity, the*** types and purpose of the activities carried out, ***the subsidiarity principle*** and the impacts that are sought. The mix of these factors should determine the choice of approach for the respective parts of the Programme, all of which contribute to all of the Programme's general and specific objectives.

Or. en

Amendment 9

Proposal for a regulation

Recital 8 a (new)

Text proposed by the Commission

Amendment

(8 a) A number of research and innovation actions will apply a Fast Track to Research and Innovation logic where time-to-grant shall not exceeding 6 months. This shall allow a faster, bottom-up access to funds for small collaborative consortia covering actions from fundamental research to market application.

Or. en

Amendment 10

Proposal for a regulation

Recital 8 b (new)

Text proposed by the Commission

Amendment

(8b) *The programme should support all stages of research and innovation, including basic research. The Union acknowledges that excellent research, and especially fundamental research, is an essential asset and an important condition to address EU policy objectives and priorities.*

Or. en

Amendment 11

Proposal for a regulation

Recital 9

Text proposed by the Commission

(9) Research activities carried out under the pillar 'Open Science' should be determined according to the needs and opportunities of science. The research agenda should be set in close liaison with the scientific community. Research should be funded on the basis of excellence.

Amendment

(9) Research activities carried out under the pillar 'Open Science' should be determined according to the needs and opportunities of science ***carried out in particular in the Union and its Neighbourhood.*** The research agenda should be set in close liaison with the scientific community. Research should be funded on the basis of excellence ***and include emphasis on young researchers, while strengthening the ERA, avoiding brain drain and reinforcing EU's attractiveness.***

Or. en

Amendment 12

Proposal for a regulation

Recital 10

Text proposed by the Commission

(10) The pillar 'Global Challenges and

Amendment

(10) The pillar 'Global Challenges and

Industrial Competitiveness' should be established through clusters of research and innovation activities, in order to maximise integration across the respective work areas while securing high and sustainable levels of impact in relation to the resources that are expended. It will encourage cross-disciplinary, cross-sectoral, cross-policy and cross-border collaboration in pursuit of the UN SDGs and the competitiveness of the Union's industries therein.

European Industrial Competitiveness' should be established through clusters of research and innovation activities, in order to maximise integration across the respective work areas while securing high and sustainable levels of impact **for the Union** in relation to the resources that are expended. It will encourage cross-disciplinary, cross-sectoral, cross-policy and cross-border collaboration in pursuit of the UN SDGs, **and where needed to address societal challenges, the reduction of the RDI divide within the Union** and the competitiveness of the Union's industries therein. **The activities under this pillar should cover the full range of research and innovation activities such as basic and applied research, development, piloting, demonstration, and support for public procurement, pre-normative research and standard setting, and market uptake of innovations to ensure that Europe stays at the cutting-edge or research in strategically defined priorities.**

Or. en

Amendment 13

Proposal for a regulation

Recital 11

Text proposed by the Commission

(11) Full engagement of industry in the Programme, at all levels from the individual entrepreneur and small and medium-sized enterprises to large scale enterprises, should **constitute one of the main channels through which the Programme's objectives are to be realised**, specifically towards the creation of sustainable jobs and growth. Industry should contribute to the perspectives and priorities established through the strategic planning process which should **support** the development of work programmes. **Such**

Amendment

(11) Full engagement of **the Union's** industry in the Programme, at all levels from the individual entrepreneur and small and medium-sized enterprises to large scale enterprises, should **continue** specifically towards the creation of sustainable jobs and growth **in Europe. Both civil society and** industry should contribute to the perspectives and priorities established through the strategic planning process which should **result in periodic Strategic R&I Plans under the form of delegated acts. Strategic Plans should then be**

engagement by industry should see its participation in the actions supported at levels at least commensurate with those under the previous framework programme Horizon 2020 established by Regulation (EU) No 1291/2013 of the European Parliament and the Council¹³ ('Horizon 2020').

¹³ *null*

implemented through the development of work programmes.

Or. en

Amendment 14

Proposal for a regulation

Recital 12

Text proposed by the Commission

(12) It is important to support industry to stay or become world leader in innovation, digitisation and decarbonisation, notably through investments in key enabling technologies that will underpin tomorrow's business. The Programme's actions should be used to address market failures or sub-optimal investment situations, in a proportionate manner, without duplicating or crowding out private financing and have a clear European added value. This will ensure consistency between the actions of the programme and EU State aid rules, *avoiding undue distortions of competition in the internal market.*

Amendment

(12) It is important to support *EU's* industry to stay or become world leader in innovation, digitisation and decarbonisation, notably through investments in key enabling technologies that will underpin tomorrow's business. The Programme's actions should be used to address market failures or sub-optimal investment situations, in a proportionate manner, without duplicating or crowding out private financing and have a clear European added value. This will ensure consistency between the actions of the programme and EU *RDI* State aid rules *which should be revised in order to take into account EU's external competitiveness and the incentives to innovation* in the *Union's competitors.*

Or. en

Amendment 15

Proposal for a regulation

Recital 13

Text proposed by the Commission

(13) The Programme should support research and innovation in an integrated manner, respecting all relevant provisions of the World Trade Organisation. The concept of research, including experimental development should be used in accordance with the Frascati Manual developed by the OECD, whereas the concept of innovation should be used in accordance with the Oslo Manual developed by the OECD and Eurostat, following a broad approach that covers social innovation. The OECD definitions regarding Technological Readiness Level (TRL) should continue, as in the previous Framework Programme Horizon 2020, to be taken into account in the classification of technological research, product development and demonstration activities, and the definition of types of action available in calls for proposals. In principle grants should not be awarded for actions where activities go above TRL 8. The work programme for a given call under the pillar 'Global Challenges and Industrial Competitiveness' could allow grants for large-scale product validation and market replication.

Amendment

(13) The Programme should support research and innovation in an integrated manner, respecting all relevant provisions of the World Trade Organisation. The concept of research, including experimental development should be used in accordance with the Frascati Manual developed by the OECD, whereas the concept of innovation should be used in accordance with the Oslo Manual developed by the OECD and Eurostat, following a broad approach that covers social innovation. The OECD definitions regarding Technological Readiness Level (TRL) should continue, as in the previous Framework Programme Horizon 2020, to be taken into account *as one of the criteria* in the classification of technological research, product development and demonstration activities, and the definition of types of action available in calls for proposals. In principle grants should not be awarded for actions where activities go above TRL 9. The work programme for a given call under the pillar 'Global Challenges and Industrial Competitiveness' could allow grants for large-scale product validation and market replication.

Or. en

Amendment 16

Proposal for a regulation

Recital 14

Text proposed by the Commission

(14) *The Commission's Communication on the interim evaluation*

Amendment

deleted

of Horizon 2020 (COM(2018) 2 final) has provided a set of recommendations for this Programme, including its Rules for participation and dissemination, building on the lessons learnt from the previous Programme as well as input from EU institutions and stakeholders. Those recommendations include to invest more ambitiously in order to reach critical mass and maximise impact; to support breakthrough innovation; to prioritise Union research and innovation (R&I) investments in areas of high added value, notably through mission-orientation, citizen involvement and wide communication; to rationalise the Union funding landscape, including by streamlining the range of partnership initiatives and co-funding schemes; the development of more and concrete synergies between different Union funding instruments, notably with the aim of helping to mobilise under-exploited R&I potential across the Union; to strengthen international cooperation and reinforce openness to third countries' participation; and to continue simplification based on implementation experiences from Horizon 2020.

Or. en

Amendment 17

Proposal for a regulation

Recital 15

Text proposed by the Commission

(15) The Programme should seek synergies with other Union programmes, from their design and strategic planning, to project selection, management, communication, dissemination and exploitation of results, to monitoring, auditing and governance. With a view to avoiding overlaps and duplication and

Amendment

(15) The Programme should seek **alignment of rules and** synergies with other Union programmes, from their design and strategic planning, to project selection, management, communication, dissemination and exploitation of results, to monitoring, auditing and governance. With a view to avoiding overlaps and

increasing the leverage of Union funding, transfers from other Union programmes to Horizon Europe activities can take place. In such cases they will follow Horizon Europe rules.

duplication and increasing the leverage of Union funding, *as well as decreasing administrative burden for the beneficiaries, all types of synergies should follow the principle “one action follows one set of rules”*:

- transfers from other Union programmes to Horizon Europe activities can take place. In such cases they will follow Horizon Europe rules;

- *cofunding of an action by Horizon Europe and another Union programme could also be foreseen while not exceeding the total eligible costs of the action. In such cases, only Horizon Europe rules would apply and double audits should be avoided;*

- *Seals of Excellence should be awarded automatically to all proposals which have passed the “excellence” threshold in Horizon Europe but cannot be financed due to budgetary constraints. In such cases, the rules of the Fund providing support should apply with the exception of State Aid Rules.*

Or. en

Amendment 18

Proposal for a regulation Recital 16

Text proposed by the Commission

(16) In order to achieve the greatest possible impact of Union funding and the most effective contribution to the Union's policy objectives, the Programme *should* enter into European Partnerships with private and/or public sector partners. Such partners include industry, research organisations, bodies with a public service mission at local, regional, national or international level, and civil society organisations such as foundations that

Amendment

(16) In order to achieve the greatest possible impact of Union funding and the most effective contribution to the Union's policy objectives, the Programme *may* enter into European Partnerships with private and/or public sector partners, *on the basis of the outcome of the Strategic Planning*. Such partners include industry, research organisations *including research infrastructures*, bodies with a public service mission at local, regional, national

support and/or carry out research and innovation, provided that desired impacts can be achieved more effectively in partnership than by the Union alone.

or international level, and civil society organisations such as *non-governmental organisations and* foundations that support and/or carry out research and innovation, provided that desired impacts can be achieved more effectively in partnership than by the Union alone.

Or. en

Amendment 19

Proposal for a regulation

Recital 17

Text proposed by the Commission

(17) The Programme should strengthen cooperation between European Partnerships and private and/or public sector partners at the international level including by joining up research and innovation programmes and cross-border investment in research and innovation bringing mutual benefits to people and businesses while ensuring that the EU can uphold its interests *in strategic areas*.¹⁴

¹⁴ See e.g. the Commission's proposal for a regulation establishing a framework for screening Foreign Direct Investment into the EU (COM (2017)487).

Amendment

(17) The Programme should strengthen cooperation between European Partnerships and private and/or public sector partners at the international level including by joining up research and innovation programmes and cross-border investment in research and innovation bringing mutual benefits to people and businesses while ensuring that the EU can uphold its interests.

Or. en

Amendment 20

Proposal for a regulation

Recital 17 a (new)

Text proposed by the Commission

Amendment

(17 a) FET Flagships' have proven to be an excellent instrument to achieve this,

delivering benefits for society in a joint, coordinated effort by the EU and its Member States, and existing flagships that proven their benefits should continue to be supported. [

Or. en

Amendment 21

Proposal for a regulation Recital 18

Text proposed by the Commission

(18) The Joint Research Centre (JRC) should continue to provide Union policies with independent customer-driven scientific evidence and technical support throughout the whole policy cycle. The direct actions of the JRC should be implemented in a flexible, efficient and transparent manner, taking into account the relevant needs of the users of the JRC and the needs of Union policies, and ensuring the protection of the financial interests of the Union. The JRC should continue to generate additional resources.

Amendment

(18) The Joint Research Centre (JRC) should continue to provide Union policies with independent customer-driven scientific evidence and technical support throughout the whole policy cycle. The direct actions of the JRC should be implemented in a flexible, efficient and transparent manner, taking into account the relevant needs of the users of the JRC, *the budgetary constraints, the RDI divide* and the needs of Union policies, and ensuring the protection of the financial interests of the Union. The JRC should continue to generate additional resources.

Or. en

Amendment 22

Proposal for a regulation Recital 19

Text proposed by the Commission

(19) The pillar '*Open Innovation*' should establish a series of measures for integrated support to the needs of entrepreneurs and entrepreneurship aiming at realising and accelerating breakthrough innovation for rapid market growth. It should attract

Amendment

(19) The pillar '*Innovative Europe*' should establish a series of measures for integrated support to the needs of entrepreneurs and entrepreneurship aiming at realising and accelerating breakthrough innovation for rapid market growth *as well*

innovative companies with potential for scaling up at international and at Union level and offer fast, flexible grants and co-investments, including with private investors. These objectives should be pursued through the creation of a European Innovation Council (EIC). This Pillar should also support the European Institute of Innovation and Technology (EIT) and European innovation ecosystems at large, notably through co-funding partnerships with national and regional innovation support actors.

as promoting EU's technological autonomy in strategic areas. It should attract innovative companies, **including SMEs and start-ups**, with potential for scaling up at international and at Union level and offer fast, flexible grants and co-investments, including with private investors. These objectives should be pursued through the creation of a European Innovation Council (EIC). This Pillar should also support the European Institute of Innovation and Technology (EIT) and European innovation ecosystems at large, **within the whole EU**, notably through co-funding partnerships with national and regional innovation support actors.

Or. en

Amendment 23

Proposal for a regulation Recital 20

Text proposed by the Commission

(20) *The policy objectives of this Programme will be also addressed through financial instruments and budgetary guarantee under the policy windows of the InvestEU Fund. Financial support should be used to address market failures or sub-optimal investment situations, in a proportionate manner and actions should not duplicate or crowd out private financing or distort competition in the Internal market. Actions should have a clear European added value.*

Amendment

(20) *In order to address the need to support investment in higher-risk and non-linear activities such as research and innovation, it is essential that Horizon Europe, in particular the EIC, works in synergy with the financial products to be deployed under InvestEU. Additionally, innovative SMEs and startups face difficulties in access to finance, especially those focusing on intangible assets, hence the need for the EIC to work in close complementarity with the dedicated financial products under InvestEU to ensure a continuity of support for such SMEs. In that regard, the experience gained from the financial instruments deployed under Horizon 2020 such as InnovFin and the loan guarantee for SMEs under COSME, should serve as a strong basis to deliver this targeted support. Actions should strengthen EU's*

external competitiveness.

Or. en

Amendment 24

Proposal for a regulation

Recital 21

Text proposed by the Commission

(21) The EIC through its instruments – Pathfinder and Accelerator – should aim at identifying, developing and deploying breakthrough market creating innovations and supporting their rapid scale-up to EU and international levels. Through coherent and streamlined support to breakthrough innovation the EIC should fill the current vacuum in public support and private investment for breakthrough innovation. The instruments of the EIC call for dedicated legal and management features in order to reflect its objectives, in particular market deployment activities.

Amendment

(21) The EIC through its instruments – Pathfinder and Accelerator – should aim at identifying, developing and deploying breakthrough **research targeted towards new technologies and** market creating innovations and, **together with InvestEU,** supporting their rapid scale-up to EU and international levels. Through coherent and streamlined support to breakthrough innovation the EIC should fill the current vacuum in public support and private investment for breakthrough innovation. The instruments of the EIC call for dedicated legal and management features in order to reflect its objectives, in particular market deployment activities.

Or. en

Amendment 25

Proposal for a regulation

Recital 23

Text proposed by the Commission

(23) The EIT, primarily through its Knowledge and Innovation Communities (KICs), should aim at strengthening innovation ecosystems that tackle global challenges, by fostering the integration of business, research, higher education and entrepreneurship. The EIT should foster innovation in its activities and should

Amendment

(23) The EIT, primarily through its Knowledge and Innovation Communities (KICs), should aim at strengthening innovation ecosystems that tackle global **societal** challenges, by fostering the integration of business, research, higher education and entrepreneurship. **In line with its founding act, the EIT**

support the integration of higher education within the innovation ecosystem, in particular by: stimulating entrepreneurial education, fostering strong non-disciplinary collaborations between industry and academia; and identifying prospective skills for future innovators to address global challenges, which includes advanced digital and innovation skills. Support schemes provided by the EIT should benefit to EIC beneficiaries, while start-ups emerging from EIT KICs should have access to EIC actions. While the EIT's focus on innovation ecosystems should make it naturally fit within the pillar '**Open Innovation**', the planning of its KICs should be aligned through the strategic planning process with the pillar 'Global Challenges and Industrial Competitiveness'.

Regulation^{1a} and the Strategic Innovation Agenda of the EIT^{1b}, the EIT should foster innovation in its activities and should support the integration of higher education within the innovation ecosystem, in particular by: stimulating entrepreneurial education, fostering strong non-disciplinary collaborations between industry and academia; and identifying prospective skills for future innovators to address global *societal* challenges, which includes advanced digital and innovation skills. Support schemes provided by the EIT should benefit to EIC beneficiaries, while start-ups emerging from EIT KICs should have *fast-track* access to EIC actions. While the EIT's focus on innovation ecosystems should make it naturally fit within the pillar '**Innovative Europe**', it should also support all other pillars, as appropriate. The planning of its KICs should be aligned through the strategic planning process with the pillar 'Global Challenges and Industrial Competitiveness'. **Duplication between KICs and other instruments in the same field, in particular other Partnerships, should be avoided.**

^{1a} **Regulation (EU) 294/2008 of the European Parliament and of the Council of 11 March 2008 (OJ L97/1, 9.4.2008), as amended by Regulation (EU) 1292/2013 of the European Parliament and of the Council of 11 December 2013 (OJ L347/174, 20.12.2013.**

^{1b} **Regulation (EU) of the European Parliament and of the Council.**

Or. en

Justification

The EIT has its own legal basis, the EIT Regulation, and a specific Strategic Innovation Agenda, which respectively set out the detailed rules governing the EIT and the objectives of the EIT for the multiannual financing period. This needs to be clearly reflected in the text of the Regulation. A fast-track access for start-ups emerging from EIT KICs would minimise

duplication and enhance synergies as well as ensure that innovation talent is provided with rapid support at every stage. This proposal is also mentioned under the Specific Programme access to EIC actions. The cross-cutting nature of the EIT make it ideally suited as an integrative instrument across all Horizon Europe Pillars. This drafting suggestion reflects the text of Commission Communication “A Modern Budget for a Union that Protects, Empowers and Defends; The Multiannual Financial Framework for 2021-2027” (COM(2018) 321).

Amendment 26

Proposal for a regulation Recital 24 a (new)

Text proposed by the Commission

Amendment

(24 a) With the aim of maximising return on European RDI investments and boosting EU’s attractiveness, the Programme should ensure commercial exploitation of the results of research and innovation in the Union and give incentives to standardisation activities within the Union;

Or. en

Amendment 27

Proposal for a regulation Recital 25

Text proposed by the Commission

Amendment

(25) The Programme should promote and integrate cooperation with third countries and international organisations and initiatives based on **common** interest, mutual **benefit** and global commitments to implement the UN SDGs. International cooperation should aim to strengthen the Union's research and innovation **excellence**, attractiveness and economic and industrial competitiveness, to tackle global challenges, as embodied in the UN SDGs, and to support the Union's external policies. An approach of general opening for international participation and targeted

(25) The Programme should promote and integrate cooperation with third countries and international organisations and initiatives based on **Union’s** interest, **reciprocity and** mutual **benefits** and global commitments to implement the UN SDGs. International cooperation should aim to strengthen the Union's **excellence in** research and innovation, attractiveness and economic and industrial competitiveness, to tackle global **societal** challenges, as embodied in the UN SDGs, and to support the Union's external policies. An approach of general opening for **reciprocal**

international cooperation actions should be followed, ***including through*** appropriate eligibility for funding of entities established in low to middle income countries. At the same time, association of third countries to the Programme ***should*** be promoted.

international participation and targeted international cooperation actions should be followed, appropriate eligibility ***criteria, considering different levels of R&I capacities,*** for funding of entities established in low to middle income countries ***need to be applied.*** At the same time, association of third countries to the Programme ***could*** be promoted ***where relevant and where reciprocity is guaranteed for the access of EU entities access to similar funding programmes of the third country.***

Or. en

Amendment 28

Proposal for a regulation Recital 26

Text proposed by the Commission

(26) With the aim of deepening the relationship between science and society and maximising benefits of their interactions, the Programme should engage and involve citizens and civil society organisations in co-designing and co-creating responsible research and innovation agendas and contents, promoting science education, making scientific knowledge publicly accessible, and facilitating participation by citizens and civil society organisations in its activities. It should do so across the Programme and through dedicated activities in the part 'Strengthening the European Research Area'. The engagement of citizens and civil society in research and innovation should be coupled with public outreach activities to generate and sustain public support for the Programme. The programme should also seek to remove barriers and boost synergies between science, technology, culture and the arts to obtain a new quality of sustainable

Amendment

(26) With the aim of deepening the relationship between science and society and maximising benefits of their interactions, the Programme should ***work to address and overcome barriers to societal engagement and actively*** engage and involve citizens, ***academia*** and civil society organisations in co-designing and co-creating responsible research and innovation agendas and contents, promoting science education, making scientific knowledge publicly accessible, and facilitating participation by citizens and civil society organisations in its activities. It should do so across the Programme and through dedicated activities in the part 'Strengthening the European Research Area'. The engagement of citizens and civil society in research and innovation should be coupled with public outreach activities to generate and sustain public support for the Programme. The ***measures taken to improve the involvement of citizens and civil society***

innovation.

will be reported on in Horizon Europe annual reports. The programme should also seek to remove barriers and boost synergies between science, technology, culture and the arts to obtain a new quality of sustainable innovation.

Or. en

Amendment 29

Proposal for a regulation Recital 26 a (new)

Text proposed by the Commission

Amendment

(26 a) With the aim of deepening the scientific collaboration within the ERA, exploiting the full benefits conferred by the European dimension and reducing by 50% the RDI divide within the Union, all parts of the Programme should engage with all Member States to spread excellence, reduce remuneration gaps for researchers within the Union, counterbalance brain-drain, ensure balanced representation in the evaluation panels and modernise national RDI systems.

Or. en

Amendment 30

Proposal for a regulation Recital 28 a (new)

Text proposed by the Commission

Amendment

(28 a) The gender dimension should be adequately integrated in research and innovation content and followed through at all stages of the research cycle. 40% participation of the less represented gender from all beneficiaries in each

project's teams and an obligation on equal pay as enshrined in Article 141(3) of the Treaty of the EU and in Directive 2006/54/EC on the implementation of the principle of equal opportunities and equal treatment of men and women in matters of employment and occupation, should be among the principles for the implementation of the programme at work programmes or Modal grant agreement stage.

Or. en

Amendment 31

Proposal for a regulation Recital 31 a (new)

Text proposed by the Commission

Amendment

(31 a) Administrative simplification, in particular the reduction of the administrative burden and delays for beneficiaries should be continuously sought in the definition, implementation, evaluation and monitoring of the programme. Rules between different EU programmes supporting RDI activities should be harmonised towards those of the Framework Programme for Research and Innovation.

Or. en

Amendment 32

Proposal for a regulation Recital 31 b (new)

Text proposed by the Commission

Amendment

(31 b) In order to ensure that Europe remains at the forefront of the global research and innovation in the digital

field and to take account of the necessity to step up investments to benefit from the growing opportunities of digital technologies, a proportional increase compared to the current budget, from the total budget of the Framework Programme is allocated to core digital priorities, throughout the entire Framework Programme.

Or. en

Amendment 33

Proposal for a regulation Recital 34

Text proposed by the Commission

(34) Pursuant to paragraph 22 and 23 of the Inter-institutional agreement for Better Law-Making of 13 April 2016, there is a need to evaluate this Programme on the basis of information collected through specific monitoring requirements, while avoiding overregulation and administrative burdens, in particular on Member States. These requirements, where appropriate, can include measurable indicators, as a basis for evaluating the effects of the Programme on the ground.

Amendment

(34) Pursuant to paragraph 22 and 23 of the Inter-institutional agreement for Better Law-Making of 13 April 2016, there is a need to evaluate this Programme on the basis of information collected through specific monitoring requirements, while avoiding overregulation and administrative burdens, in particular on Member States **and beneficiaries**. These requirements, where appropriate, can include measurable indicators, as a basis for evaluating the effects of the Programme on the ground.

Or. en

Amendment 34

Proposal for a regulation Recital 38

Text proposed by the Commission

(38) Common rules across the Programme should ensure a coherent framework which facilitates participation in programmes financially supported by the

Amendment

(38) Common rules across the Programme should ensure a coherent framework which facilitates participation in programmes financially supported by the

budget of the Programme, including participation in programmes managed by funding bodies such as the EIT, joint undertakings or any other structures under Article 187 TFEU, and participation in programmes undertaken by Member States pursuant to Article 185 TFEU. ***Flexibility to adopt*** specific rules should be ***ensured when*** justified.

budget of the Programme, including participation in programmes managed by funding bodies such as the EIT, joint undertakings or any other structures under Article 187 TFEU, and participation in programmes undertaken by Member States pursuant to Article 185 TFEU. ***Adopting*** specific rules should be ***possible but exceptions must be limited to when strictly necessary and well*** justified.

Or. en

Amendment 35

Proposal for a regulation

Recital 40

Text proposed by the Commission

(40) In line with the objectives of international cooperation as set out in Articles 180 and 186 TFEU, the participation of legal entities established in third countries and of international organisations should be promoted. The implementation of the Programme should be in conformity with the measures adopted in accordance with Articles 75 and 215 TFEU and should be in compliance with international law. For actions related to Union strategic assets, interests, autonomy or security, the participation to specific actions of the Programme may be limited to entities established in Member States only, or to entities established in specified associated or other third countries in addition to Member States.

Amendment

(40) In line with the objectives of international cooperation as set out in Articles 180 and 186 TFEU, the participation of legal entities established in third countries and of international organisations should be promoted ***in the Union's interest***. The implementation of the Programme should be in conformity with the measures adopted in accordance with Articles 75 and 215 TFEU and should be in compliance with international law. For actions related to Union strategic assets, interests, autonomy or security, the participation to specific actions of the Programme may be limited to entities established in Member States only, or to entities established in specified associated or other third countries in addition to Member States.

Or. en

Amendment 36

Proposal for a regulation Recital 43

Text proposed by the Commission

(43) Use of sensitive background information or access by unauthorized individuals to sensitive results may have an adverse impact on the interests of the Union or of one or more of the Member States. Thus handling of confidential data and classified information should be governed by all relevant Union law, including the Institutions' internal rules, such as Commission Decision (EU, Euratom) 2015/444, which lays down the provisions on security rules for protecting EU classified information.

Amendment

(43) Use of sensitive background information or access by unauthorized individuals to sensitive results **and research data** may have an adverse impact on the interests of the Union or of one or more of the Member States. Thus handling of confidential data and classified information should be governed by all relevant Union law, including the Institutions' internal rules, such as Commission Decision (EU, Euratom) 2015/444, which lays down the provisions on security rules for protecting EU classified information.

Or. en

Amendment 37

Proposal for a regulation Recital 44

Text proposed by the Commission

(44) It is necessary to establish the minimum conditions for participation, both as a general rule where the consortium should include at least **one** legal **entity from a Member State**, and with regard to the specificities of particular type of actions under the Programme.

Amendment

(44) It is necessary to establish the minimum conditions for participation, both as a general rule where the consortium should include at least **three** legal **entities from three different Member States or EEA countries**, and with regard to the specificities of particular type of actions under the Programme.

Or. en

Amendment 38

Proposal for a regulation Recital 45

Text proposed by the Commission

(45) It is **appropriate** to establish the terms and conditions for providing Union funding to participants in actions under the Programme. Grants should be implemented taking into account all forms of contribution set out in the Financial Regulation, including lump sums, flat rates or unit costs, with the view to further simplification.

Amendment

(45) It is **necessary** to establish the terms and conditions for providing Union funding to participants in actions under the Programme. Grants should be implemented taking into account all forms of contribution set out in the Financial Regulation, including lump sums, flat rates or unit costs, with the view to further simplification.

Or. en

Amendment 39

Proposal for a regulation Recital 46

Text proposed by the Commission

(46) ***The funding rates in this Regulation are referred to as maximums in order to comply with the co-financing principle.***

Amendment

deleted

Or. en

Amendment 40

Proposal for a regulation Recital 48

Text proposed by the Commission

(48) The current system of reimbursement of actual personnel costs should be further simplified building on the ***project-based remuneration approach developed under Horizon 2020 and further aligned to the Financial***

Amendment

(48) The current system of reimbursement of actual personnel costs should be further simplified building on the ***lump sums used in the Marie Skłodowska-Curie actions and applying the principle “equal pay for an equal excellence” as a***

Regulation.

general principle.

Or. en

Amendment 41

Proposal for a regulation Recital 50

Text proposed by the Commission

(50) Rules governing the exploitation and dissemination of results should be laid down to ensure that beneficiaries protect, exploit, disseminate and provide access to those results as appropriate. **More emphasis** should be given to exploiting the results, in particular in the Union. Beneficiaries should update their plans regarding the exploitation and dissemination of their results during and after the end of the action.

Amendment

(50) Rules governing the exploitation and dissemination of results should be laid down to ensure that beneficiaries protect, exploit, disseminate and provide access to those results as appropriate. **When proposals are evaluated with the same rank, and taking into account the high oversubscription rates, priority** should be given to exploiting the results in particular in the Union **and closing the European RDI divide**. Beneficiaries should update their plans regarding the exploitation and dissemination of their results during and after the end of the action.

Or. en

Amendment 42

Proposal for a regulation Recital 51

Text proposed by the Commission

(51) The key elements of the proposal evaluation and selection system of the predecessor programme Horizon 2020 with its particular focus on excellence should be maintained. Proposals should continue to be selected based on the evaluation made by independent experts. Where relevant, the necessity to ensure the overall coherence of the portfolio of projects should be taken into account.

Amendment

(51) The key elements of the proposal evaluation and selection system of the predecessor programme Horizon 2020 with its particular focus on excellence should be maintained **while ensuring broader geographical representation of all Member States in the peer-review panels and the evaluation of the Programme**. Proposals should continue to be selected based on the evaluation made by

independent experts *stemming from as many Member States as possible*. Where relevant, the necessity to ensure the overall coherence of the portfolio of projects should be taken into account *by independent experts*.

Or. en

Amendment 43

Proposal for a regulation

Recital 52

Text proposed by the Commission

(52) A *wider* cross-reliance on audits and assessments – *including* with other Union programmes – should be *envisaged*, in order to reduce administrative burden for beneficiaries of Union funds. Cross reliance should be explicitly provided for by considering also other elements of assurance such as systems and processes audits.

Amendment

(52) *Systematic* cross-reliance on audits and assessments with other Union programmes should be *implemented*, in order to reduce administrative burden for beneficiaries of Union funds. Cross reliance should be explicitly provided for by considering also other elements of assurance such as systems and processes audits.

Or. en

Amendment 44

Proposal for a regulation

Recital 54

Text proposed by the Commission

(54) *The types of* financing and the methods of implementation under this Regulation shall be chosen on the basis of their ability to achieve the specific objectives of the actions and to deliver results, taking into account, in particular, the costs of controls, the administrative burden, and the expected risk of non-compliance. *For* grants, this shall include consideration of the use of lump sums, flat

Amendment

(54) Financing *types* and the methods of implementation under this Regulation shall be chosen on the basis of their ability to achieve the specific objectives of the actions and to deliver results, taking into account, in particular, the costs of controls, the administrative burden, and the expected risk of non-compliance. *In regard to* grants, *being the main form of financing*, this shall include consideration of the use

rates and scales of unit costs.

of lump sums, flat rates and scales of unit costs.

Or. en

Amendment 45

Proposal for a regulation

Article 1 – paragraph 3 – point a

Text proposed by the Commission

Amendment

(a) the specific programme established by Decision .../.../EU²⁵, ***which includes a financial contribution to the EIT;***

(a) the specific programme established by Decision .../.../EU;

25

Or. en

Amendment 46

Proposal for a regulation

Article 1 – paragraph 4

Text proposed by the Commission

Amendment

4. The terms 'Horizon Europe', 'the Programme' and 'specific programme' used in this Regulation address matters relevant only to the specific programme described in paragraph 3(a), unless otherwise explicitly stated.

deleted

Or. en

Justification

The paragraph seems quite ambiguous. It needs further clarification, in particular in view of Article 3.

Amendment 47

Proposal for a regulation

Article 1 – paragraph 4 a (new)

Text proposed by the Commission

Amendment

4 a. The EIT shall implement the Programme in accordance with the Strategic Innovation Agenda of the EIT for the period 2021-2027.

Or. en

Amendment 48

Proposal for a regulation

Article 2 – paragraph 1 – point 1

Text proposed by the Commission

Amendment

(1) 'research infrastructures' mean facilities that provide resources and services for the research communities to conduct research and foster innovation in their fields. This definition includes the associated human resources, and it covers major equipment or sets of instruments; knowledge-related facilities such as collections, archives or scientific data infrastructures; computing systems, communication networks, and any other infrastructure, of a unique nature and open to external users, essential to achieve excellence in research and innovation. Where relevant, they may be used beyond research, for example for education or public services and they may be 'single sited', 'virtual' or 'distributed';

(1) 'research infrastructures' mean facilities that provide resources and services for the research communities to conduct research and foster innovation in their fields. This definition includes the associated human resources, and it covers major equipment or sets of instruments ***in particular those supported by other Union funds as referred to in Annex IV***; knowledge-related facilities such as collections, archives or scientific data infrastructures; computing systems, communication networks, and any other infrastructure, of a unique nature and open to external users, essential to achieve excellence in research and innovation. Where relevant, they may be used beyond research, for example for education or public services and they may be 'single sited', 'virtual' or 'distributed';

Or. en

Amendment 49

Proposal for a regulation

Article 2 – paragraph 1 – point 3

Text proposed by the Commission

(3) 'European Partnership' means an initiative where the Union, together with private and/or public partners (such as industry, research organisations, bodies with a public service mission at local, regional, national or international level or civil society organisations including foundations), commit to jointly support the development and implementation of a programme of research and innovation activities, including those related to market, regulatory or policy uptake;

Amendment

(3) 'European Partnership' means an initiative where the Union, together with private and/or public partners (such as industry, research organisations ***including research infrastructures***, bodies with a public service mission at local, regional, national or international level or civil society organisations including foundations), commit to jointly support the development and implementation of a programme of research and innovation activities, including those ***pursuant to Article 185 and 187 TFUE, and those*** related to market, regulatory or policy uptake;

Or. en

Amendment 50

Proposal for a regulation

Article 2 – paragraph 1 – point 4

Text proposed by the Commission

(4) 'open access' means the practice of providing online access to research outputs resulting from actions funded under the Programme, in particular scientific publications and research data, free of charge to the end-user;

Amendment

(4) 'open access' means the practice of providing online access to research outputs resulting from actions funded under the Programme, in particular scientific publications and research data free of charge to the end-user. ***With regard to research data, relevant privacy and security interests, as well as Intellectual Property Rights, confidentiality, European Union global economic competitiveness and other legitimate interests need to be addressed in accordance with the principle “as open as possible, as closed as necessary” and according to the “robust opt-outs”;***

Amendment 51

Proposal for a regulation

Article 2 – paragraph 1 – point 5

Text proposed by the Commission

(5) 'mission' means a portfolio of actions intended to achieve a measurable goal within a set timeframe, and impact for science and technology and/or society and citizens that could not be achieved through individual actions;

Amendment

(5) 'mission' means a portfolio of ***cross-cluster*** actions intended to achieve a measurable goal within a set timeframe, and impact for science and technology and/or society, ***policy-making and/or diplomacy*** and citizens that could not be achieved through individual actions;

Or. en

Amendment 52

Proposal for a regulation

Article 2 – paragraph 1 – point 9

Text proposed by the Commission

(9) “background” means any data, know-how or information whatever its form or nature, tangible or intangible, including any rights such as intellectual property rights, that is: (i) held by beneficiaries prior to their accession to the action; (ii) identified by the beneficiaries in ***writing in any manner*** as needed for implementing the action or for exploiting its results;

Amendment

(9) “background” means any data, know-how or information whatever its form or nature, tangible or intangible, including any rights such as intellectual property rights, that is: (i) held by beneficiaries prior to their accession to the action; ***and*** (ii) identified by the beneficiaries in ***a written agreement*** as needed for implementing the action or for exploiting its results;

Or. en

Amendment 53

Proposal for a regulation

Article 2 – paragraph 1 – point 11 a (new)

Text proposed by the Commission

Amendment

(11 a) “commercial exploitation” means the use of results in the marketing of a product or process, or in creating and providing a service, or in standardisation activities;

Or. en

Amendment 54

Proposal for a regulation

Article 2 – paragraph 1 – point 18

Text proposed by the Commission

Amendment

(18) “results” means any tangible or intangible **effect** of the action, such as data, know-how or information, whatever its form or nature, whether or not it can be protected, as well as any rights attached to it, including intellectual property rights;

(18) “results” means any tangible or intangible **output** of the action, such as data, know-how or information, whatever its form or nature, whether or not it can be protected, as well as any rights attached to it, including intellectual property rights;

Or. en

Amendment 55

Proposal for a regulation

Article 2 – paragraph 1 – point 19 a (new)

Text proposed by the Commission

Amendment

(19 a) ‘strategic R&I Plan’ means a document adopted by means of a delegated act every two years supplementing the Specific Programme, and following a broad consultation process with Member States, the European Parliament, the RDI stakeholders and the civil society. It defines the priorities and instruments, thus serving as a basis for the elaboration of the work programmes. It contains in

particular the selected missions, the newly-established or continued contractual or institutional partnerships, FET-Flagships and KICs;

Or. en

Amendment 56

Proposal for a regulation

Article 2 – paragraph 1 – point 25 a (new)

Text proposed by the Commission

Amendment

(25 a) ‘research and innovation action’ means an action primarily consisting of activities aiming to establish new knowledge and/or to explore the feasibility of a new or improved technology, product, process, service or solution. This may include basic and applied research, technology development and integration, testing and validation on a small-scale prototype in a laboratory or simulated environment;

Or. en

Justification

For the sake of clarity and legal certainty definitions which appeared in Annex I have been inserted in Article 2.

Amendment 57

Proposal for a regulation

Article 2 – paragraph 1 – point 25 b (new)

Text proposed by the Commission

Amendment

(25 b) ‘innovation action’ means an action primarily consisting of activities directly aimed at producing plans and arrangements or designs for new, altered or improved products, processes or services, possibly including prototyping,

testing, demonstrating, piloting, large-scale product validation and market replication;

Or. en

Amendment 58

Proposal for a regulation

Article 2 – paragraph 1 – point 25 c (new)

Text proposed by the Commission

Amendment

(25 c) ‘innovation and market deployment actions’ means actions embedding an innovation action and other activities necessary to deploy innovation in the market;

Or. en

Justification

For the sake of clarity and legal certainty definitions which appeared in Annex I have been inserted in Article 2.

Amendment 59

Proposal for a regulation

Article 2 – paragraph 1 – point 25 d (new)

Text proposed by the Commission

Amendment

(25 d) ‘ERC frontier research’ means principal investigator-led research actions, hosted by ERC only single or multiple beneficiaries ;

Or. en

Justification

For the sake of clarity and legal certainty definitions which appeared in Annex I have been inserted in Article 2.

Amendment 60

Proposal for a regulation

Article 2 – paragraph 1 – point 25 e (new)

Text proposed by the Commission

Amendment

(25 e) ‘training and mobility action’ means an action geared towards the improvement of skills, knowledge and career prospects of researchers based on mobility between countries, and, if relevant, between sectors or disciplines;

Or. en

Justification

For the sake of clarity and legal certainty definitions which appeared in Annex I have been inserted in Article 2.

Amendment 61

Proposal for a regulation

Article 2 – paragraph 1 – point 25 f (new)

Text proposed by the Commission

Amendment

(25 f) ‘programme co-funding action’ means an action to provide co-funding to a programme of activities established and/or implemented by entities managing and/or funding research and innovation programmes, other than Union funding bodies;

Or. en

Justification

For the sake of clarity and legal certainty definitions which appeared in Annex I have been inserted in Article 2.

Amendment 62

Proposal for a regulation

Article 2 – paragraph 1 – point 25 g (new)

Text proposed by the Commission

Amendment

(25 g) ‘pre-commercial procurement action’ means an action with the primary aim of conducting pre-commercial procurement procedures implemented by beneficiaries that are contracting authorities or contracting entities;

Or. en

Justification

For the sake of clarity and legal certainty definitions which appeared in Annex I have been inserted in Article 2.

Amendment 63

Proposal for a regulation

Article 2 – paragraph 1 – point 25 h (new)

Text proposed by the Commission

Amendment

(25 h) ‘public procurement of innovative solutions action’ means an action with the primary aim of conducting joint or coordinated public procurement procedures concerning innovative solutions implemented by beneficiaries that are contracting authorities or contracting entities;

Or. en

Justification

For the sake of clarity and legal certainty definitions which appeared in Annex I have been inserted in Article 2.

Amendment 64

Proposal for a regulation

Article 2 – paragraph 1 – point 25 i (new)

Text proposed by the Commission

Amendment

(25 i) ‘coordination and support action’ means an action contributing to the objectives of the Programme, excluding research and innovation activities;

Or. en

Justification

For the sake of clarity and legal certainty definitions which appeared in Annex I have been inserted in Article 2.

Amendment 65

Proposal for a regulation

Article 2 – paragraph 1 – point 25 j (new)

Text proposed by the Commission

Amendment

(25 j) ‘inducement prize’ means a prize to spur investment in a given direction, by specifying a target prior to the performance of the work;

Or. en

Justification

For the sake of clarity and legal certainty definitions which appeared in Annex I have been inserted in Article 2.

Amendment 66

Proposal for a regulation

Article 2 – paragraph 1 – point 25 k (new)

Text proposed by the Commission

Amendment

(25 k) ‘recognition prize’ means a prize

to reward past achievements and outstanding work after it has been performed;

Or. en

Justification

For the sake of clarity and legal certainty definitions which appeared in Annex I have been inserted in Article 2.

Amendment 67

Proposal for a regulation

Article 2 – paragraph 1 – point 25 l (new)

Text proposed by the Commission

Amendment

(25 l) ‘public procurement’ means the implementation of parts of the Programme related to strategic interests and autonomy of the Union and the carrying out, for the Commission’s own purposes, of public procurement procedures for studies, products, services and capabilities;

Or. en

Justification

For the sake of clarity and legal certainty definitions which appeared in Annex I have been inserted in Article 2.

Amendment 68

Proposal for a regulation

Article 2 – paragraph 1 – point 25 m (new)

Text proposed by the Commission

Amendment

(25 m) ‘affiliated entity’ means any legal entity that is under the direct or indirect control of a participant, or under the same direct or indirect control as the participant, or that is directly or indirectly

controlling a participant;

Or. en

Justification

For the sake of clarity and legal certainty definitions which appeared in Annex I have been inserted in Article 2.

Amendment 69

Proposal for a regulation

Article 2 – paragraph 1 – point 25 n (new)

Text proposed by the Commission

Amendment

(25n) ‘reciprocity’ means equal access for Union entities to similar programmes in third countries, or equal fair and equitable conditions to access information.

Or. en

Justification

For the sake of clarity and legal certainty definitions which appeared in Annex I have been inserted in Article 2.

Amendment 70

Proposal for a regulation

Article 3 – paragraph 1

Text proposed by the Commission

Amendment

1. The Programme’s general objective is to deliver scientific, economic and societal impact from the Union’s investments in research and innovation so as to strengthen the scientific and technological bases of the Union and foster its competitiveness, including in its industry, deliver on the Union strategic priorities, and contribute to tackling global challenges, ***including the*** Sustainable

1. The Programme’s general objective is to deliver scientific, ***technological,*** economic and societal impact from the Union’s investments in research and innovation so as to strengthen the scientific and technological bases of the Union, and foster its competitiveness ***in all Member States and the regions of the Union,*** including in its industry, deliver on the Union strategic priorities, contribute to

Development Goals.

tackling global *societal* challenges, *as set out in the* Sustainable Development Goals, *and achieve a balanced European Research Area.*

Or. en

Amendment 71

Proposal for a regulation Article 3 – paragraph 2 – point -a

Text proposed by the Commission

Amendment

(-a) to *promote scientific excellence*;

Or. en

Amendment 72

Proposal for a regulation Article 3 – paragraph 2 – point a

Text proposed by the Commission

Amendment

(a) to support the creation and diffusion of high-quality new knowledge, skills, technologies and solutions to global challenges;

(a) to support the creation and diffusion of high-quality new *fundamental and applied* knowledge, skills, technologies and solutions to global *societal* challenges;

Or. en

Amendment 73

Proposal for a regulation Article 3 – paragraph 2 – point a a (new)

Text proposed by the Commission

Amendment

(a a) to *reduce by half address the research and innovation divide which is increasing within the Union and to foster*

the participation in Horizon Europe of all Member States;

Or. en

Amendment 74

Proposal for a regulation

Article 3 – paragraph 2 – point b

Text proposed by the Commission

(b) to strengthen the impact of research and innovation in developing, supporting and implementing Union policies, and support the uptake of innovative solutions in industry and society to ***address global challenges***;

Amendment

(b) to strengthen ***the EU added value of RDI funding***, the impact of research and innovation ***for the Union*** in developing, supporting and implementing Union policies, and support the uptake of innovative solutions in ***European*** industry and society to ***improve people's well-being***;

Or. en

Amendment 75

Proposal for a regulation

Article 3 – paragraph 2 – point c

Text proposed by the Commission

(c) to foster all forms of innovation, including breakthrough innovation, and strengthen market deployment of innovative solutions;

Amendment

(c) to foster all forms of innovation ***within the Union***, including breakthrough innovation, and strengthen market deployment of innovative solutions;

Or. en

Amendment 76

Proposal for a regulation

Article 3 – paragraph 2 – point d

Text proposed by the Commission

Amendment

(d) to optimise the Programme's delivery for increased impact within a strengthened European Research Area.

(d) to optimise the Programme's delivery for increased impact within a strengthened **and balanced** European Research Area;

Or. en

Amendment 77

Proposal for a regulation

Article 3 – paragraph 2 – point d a (new)

Text proposed by the Commission

Amendment

(d a) to boost the attractiveness of the Union in RDI and to encourage first commercial exploitation of RDI results within the Union.

Or. en

Amendment 78

Proposal for a regulation

Article 4 – paragraph 1 – point 1 – introductory part

Text proposed by the Commission

Amendment

(1) Pillar I 'Open Science', pursuing the specific objective set out in Article 3(2)(a) and also supporting specific objectives set out in Article 3(2)(b) **and** (c), with the following components:

(1) Pillar I 'Open Science', pursuing the specific objective set out in Article 3(2)(a) and also supporting specific objectives set out in Article 3(2)(aa), (b), (c), (d) **and** (da), with the following components:

Or. en

Amendment 79

Proposal for a regulation

Article 4 – paragraph 1 – point 2 – introductory part

Text proposed by the Commission

Amendment

(2) Pillar II 'Global Challenges and Industrial Competitiveness', pursuing *the specific objective set out in Article 3(2)(b) and also supporting* the specific objectives set out in Article 3(2)(a) and (c), with the following components:

(2) Pillar II 'Global Challenges and **European** Industrial Competitiveness', pursuing *all* the specific objectives set out in Article 3(2) with the following components:

Or. en

Amendment 80

Proposal for a regulation

Article 4 – paragraph 1 – point 2 – point b

Text proposed by the Commission

Amendment

(b) cluster 'Inclusive and **Secure** Society';

(b) cluster 'Inclusive and **Creative** Society';

Or. en

Amendment 81

Proposal for a regulation

Article 4 – paragraph 1 – point 2 – point b a (new)

Text proposed by the Commission

Amendment

(b a) Secure Societies

Or. en

Amendment 82

Proposal for a regulation

Article 4 – paragraph 1 – point 3 – introductory part

Text proposed by the Commission

Amendment

(3) Pillar III '**Open Innovation**', pursuing the specific objective set out in

(3) Pillar III '**Innovative Europe**', pursuing the specific objective set out in

Article 3(2)(c) and also supporting the specific objectives set out in Article 3(2)(a) **and** (b), with the following components:

Article 3(2)(c), **(d) and (da)** and also supporting the specific objectives set out in Article 3(2)(a), **(aa)**, (b), with the following components:

Or. en

Amendment 83

Proposal for a regulation

Article 4 – paragraph 1 – point 3 – point a a (new)

Text proposed by the Commission

Amendment

(a a) Incremental Innovation;

Or. en

Amendment 84

Proposal for a regulation

Article 4 – paragraph 1 – point 4 – introductory part

Text proposed by the Commission

Amendment

(4) Part 'Strengthening the European Research Area', pursuing the specific objective set out in Article 3(2)(d) and also supporting the specific objectives set out in Article 3(2)(a), (b) **and** (c), with the following components:

(4) **Cross-cutting** part 'Strengthening the European Research Area', pursuing the specific objective set out in Article 3(2)(aa) **(d)** and also supporting the specific objectives set out in Article 3(2)(a), (b), **(c) and (da)**, with the following components:

Or. en

Amendment 85

Proposal for a regulation

Article 4 – paragraph 1 – point 4 – point a

Text proposed by the Commission

Amendment

(a) **sharing** excellence;

(a) **spreading** excellence **and widening**

participation across the Union;

Or. en

Amendment 86

Proposal for a regulation

Article 4 – paragraph 1 – point 4 – point a a (new)

Text proposed by the Commission

Amendment

(a a) *boosting the attractiveness of the Union;*

Or. en

Amendment 87

Proposal for a regulation

Article 6 – title

Text proposed by the Commission

Amendment

Implementation and forms of EU funding

Strategic planning and implementation and forms of EU funding

Or. en

Amendment 88

Proposal for a regulation

Article 6 – paragraph 2

Text proposed by the Commission

Amendment

2. The Programme may provide funding to indirect actions in any of the forms laid down in the Financial Regulation, in particular grants (including operating grants), prizes and procurements. It may also provide financing in the form of financial instruments within blending operations.

2. The Programme may provide funding to indirect actions in any of the forms laid down in the Financial Regulation, in particular grants (including operating grants) ***which should be the main form of support under the Programme***, prizes and procurements. It may also provide financing in the form of

financial instruments within blending operations.

Or. en

Amendment 89

Proposal for a regulation Article 6 – paragraph 6

Text proposed by the Commission

6. The implementation of the specific programme²⁹ shall be based *on* a transparent and strategic multiannual planning of research and innovation activities, in particular for the pillar 'Global Challenges and Industrial Competitiveness', *following* consultations with stakeholders about priorities and the suitable types of action and forms of implementation to use. *This* shall ensure alignment with other relevant Union programmes.

²⁹ ...

Amendment

6. The implementation of the specific programme²⁹ shall be based *on Specific R&I Plans prepared every two years, adopted by means of a delegated act and in accordance with a process of* transparent and strategic multiannual planning of research and innovation activities, in particular for the pillar 'Global Challenges and *European* Industrial Competitiveness'. *The* consultations with *national authorities, with the European Parliament, with* stakeholders *and civil society representatives* about priorities and the suitable types of action and forms of implementation to use shall ensure alignment with other relevant Union programmes *and increase consistency with national and regional RDI funding programmes and priorities, thereby strengthening the ERA.*

²⁹ ...

Or. en

Justification

Delegated acts are proposed to ensure that the European Parliament is involved in this new “intermediary level” of defining priorities, which is neither in the legal act nor in the work programmes.

Amendment 90

Proposal for a regulation

Article 6 – paragraph 7

Text proposed by the Commission

7. Horizon Europe activities shall be **primarily** delivered through calls for proposals, some of which organised as parts of missions and European Partnerships.

Amendment

7. Horizon Europe activities shall be delivered through calls for proposals, some of which organised as parts of missions and European Partnerships, **except for the activities mentioned in Article 39 on Prizes.**

Or. en

Amendment 91

Proposal for a regulation

Article 6 – paragraph 8

Text proposed by the Commission

8. **Research and innovation activities carried out under Horizon Europe shall have a focus on civil applications.**

deleted

Amendment

Or. en

Justification

Moved to Article 6a on Principles of EU fundings.

Amendment 92

Proposal for a regulation

Article 6 – paragraph 9

Text proposed by the Commission

9. **The Programme shall ensure the effective promotion of gender equality and the gender dimension in research and innovation content. Particular attention shall be paid to ensuring gender balance, subject to the situation in the field of**

deleted

Amendment

research and innovation concerned, in evaluation panels and in bodies such as expert groups.

Or. en

Justification

Moved to Article 6a on Principles of EU fundings.

Amendment 93

Proposal for a regulation

Article 6 a (new)

Text proposed by the Commission

Amendment

Article 6 a

Principles of EU funding

- 1. Research and innovation activities carried out under Horizon Europe shall have a focus on civil applications.***
- 2. The collaborative parts of the Programme should cover the whole value chain, including lower TRLs to ensure that Europe's stays at the cutting-edge of research and to maximise EU added value.***
- 3.. The Programme shall ensure the effective reduction of the RDI divide by 50% within the Union and promote broad geographical coverage in collaborative projects. Particular attention shall be paid to ensuring European geographical balance, subject to the situation in the field of research and innovation concerned, in funded projects, evaluation panels and in bodies such as boards and expert groups.***
- 4. The Programme shall ensure the effective promotion of gender equality and the gender dimension in research and innovation content. Subject to the situation in the field of research and innovation concerned, in evaluation panels and in bodies such as boards and***

expert groups, particular attention shall be paid to ensuring gender balance.

5. The Programme shall aim at continuous administrative simplification and reduction of the burden for the beneficiaries. In particular, an RDI action combining several Union funds shall be subject only to the rules of the EU Framework Programme for Research and Innovation.

6. The Programme shall provide for all types of beneficiaries the possibility to apply for funding in a faster manner. A number of research and innovation actions will apply a Fast Track to Research and Innovation logic where time-to-grant shall not exceeding 6 months. This shall allow a faster, bottom-up access to funds for small collaborative consortia covering actions from fundamental research to market application. Calls under the Fast Track to Research and Innovation approach will be continuously open with cut-off dates and be implemented in the work programmes under clusters, the EIC and the "spreading excellence" part.

7. The Programme will aim at maximising return on public investments, in terms of suitability, safety, effectiveness and affordability of potential end products. The programme shall ensure sufficient transparency and traceability of public funding in research and innovation projects safeguarding the public interest and equitable social impact.

8. The Commission or the relevant funding body shall ensure that sufficient guidance and information is made available to all potential participants at the time of publication of the call for proposals, in particular the applicable model grant agreement.

Or. en

Amendment 94

Proposal for a regulation Article 7 – paragraph 1

Text proposed by the Commission

1. Missions shall be programmed within the pillar 'Global Challenges and Industrial Competitiveness', but may also benefit from actions carried out within other parts of the Programme.

Amendment

1. Missions shall be programmed within the pillar 'Global Challenges and **European** Industrial Competitiveness', but may also benefit from actions carried out within other parts of the Programme **as well as actions carried out under other Union funding programmes.**

Or. en

Amendment 95

Proposal for a regulation Article 7 – paragraph 2

Text proposed by the Commission

2. **The** missions shall be **implemented in accordance with** Article 5 of the Specific Programme. **Evaluation shall be carried out in accordance with Article 26.**

Amendment

2. **All** missions **and their envisaged implementation method** shall be **identified in Strategic R&I Plans, as defined in Article 2 and specified in Article 6 of the Framework programme and in** Article 5 of the Specific Programme, **before being implemented in work programmes.**

Or. en

Amendment 96

Proposal for a regulation Article 7 – paragraph 2 a (new)

Text proposed by the Commission

Amendment

2 a. During the first two years of the programme, a maximum of 10% of the annual budget of each Cluster shall be programmed through specific calls for implementing the missions. For the third

and fourth years, this percentage could increase up to 15% for each Cluster. For the last three years of the programme, and only after a positive evaluation of the mission selection and management process, this percentage may be increased to a maximum of 20%.

Or. en

Amendment 97

Proposal for a regulation Article 7 – paragraph 2 b (new)

Text proposed by the Commission

Amendment

2 b. A full evaluation of the missions covering the scope, governance, Board appointment and its preliminary actions shall be carried out in accordance with their respective measurable milestones. The recommendations resulting from this evaluation shall be taken into account before programming new missions or before continuing, terminating or redirecting existing ones.

Or. en

Amendment 98

Proposal for a regulation Article 7 – paragraph 3 – point a

Text proposed by the Commission

Amendment

(a) have a clear EU-added value and contribute to reaching Union priorities;

(a) have a clear EU-added value and contribute to reaching Union priorities *and commitments, including the achievement of a strengthened ERA and the climate and Sustainable Development Goals;*

Or. en

Amendment 99

Proposal for a regulation

Article 7 – paragraph 3 – point a a (new)

Text proposed by the Commission

Amendment

(aa) deliver R&D&I results from which all Member States shall adequately benefit;

Or. en

Amendment 100

Proposal for a regulation

Article 7 – paragraph 3 – point b

Text proposed by the Commission

Amendment

(b) be bold and inspirational, and **hence** have wide societal or economic relevance;

(b) be bold and inspirational, and **thus** have wide **political, diplomatic,** societal **and** economic relevance;;

Or. en

Amendment 101

Proposal for a regulation

Article 7 – paragraph 3 – point d

Text proposed by the Commission

Amendment

(d) be centered on ambitious but realistic research and innovation activities;

(d) be centred on ambitious but realistic research and innovation **policies or activities across all stages of development;**

Or. en

Amendment 102

Proposal for a regulation Article 7 – paragraph 3 – point e

Text proposed by the Commission

(e) spark activity across disciplines, sectors and actors;

Amendment

(e) spark activity across ***Union funds, across*** disciplines, sectors and actors ***with a single set of rules;***

Or. en

Amendment 103

Proposal for a regulation Article 7 a (new)

Text proposed by the Commission

Amendment

Article 7 a

The European Innovation Council

1. The Commission shall establish a European Innovation Council (EIC) for implementing actions under Pillar III 'Innovative Europe' which relate to the EIC. The EIC shall operate according to the following principles: focus on breakthrough and disruptive innovation in the Union, strategic autonomy of the EU, ability to take risk, efficiency, effectiveness, transparency and accountability, first commercial exploitation in the Union.

2. At least 80% of EIC budget shall be dedicated for innovative start-ups and SMEs.

3. The EIC Board and management features of the EIC are defined in Decision (EU)... [Specific Programme] and its annexes.

Or. en

Amendment 104

Proposal for a regulation

Article 8 – paragraph 1 – point b

Text proposed by the Commission

(b) participation in and financial contribution to a programme of research and innovation activities, based on the commitment of the partners for financial and in-kind contributions and integration of their relevant activities using a Programme co-fund action (Co-funded European Partnerships);

Amendment

(b) participation in and financial contribution to a programme of research and innovation activities, based on the commitment of the partners for **both** financial and in-kind contributions and integration of their relevant activities using a Programme co-fund action (Co-funded European Partnerships);

Or. en

Amendment 105

Proposal for a regulation

Article 8 – paragraph 1 – point c

Text proposed by the Commission

(c) participation in and financial contribution to research and innovation programmes undertaken by several Member States in accordance with Article 185 TFEU, or by bodies established pursuant to Article 187 TFEU, such as Joint Undertakings, or by the EIT Knowledge and Innovation Communities in compliance with the [EIT Regulation] (Institutionalised European Partnerships), to be implemented only where other forms of European Partnerships would not achieve the objectives or would not generate the necessary expected impacts, and if justified by a long-term perspective and high degree of integration including central management of all financial contributions.

Amendment

(c) participation in and financial contribution to research and innovation programmes undertaken by several Member States in accordance with Article 185 TFEU, or by bodies established pursuant to Article 187 TFEU, such as Joint Undertakings, **or by the FET-Flagships**, or by the EIT Knowledge and Innovation Communities in compliance with the [EIT Regulation] (Institutionalised European Partnerships), to be implemented only where other forms of European Partnerships would not achieve the objectives or would not generate the necessary expected impacts, and if justified by a long-term perspective and high degree of integration including central management of all financial contributions.

Or. en

Amendment 106

Proposal for a regulation

Article 8 – paragraph 2 – subparagraph 1 – point a

Text proposed by the Commission

(a) Be established in cases where they will *more effectively achieve objectives of Horizon Europe than the Union alone*;

Amendment

(a) Be established **only** in cases where they will **offer clearly quantified advantages as compared to other Framework programme actions/instruments**;

Or. en

Amendment 107

Proposal for a regulation

Article 8 – paragraph 2 – subparagraph 1 – point b

Text proposed by the Commission

(b) Adhere to the principles of Union added value, transparency, openness, impact, leverage effect, long-term financial commitment of all the involved parties, flexibility, coherence and complementarity with Union, local, regional national and international initiatives;

Amendment

(b) Adhere to the principles of Union added value, transparency, **fair** openness, impact **within and for the Union, strong** leverage effect, long-term financial commitment of all the involved parties, flexibility, coherence and complementarity with Union, local, regional national and international initiatives;

Or. en

Amendment 108

Proposal for a regulation

Article 8 – paragraph 2 a (new)

Text proposed by the Commission

Amendment

2 a. All Partnerships shall be identified in Strategic R&I Plans, as defined in Article 6 and Annex III of the Framework Programme and Annex I of the Specific Programme, before being implemented in

Amendment 109

Proposal for a regulation

Article 9 – paragraph 1

Text proposed by the Commission

1. The financial envelope for the implementation of the Framework Programme for the period 2021 – 2027 shall be EUR **94 100 000 000 in current** prices for the specific programme referred to in Article 1(3)(a) and, in addition, the amount for the specific programme referred to in Article 1(3)(b), as laid down in Regulation... establishing the European Defence Fund.

Amendment

1. The financial envelope for the implementation of the Framework Programme for the period 2021 – 2027 shall be EUR **120 000 000 000 in constant** prices for the specific programme referred to in Article 1(3)(a) and, in addition, the amount for the specific programme referred to in Article 1(3)(b), as laid down in Regulation... establishing the European Defence Fund.

Amendment 110

Proposal for a regulation

Article 9 – paragraph 2 – point a – introductory part

Text proposed by the Commission

(a) EUR **25 800 000 000** for Pillar I 'Open Science' for the period 2021-2027, of which

Amendment

(a) EUR **35 600 000 000** for Pillar I 'Open Science' for the period 2021-2027, of which

Amendment 111

Proposal for a regulation

Article 9 – paragraph 2 – point a – point 1

Text proposed by the Commission

Amendment

(1) EUR **16 600 000 000** for the European Research Council;

(1) EUR **20 400 000 000** for the European Research Council;

Or. en

Amendment 112

Proposal for a regulation

Article 9 – paragraph 2 – point a – point 2

Text proposed by the Commission

Amendment

(2) EUR **6 800 000 000** for Marie Skłodowska-Curie Actions;

(2) EUR **11 300 000 000** for Marie Skłodowska-Curie Actions;

Or. en

Amendment 113

Proposal for a regulation

Article 9 – paragraph 2 – point a – point 3

Text proposed by the Commission

Amendment

(3) EUR **2 400 000 000** for research infrastructures;

(3) EUR **3 900 000 000** for research infrastructures;

Or. en

Amendment 114

Proposal for a regulation

Article 9 – paragraph 2 – point b – introductory part

Text proposed by the Commission

Amendment

(b) EUR **52 700 000 000** for Pillar II 'Global Challenges and Industrial Competitiveness' for the period 2021-2027, of which

(b) EUR **62 700 000 000** for Pillar II 'Global Challenges and **European** Industrial Competitiveness' for the period 2021-2027, of which

Amendment 115

Proposal for a regulation

Article 9 – paragraph 2 – point b – point 1

Text proposed by the Commission

(1) EUR **7 700 000 000** for cluster 'Health';

Amendment

(1) EUR **10 800 000 000** for cluster 'Health';

Or. en

Amendment 116

Proposal for a regulation

Article 9 – paragraph 2 – point b – point 2

Text proposed by the Commission

(2) EUR **2 800 000 000** for cluster 'Inclusive and *Secure* Society';

Amendment

(2) EUR **1 800 000 000** for cluster 'Inclusive and *Creative* Society';

Or. en

Amendment 117

Proposal for a regulation

Article 9 – paragraph 2 – point b – point 2 a (new)

Text proposed by the Commission

Amendment

(2 a) EUR 2 300 000 000 for cluster 'Secure Society';

Or. en

Amendment 118

Proposal for a regulation

Article 9 – paragraph 2 – point b – point 3

Text proposed by the Commission

Amendment

(3) EUR **15 000 000 000** for cluster
'Digital and Industry';

(3) EUR **18 100 000 000** for cluster
'Digital and Industry';

Or. en

Amendment 119

Proposal for a regulation

Article 9 – paragraph 2 – point b – point 3 a (new)

Text proposed by the Commission

Amendment

(3 a) including at least EUR 3 000 000 000 for continuing 'FET Flagships';

Or. en

Amendment 120

Proposal for a regulation

Article 9 – paragraph 2 – point b – point 4

Text proposed by the Commission

Amendment

(4) EUR **15 000 000 000** for cluster
'Climate, Energy and Mobility';

(4) EUR **19 100 000 000** for cluster
'Climate, Energy and Mobility';

Or. en

Amendment 121

Proposal for a regulation

Article 9 – paragraph 2 – point b – point 5

Text proposed by the Commission

Amendment

(5) EUR **10 000 000 000** for cluster
'Food and Natural Resources';

(5) EUR **8 400 000 000** for cluster
'Food and Natural Resources';

Or. en

Amendment 122

Proposal for a regulation

Article 9 – paragraph 2 – point c – introductory part

Text proposed by the Commission

(c) EUR **13 500 000 000** for Pillar III '**Open Innovation**' for the period 2021-2027, of which

Amendment

(c) EUR **13 800 000 000** for Pillar III '**Innovative Europe**' for the period 2021-2027, of which

Or. en

Amendment 123

Proposal for a regulation

Article 9 – paragraph 2 – point c – point 1

Text proposed by the Commission

(1) EUR **10 500 000 000** for the European Innovation Council, **including up to EUR 500 000 000 for European Innovation Ecosystems**;

Amendment

(1) EUR **9 000 000 000** for the European Innovation Council;

Or. en

Amendment 124

Proposal for a regulation

Article 9 – paragraph 2 – point c – point 1 a (new)

Text proposed by the Commission

Amendment

(1 a) EUR 500 000 000 for European Innovation Ecosystems:

Or. en

Amendment 125

Proposal for a regulation

Article 9 – paragraph 2 – point c – point 1 b (new)

Text proposed by the Commission

Amendment

(1b) EUR 800 000 000 for Incremental innovation;

Or. en

Amendment 126

Proposal for a regulation

Article 9 – paragraph 2 – point c – point 2

Text proposed by the Commission

Amendment

(2) EUR 3 000 000 000 for the European Institute of Innovation and Technology (EIT);

(2) EUR 4 000 000 000 for the European Institute of Innovation and Technology (EIT);

Or. en

Amendment 127

Proposal for a regulation

Article 9 – paragraph 2 – point d – introductory part

Text proposed by the Commission

Amendment

(d) EUR 2 100 000 000 for Part 'Strengthening the European Research Area' for the period 2021-2027, of which

(d) EUR 7 900 000 000 for the **cross-cutting** Part 'Strengthening the European Research Area' for the period 2021-2027, of which

Or. en

Amendment 128

Proposal for a regulation

Article 9 – paragraph 2 – point d – point 1

Text proposed by the Commission

Amendment

(1) EUR **1 700 000 000** for '*sharing excellence*';

(1) EUR **6 000 000 000** for '*spreading excellence and widening participation across the Union*';

Or. en

Amendment 129

Proposal for a regulation

Article 9 – paragraph 2 – point d – point 1 a (new)

Text proposed by the Commission

Amendment

(1 a) EUR **1 000 000 000** for '*boosting the attractiveness of the Union*';

Or. en

Amendment 130

Proposal for a regulation

Article 9 – paragraph 2 – point d – point 2

Text proposed by the Commission

Amendment

(2) EUR **400 000 000** for 'reforming and enhancing the European R&I System'.

(2) EUR **900 000 000** for 'reforming and enhancing the European **Union** R&I System'.

Or. en

Amendment 131

Proposal for a regulation

Article 9 – paragraph 3

Text proposed by the Commission

Amendment

3. In order to respond to unforeseen situations or to new developments and needs, the Commission may, within the

3. In order to respond to unforeseen situations or to new developments and needs, the Commission may, within the

annual budgetary procedure, deviate from the amounts referred to in paragraph 2 up to a maximum of **10%**. **No such** deviation shall be allowed in respect of the amounts referred to in points (b) (6) of paragraph 2 of this Article and the total amount set out for Part 'Strengthening the European Research Area' of paragraph 2 of this Article.

annual budgetary procedure, deviate from the amounts referred to in paragraph 2 up to a maximum of **5%**, **including the allocation of the contributions from associated countries**. **No negative** deviation shall be allowed in respect of the amounts referred to in points (a) **and** (b) (6) of paragraph 2 of this Article and the total amount set out for Part 'Strengthening the European Research Area' of paragraph 2 of this Article.

Or. en

Amendment 132

Proposal for a regulation Article 9 – paragraph 4

Text proposed by the Commission

4. The amount referred to in **paragraph 1, first half sentence**, may also cover expenses for preparation, monitoring, control, audit, evaluation and other activities and expenditures necessary for managing and implementing the Programme, including all administrative expenditure, as well as evaluating the achievement of its objectives. It may moreover cover expenses relating to the studies, meetings of experts, information and communication actions, in so far as they are related to the objectives of the Programme, as well as expenses linked to information technology networks focusing on information processing and exchange, including corporate information technology tools and other technical and administrative assistance needed in connection with the management of the Programme.

Amendment

4. The amount **for the specific programme** referred to in **Article 1(3)(a)** may also cover expenses for preparation, monitoring, control, audit, evaluation and other activities and expenditures necessary for managing and implementing the Programme, including all administrative expenditure, as well as evaluating the achievement of its objectives. **Those expenses shall not exceed 5% of the total amount of the Programme**. It may moreover cover expenses relating to the studies, meetings of experts, information and communication actions, in so far as they are related to the objectives of the Programme, as well as expenses linked to information technology networks focusing on information processing and exchange, including corporate information technology tools and other technical and administrative assistance needed in connection with the management of the Programme.

Or. en

Amendment 133

Proposal for a regulation

Article 9 – paragraph 8

Text proposed by the Commission

Amendment

8. Resources allocated to Member States under shared management and transferrable in accordance with Article 21 of Regulation (EU) XX [...Common Provisions Regulation] may, at their request, be transferred to the Programme. The Commission shall implement those resources directly in accordance with point (a) of Article 62(1) of the Financial Regulation or indirectly in accordance with point (c) of that Article. Where possible, those resources shall be used for the benefit of the Member State concerned. *deleted*

Or. en

Justification

This paragraph is now reflected in Article 11.

Amendment 134

Proposal for a regulation

Article 9 – paragraph 9

Text proposed by the Commission

Amendment

9. Horizon Europe is designed to be implemented in synergy with other Union funding programmes. A non-exhaustive list of synergies with other Union funding programmes is included in Annex IV. *deleted*

Or. en

Justification

This paragraph is now reflected in Article 11.

Amendment 135

Proposal for a regulation Article 10 – paragraph 1 a (new)

Text proposed by the Commission

Amendment

1 a. Open access to research data shall be ensured in line with the principle 'as open as possible, as closed as necessary' and recognising the need for different access regimes because of the Union's economic interest, Intellectual Property Rights, personal data protection and confidentiality, security concerns and other legitimate interests. The possibility for robust opt-out shall be disclosed after the proposal ranking. Data management plans during the duration of the project shall be considered as eligible costs.

Or. en

Justification

This wording was unanimously agreed in the Council conclusions from May 2016 on Open Science. In general terms, open access to research data should be distinguished from open access to publications. Keeping the research data can allow you to further exploit them and to be the first one for a patent. The closer we move towards the market, the more research data need to be protected. This was clearly stated by SME European association during the European Parliament stakeholders' conference on 26 June.

Amendment 136

Proposal for a regulation Article 10 – paragraph 1 b (new)

Text proposed by the Commission

Amendment

1 b. Reciprocal open access to other research outputs shall be encouraged internationally, taking into account EU's competitiveness and industrial interests.

Or. en

Amendment 137

Proposal for a regulation

Article 10 – paragraph 1 c (new)

Text proposed by the Commission

Amendment

1 c. Reciprocal open access shall be foreseen in all association and cooperation agreements with third countries, including agreements signed by funding bodies entrusted for indirect management of the programme.

Or. en

Amendment 138

Proposal for a regulation

Article 10 – paragraph 3

Text proposed by the Commission

Amendment

3. Open science practices beyond open access to research outputs and responsible management of research data shall be promoted.

3. **Fair** open science practices beyond open access to research outputs and responsible management of research data shall be **internationally** promoted.

Or. en

Amendment 139

Proposal for a regulation

Article 11 – title

Text proposed by the Commission

Amendment

Complementary **and** combined funding

Complementary, combined **and cumulative** funding

Or. en

Amendment 140

Proposal for a regulation Article 11 – paragraph -1 (new)

Text proposed by the Commission

Amendment

Horizon Europe shall be implemented in synergy with other Union funding programmes while seeking maximal administrative simplification. A non-exhaustive list of synergies with other funding programmes is included in Annex IV. A single set of rules shall apply for an RDI co-funded action.

Or. en

Amendment 141

Proposal for a regulation Article 11 – paragraph 1 – introductory part

Text proposed by the Commission

Amendment

Actions awarded a Seal of Excellence certification, or which comply with the following cumulative, comparative, conditions:

The Seal of Excellence shall be awarded automatically in all parts of the Programme. Actions awarded a Seal of Excellence certification, or which comply with the following cumulative, comparative, conditions:

Or. en

Justification

For simplification, in order to extend the on-going pilot, the award itself does not oblige Member States or regions to fund, only they do not have to go again through the evaluation process.

Amendment 142

Proposal for a regulation Article 11 – paragraph 1 – subparagraph 2

Text proposed by the Commission

may receive support from the European Regional Development Fund, the Cohesion Fund, the European Social Fund+ or the European Agricultural Fund for Rural Development, in accordance with paragraph 5 of Article [67] of Regulation (EU) XX [Common Provisions Regulation] and Article [8] or Regulation (EU) XX [Financing, management and monitoring of the Common Agricultural Policy], provided that such actions are consistent with the objectives of the programme concerned. The rules of the Fund providing support shall apply.

Amendment

may receive support **from national or regional funds, including** from the European Regional Development Fund, the Cohesion Fund, the European Social Fund+ or the European Agricultural Fund for Rural Development, in accordance with paragraph 5 of Article [67] of Regulation (EU) XX [Common Provisions Regulation] and Article [8] or Regulation (EU) XX [Financing, management and monitoring of the Common Agricultural Policy], **without requiring any further application and evaluation and** provided that such actions are consistent with the objectives of the programme concerned. **With the exception of state aid rules,** the rules of the Fund providing support shall apply.

Or. en

Justification

Projects labelled “Seals of Excellence” have been selected through a fair open European competition and should therefore not be subject to State Aid Rules. This provision is also important for Member States and regions to make better use of their financial resources.

Amendment 143

Proposal for a regulation

Article 11 – paragraph 1 – subparagraph 2 a (new)

Text proposed by the Commission

Amendment

In line with Article 21 of Regulation (EU) XX [... Common Provisions Regulation], the managing authority, on a voluntary basis, may request the transfer of parts of their financial allocations to Horizon Europe. Transferred resources shall be implemented in accordance with the rules of Horizon Europe. In addition, the Commission shall ensure that such transferred funds are earmarked entirely for programmes and/or projects which

will be implemented in the Member State or region, as applicable, they originated from.

Or. en

Amendment 144

Proposal for a regulation

Article 11 – paragraph 1 – subparagraph 2 b (new)

Text proposed by the Commission

Amendment

With prior authorisation from the applicants, the Commission shall include the allocations referred to in this Article in the information system on selected projects in order to allow a fast exchange of information and enable financing authorities to provide funding to the selected actions.

Or. en

Amendment 145

Proposal for a regulation

Article 12 – paragraph 1 – point a

Text proposed by the Commission

Amendment

(a) ***European Free Trade Association (EFTA) members which are members of the*** European Economic Area (EEA), in accordance with the conditions laid down in the EEA agreement;

(a) European Economic Area (EEA) ***members***, in accordance with the conditions laid down in the EEA agreement ***including those conditions concerning the level of their financial contribution, or European Free Trade Association (EFTA) members in accordance with the specific conditions laid down in agreements between the Union and those countries;***

Or. en

Amendment 146

Proposal for a regulation

Article 12 – paragraph 1 – point d – subparagraph 1 – point ii

Text proposed by the Commission

ii. commitment to a rules-based open market economy, including fair and equitable dealing with intellectual property rights, backed by democratic institutions;

Amendment

ii. commitment to a rules-based open market economy, including fair and equitable dealing with intellectual property rights, ***respect of human rights***, backed by democratic institutions;

Or. en

Amendment 147

Proposal for a regulation

Article 12 – paragraph 1 – point d – subparagraph 2 – indent 1

Text proposed by the Commission

– ensures a fair balance as regards the contributions and benefits of the third country participating in the Union programmes;

Amendment

– ensures a fair balance as regards the contributions and benefits of the third country participating in the Union programmes. ***That financial balance shall be reviewed, reported to the Council and the Parliament, and adjusted on a yearly basis;***

Or. en

Justification

Nothing was said about the periodicity of reviewing this balance so yearly basis is more appropriate in view of the annual budgetary procedure.

Amendment 148

Proposal for a regulation

Article 12 – paragraph 1 – point d – subparagraph 2 – indent 1 a (new)

Text proposed by the Commission

Amendment

- ***does not confer the right to***

coordinate an action;

Or. en

Amendment 149

Proposal for a regulation

Article 12 – paragraph 1 – point d – subparagraph 2 – indent 1 b (new)

Text proposed by the Commission

Amendment

- *ensures reciprocal participation of legal entities established in the Union in equivalent programmes of associated countries in accordance with the conditions laid down therein;*

Or. en

Amendment 150

Proposal for a regulation

Article 12 – paragraph 1 – point d – subparagraph 2 – indent 3

Text proposed by the Commission

Amendment

- *does not confer to the third country a decisional power on the programme;* *deleted*

Or. en

Justification

Transferred to §6 to apply to all associated countries as it is the case today.

Amendment 151

Proposal for a regulation

Article 12 – paragraph 1 – point d – subparagraph 2 – indent 4

Text proposed by the Commission

Amendment

- *guarantees the rights of the Union* - *guarantees the rights of the Union*

to ensure sound financial management and to protect its financial interests.

to ensure sound financial management and to protect its *societal, scientific, industrial and* financial interests.

Or. en

Amendment 152

Proposal for a regulation Article 12 – paragraph 2

Text proposed by the Commission

2. The scope of association of each third country to the Programme shall take into account the objective of driving economic growth in the Union through innovation. Accordingly, *with the exception of EEA members, acceding countries, candidate countries and potential candidates*, parts of the Programme *may be excluded from an association agreement for a specific country*.

Amendment

2. The scope of association of each third country to the Programme shall take into account the objective of driving economic growth in the Union through innovation. Accordingly, *countries associated under Article 12 (1)(d) shall be excluded from the monobeneficiary parts of the Programme*.

Or. en

Amendment 153

Proposal for a regulation Article 12 – paragraph 4

Text proposed by the Commission

4. The conditions determining the level of financial contribution shall ensure an automatic correction of any significant imbalance compared to the amount that entities established in the associated country receive through participation in the Programme, taking into account the costs in the management, execution and operation of the Programme.

Amendment

4. The conditions determining the level of financial contribution shall ensure an automatic correction, *on a yearly basis*, of any significant imbalance compared to the amount that entities established in the associated country receive through participation in the Programme, taking into account the costs in the management, execution and operation of the Programme.

Or. en

Amendment 154

Proposal for a regulation

Article 12 – paragraph 4 a (new)

Text proposed by the Commission

Amendment

4 a. The contributions of all associated countries shall be included in the relevant parts of the Programme where the associated countries are entitled to participate provided that the budget breakdown of these parts as specified in Article 9, paragraph 2 is respected. The Commission shall update the total budget of each part of the Programme on a yearly basis, adding the Union budget and the contributions from associated countries, identifying each of the individual contributions.

Or. en

Amendment 155

Proposal for a regulation

Article 12 – paragraph 4 b (new)

Text proposed by the Commission

Amendment

4 b. Associated countries shall have no power to take decisions concerning the programme, unless otherwise specified in institutional partnerships on a case-by-case basis.

Or. en

Justification

This is the current association policy. The Commission had proposed it only for the last category of association, ie third countries, but it could be maintained for the others as well.

Amendment 156

Proposal for a regulation Article 12 a (new)

Text proposed by the Commission

Amendment

Article 12 a

International Cooperation with non-associated third countries

- 1. The participation in collaborative parts of the Programme may be open to non-associated third countries.*
- 2. Industrialised and BRICs countries should ensure reciprocal access for Union legal entities to those countries' RDI funding programmes, as well as reciprocity in open access to scientific results and data and to fair and equitable terms for intellectual property rights. They should cover the expenses for the participation of their legal entities in collaborative projects selected under Horizon Europe.*
- 3. Legal entities established in developing countries may participate in collaborative projects and benefit from Union contribution where appropriate and justified.*
- 4. Every year, the Commission shall report to the Parliament and to the Council on the international cooperation activities which have been carried out, specifying, for each non-associated third country the amount of the Union's financial contributions provided to the participating entities and the amount of the financial contributions provided by the same country to Union entities participating in their activities in order to ensure a continuous monitoring of the reciprocity principle. Reciprocity in open access and Intellectual Property Rights issues shall also be reported by the European Commission on a yearly basis.*

Or. en

Amendment 157

Proposal for a regulation Article 14 – title

Text proposed by the Commission

Eligible actions

Amendment

Eligible actions ***and ethical principles***

Or. en

Amendment 158

Proposal for a regulation Article 15 – paragraph 6

Text proposed by the Commission

6. Actions which are not ethically acceptable ***may*** be rejected or terminated at any time.

Amendment

6. Actions which are not ethically acceptable ***shall*** be rejected or terminated at any time.

Or. en

Amendment 159

Proposal for a regulation Article 17 – title

Text proposed by the Commission

Grants

Amendment

Forms of financing and financial provisions

Or. en

Justification

All financial forms should be under one chapter.

Amendment 160

Proposal for a regulation

Article 18 – paragraph 2 – introductory part

Text proposed by the Commission

2. Entities shall be part of a consortium that shall include at least three independent legal entities each established in a different Member State or *associated* country *and with at least one of them established in a Member State*, unless:

Amendment

2. Entities shall be part of a consortium that shall include at least three independent legal entities each established in a different Member State or *in an EFTA* country, unless *the action is one referred to in paragraphs 3 or 4*.

Or. en

Amendment 161

Proposal for a regulation

Article 18 – paragraph 2 – point a

Text proposed by the Commission

(a) *the work programme provides otherwise, if justified;*

Amendment

deleted

Or. en

Amendment 162

Proposal for a regulation

Article 18 – paragraph 2 – point b

Text proposed by the Commission

(b) *the action is one referred to in paragraphs 3 or 4.*

Amendment

deleted

Or. en

Justification

The principle from letter (b) is moved in paragraph 2.

Amendment 163

Proposal for a regulation Article 18 – paragraph 3

Text proposed by the Commission

3. European Research Council (ERC) frontier research actions, European Innovation Council (EIC) actions, training and mobility actions or programme co-fund actions may be implemented by one or more legal entities, one of which must be established in a Member State or associated country.

Amendment

3. European Research Council (ERC) frontier research actions, European Innovation Council (EIC) actions, training and mobility actions or programme co-fund actions may be implemented by one or more legal entities, one of which must be established in a Member State or associated country *in the meaning of Article 12(1)*.

Or. en

Amendment 164

Proposal for a regulation Article 18 – paragraph 4

Text proposed by the Commission

4. *Coordination and* support actions may be implemented by one or more legal entities, which may be established in a Member State, associated country *or in another third country*.

Amendment

4. Support actions may be implemented by one or more legal entities, which may be established in a Member State *or* associated country.

Or. en

Amendment 165

Proposal for a regulation Article 18 – paragraph 5

Text proposed by the Commission

5. For actions related to Union strategic assets, interests, autonomy or security, the work programme may provide that the participation can be limited to those legal entities established in Member

Amendment

5. For actions related to Union strategic assets, interests, autonomy or security, the work programme may provide that the participation can be limited to those legal entities established in Member

States only, or to those legal entities established in specified associated *or other third* countries in addition to Member States.

States only, or to those legal entities established in specified associated countries in addition to Member States.

Or. en

Amendment 166

Proposal for a regulation Article 18 – paragraph 6

Text proposed by the Commission

6. The work programme may provide for eligibility criteria in addition to those set out in paragraphs 2, 3, 4, and 5 according to specific policy requirements or to the nature and objectives of the action, including the number of legal entities, the type of legal entity and the place of establishment.

Amendment

6. The work programme may provide for eligibility criteria in addition to those set out in paragraphs 2, 3, 4, and 5 according to specific policy requirements or to the nature and objectives of the action, including the number of legal entities, the type of legal entity and the place of establishment *and the place of first commercial exploitation of the results*.

Or. en

Amendment 167

Proposal for a regulation Article 18 – paragraph 7

Text proposed by the Commission

7. For actions benefiting from amounts under Article **9(8)**, the participation shall be limited to a single legal entity established in the jurisdiction of the delegating Managing Authority, except if otherwise agreed with the Managing Authority and provided for in the work programme.

Amendment

7. For actions benefiting from amounts under Article **II**, the participation shall be limited to a single legal entity established in the jurisdiction of the delegating Managing Authority, except if otherwise agreed with the Managing Authority and provided for in the work programme.

Or. en

Amendment 168

Proposal for a regulation Article 18 – paragraph 9

Text proposed by the Commission

Amendment

9. *The Joint Research Centre, international European research organisations and legal entities created under Union law shall be deemed to be established in a Member State other than the ones in which other legal entities participating in the action are established.*

deleted

Or. en

Amendment 169

Proposal for a regulation Article 19 – paragraph 1 – subparagraph 1

Text proposed by the Commission

Amendment

Entities are eligible for funding if they are established in a Member State or associated country.

Entities are eligible for funding if they are established in a Member State or associated country *as defined in Article 12 (1)*.

Or. en

Amendment 170

Proposal for a regulation Article 19 – paragraph 2 – introductory part

Text proposed by the Commission

Amendment

2. Entities established in a non-associated third country should *in principle* bear the cost of their participation. *However, for* low to middle income countries and exceptionally for other non-associated third countries they could be

2. Entities established in a non-associated third country should bear the cost of their participation. Low to middle income countries and exceptionally for other non-associated third countries they could be eligible for funding in an action

eligible for funding in an action if: if:

Or. en

Amendment 171

Proposal for a regulation Article 19 – paragraph 2 – point a

Text proposed by the Commission

Amendment

(a) the third country is identified in the work programme ***adopted by the Commission ; or***

(a) the ***non-associated*** third country is identified in the work programme ***and;***

Or. en

Justification

Not all work programmes under Horizon Europe will be adopted by the Commission. The amended text reflects the more legally sound wording of Horizon 2020.

Amendment 172

Proposal for a regulation Article 19 – paragraph 2 – point b

Text proposed by the Commission

Amendment

(b) the Commission or funding body consider that its participation is essential for implementing the action;

(b) the Commission or funding body consider that its participation is essential for implementing the action; ***and***

Or. en

Amendment 173

Proposal for a regulation Article 19 – paragraph 2 – point b a (new)

Text proposed by the Commission

Amendment

(b a) the non-associated third countries provides reciprocal access for funding

entities to similar programmes they might have, as well as reciprocal open access to their research results and possibly research data.

Or. en

Amendment 174

Proposal for a regulation Article 19 – paragraph 3

Text proposed by the Commission

3. Affiliated entities are eligible for funding in an action if they are established in a Member State, Associated country, *or in a third country identified in the work programme adopted by the Commission.*

Amendment

3. Affiliated entities are eligible for funding in an action if they are established in a Member State *or* Associated country.

Or. en

Justification

Not all work programmes under Horizon Europe will be adopted by the Commission. The amended text reflects the more legally sound wording of Horizon 2020.

Amendment 175

Proposal for a regulation Article 20 – paragraph 2

Text proposed by the Commission

2. *For EIC Pathfinder transition activities:*

(a) *the launch and the content of the calls for proposals shall be determined with regard to objectives and budget established by the work programme in relation with the concerned portfolio of actions;*

(b) *grants for a fixed amount not exceeding EUR 50,000 may be awarded without a call for proposals to carry out*

Amendment

deleted

urgent coordination and support actions for reinforcing the portfolio's community of beneficiaries or assessing possible spin-offs or potential market creating-innovation.

Or. en

Justification

This part is moved into the EIC Articles for consistency and coherence of the text.

Amendment 176

**Proposal for a regulation
Article 20 – paragraph 5**

Text proposed by the Commission

Amendment

5. *The work programme shall specify calls for which "Seals of Excellence" will be awarded. With prior authorisation from the applicant, information concerning the application and the evaluation may be shared with interested financing authorities, subject to the conclusion of confidentiality agreements.* **deleted**

Or. en

Justification

The "Seal of Excellence" should be awarded through out the entire Programme

Amendment 177

**Proposal for a regulation
Article 23**

Text proposed by the Commission

Amendment

Article 23 **deleted**

Cumulative funding

An action that has received a contribution from another Union programme may also

receive a contribution under the Programme, provided that the contributions do not cover the same costs. The rules of each contributing Union programme shall apply to its respective contribution to the action. The cumulative funding shall not exceed the total eligible costs of the action and the support from different Union programmes may be calculated on a pro-rata basis in accordance with the documents setting out the conditions for support.

Or. en

Justification

Moved and merged with the amendment in Article 11 “complementary and combined funding” in order to address synergies and to have single set of rules for an RDI actions co-funded by different EU funds.

Amendment 178

Proposal for a regulation
Article 24 – title

Text proposed by the Commission

Amendment

Selection criteria

Financial capacity of applicants

Or. en

Justification

For consistency and coherence with the text of this Article which addresses the financial capacity of applicants, which is not the same as selection Criteria (this is addressed in separate Article 25)

Amendment 179

Proposal for a regulation
Article 25 – title

Text proposed by the Commission

Amendment

Award criteria

Selection, evaluation and award criteria

Or. en

Amendment 180

Proposal for a regulation

Article 25 – paragraph 1 – introductory part

Text proposed by the Commission

Amendment

1. *A proposal* shall be evaluated on the basis of the following *award* criteria:

1. ***The anonymous projects*** shall be evaluated ***by EU independent external experts*** on the basis of the following criteria:

Or. en

Amendment 181

Proposal for a regulation

Article 25 – paragraph 1 – point b

Text proposed by the Commission

Amendment

(b) impact;

(b) ***societal, scientific and/ or economic impact for the Union;***

Or. en

Amendment 182

Proposal for a regulation

Article 25 – paragraph 1 – point c

Text proposed by the Commission

Amendment

(c) quality and efficiency of the implementation.

(c) quality and efficiency of the implementation, ***including the use of research infrastructures which have been***

supported by EU funding programmes;

Or. en

Amendment 183

Proposal for a regulation Article 25 – paragraph 1 a (new)

Text proposed by the Commission

Amendment

1 a. The evaluation committee shall rank where necessary the proposals having passed the applicable thresholds, according to the evaluation scores. Among the proposals evaluated as excellent, priority shall be given to proposals that meet at least two of the following criteria:

- a) their contribution to the achievement of specific policy objectives;*
- b) those foreseeing first commercial exploitation of the results within the EU;*
- c) those involving the highest number of partners from the “widening participating” countries;*
- d) those foreseeing the use of research infrastructures which have been supported by EU funding programmes;*
- e) those attracting scientists, businesses from third countries to come to the EU*

Or. en

Amendment 184

Proposal for a regulation Article 25 – paragraph 2

Text proposed by the Commission

Amendment

2. Only the criterion referred to in point (a) of paragraph 1 shall apply to

deleted

proposals for ERC frontier research actions.

Or. en

Amendment 185

Proposal for a regulation

Article 25 – paragraph 2 a (new)

Text proposed by the Commission

Amendment

2 a. The evaluation committee shall rank where necessary the proposals having passed the applicable thresholds, according to the evaluation scores. Among the proposals evaluated as excellent, priority shall be given to proposals that meet at least two of the following criteria:

a) their contribution to the achievement of specific policy objectives;

b) those foreseeing first commercial exploitation of the results within the EU;

c) those involving the highest number of partners from the “widening participating” countries;

d) those foreseeing the use of research infrastructures which have been supported by EU funding programmes;

e) those attracting scientists, businesses from third countries to come to the EU;

Or. en

Amendment 186

Proposal for a regulation

Article 25 – paragraph 3

Text proposed by the Commission

Amendment

3. The work programme shall lay

3. The work programme shall lay

down further details of the application of the award criteria laid down in paragraph 1, and may specify weightings and thresholds.

down further details of the application of the award criteria laid down in paragraph 1 **and 2** and may specify weightings and thresholds.

Or. en

Amendment 187

Proposal for a regulation Article 25 – paragraph 3 a (new)

Text proposed by the Commission

Amendment

3 a. The evaluation committee may also propose any substantial adjustments to the proposals in as far as needed for the consistency of the portfolio.

Or. en

Amendment 188

Proposal for a regulation Article 26

Text proposed by the Commission

Amendment

Article 26

deleted

Evaluation

1. Proposals shall be evaluated by the evaluation committee which may be :

- fully or partially composed of external independent experts,**
- composed of representatives of Union Institutions or bodies as referred to in Article 150 of the Financial Regulation.**

The evaluation committee may be assisted by independent experts.

2. Where necessary, the evaluation committee shall rank the proposals having passed the applicable thresholds,

according to:

- *the evaluation scores,*
- *their contribution to the achievement of specific policy objectives, including the constitution of a consistent portfolio of projects.*

The evaluation committee may also propose any substantial adjustments to the proposals in as far as needed for the consistency of the portfolio.

Or. en

Amendment 189

Proposal for a regulation Article 27 – title

Text proposed by the Commission

Amendment

Evaluation review procedure

Evaluation review procedure, *enquiries and complaints*

Or. en

Amendment 190

Proposal for a regulation Article 27 – paragraph 2 a (new)

Text proposed by the Commission

Amendment

2 a. A request for review shall relate to a specific proposal and shall be submitted within 30 days after the communication of evaluation results. The review committee shall be chaired and composed by representatives who were not involved in the call for proposals. The committee will decide by majority vote whether the proposal need to be re-evaluated or the initial evaluation is confirmed. It shall do so without undue delay, not compromising selection possibilities.

Justification

Based on Article 16 of Rules of participation of Horizon 2020.

Amendment 191

Proposal for a regulation

Article 27 – paragraph 3 a (new)

Text proposed by the Commission

Amendment

3 a. The Commission shall ensure the existence of a procedure for participants to make direct enquiries and complaints about their involvement in Horizon Europe. Enquiries should be answered within 30 days. Information on how to register enquiries or complaints is made available for the public and published on-line

Or. en

Justification

Based on Article 17 of Rules of participation of Horizon 2020.

Amendment 192

Proposal for a regulation

Article 28 – paragraph 1 – point b a (new)

Text proposed by the Commission

Amendment

(b a) for signing grant agreements with applicants under Fast Track to Research and Innovation, a maximum period of six months from the final date for submission of complete proposals.

Or. en

Amendment 193

Proposal for a regulation

Article 29 – paragraph 2

Text proposed by the Commission

2. The grant agreement may establish milestones and related pre-financing installments. If milestones are not met, the action may be suspended, amended or terminated.

Amendment

2. The grant agreement may establish milestones and related pre-financing installments. If milestones are not met, the action may be suspended, amended, ***in case no corrective action is found***, or terminated.

Or. en

Amendment 194

Proposal for a regulation

Article 29 – paragraph 3

Text proposed by the Commission

3. The action may also be terminated where expected results have lost their relevance for the Union due to scientific, technological or economic reasons, including in the case of EIC and missions, their relevance as part of a portfolio of ***actions***.

Amendment

3. The action may also be terminated where expected results have lost their relevance for the Union due to scientific, technological or economic reasons, including in the case of EIC and missions, their relevance as part of a portfolio of ***actions. The Commission shall undergo a procedure with the action coordinator and stakeholders before it can decide to terminate an action.***

Or. en

Amendment 195

Proposal for a regulation

Article 30 – paragraph 1

Text proposed by the Commission

1. A single funding rate per action shall apply for all activities it funds. The maximum rate ***shall be fixed in the work***

Amendment

1. A single funding rate per action shall apply for all activities it funds. The

programme.

maximum rate *is* fixed in *Article 30 (2)*.

Or. en

Justification

For simplification of implementation funding rates should be uniform throughout the programme.

Amendment 196

Proposal for a regulation

Article 32 – paragraph 1 – subparagraph 1

Text proposed by the Commission

In addition** to the criteria set out in Article 197 of the Financial Regulation, for beneficiaries with project-based remuneration, costs of personnel are eligible **up to the** remuneration **that the person is paid for work in similar projects funded by national schemes.

Amendment

***By derogation from** the criteria set out in Article 197 of the Financial Regulation, for beneficiaries with project-based remuneration, costs of personnel are eligible **based on unique** remuneration **calculated at the European Union level for researchers participating in the Programme, in accordance with the principle "equal pay for equal work"**.*

Or. en

Justification

In accordance with paragraph 54 of the European Parliament resolution from June 2017 that calls for policies to remove barriers, such as lower salaries that are faced by Eastern and Southern countries, in order to avoid brain drain;

Amendment 197

Proposal for a regulation

Article 32 – paragraph 1 – subparagraph 2

Text proposed by the Commission

Project-based remuneration means remuneration that is linked to the participation of a person in projects, is part of the *beneficiary's usual* remuneration *practices* and is paid in a consistent

Amendment

Project-based remuneration means remuneration that is linked to the participation of a person in projects, is part of the *unique* remuneration *practice applied at the Programme level based on*

manner.

researcher career levels defined in the European Framework for Research Careers and is paid in a consistent manner.

Or. en

Justification

Same rules for everyone in accordance with the principle of equal treatment within a European program financed by the European budget. Salaries paid from a European program are for European citizens and must be calculated on the basis of a common algorithm setting the salaries of European researcher at the level of the funding European programme. This means a single scale valid for all researchers participating in the Framework Programme, regardless of the researcher's country of origin or the location of the research organization. This unique scale could be based on the researcher career levels defined in the European Framework for Research Careers: R1-First Stage Researcher (up to Doctoral level); R2-Recognized Researcher (Postdoctoral or equivalent researchers, not fully independent); R3-Established Researcher (Researchers who have achieved a high degree of autonomy); R4-Leading Researcher (Top researchers in their field of research or activity). Horizon-Europe funds are EU funds, are not national funds, and as long as all project members perform the same activity under the same conditions (set-up by the project) they should be able to declare the same salary costs. The scale of salaries should be competitive such that the best researchers are attracted to apply at Horizon-Europe.

Amendment 198

Proposal for a regulation

Article 32 – paragraph 3 a (new)

Text proposed by the Commission

Amendment

3 a. Beneficiaries may use their usual accounting practices to identify and declare the costs incurred in relation to an action, with the exception of the costs of personnel, referred to in paragraph 1 of this Article. The Commission may specify a limited number of further eligibility conditions to ensure the sound management of the grant. The Commission may not reject accounting practices if their outcomes do not differ from its own and if they offer the same level of protection of the Union's financial interests.

Or. en

Amendment 199

Proposal for a regulation

Article 32 – paragraph 4 a (new)

Text proposed by the Commission

Amendment

4 a. In accordance with Article 10 of this Regulation, costs generated by the responsible management of research data in line with the principles ‘Findability’, ‘Accessibility’, ‘Interoperability’ and ‘Reusability’(FAIR) shall be eligible.

Or. en

Amendment 200

Proposal for a regulation

Article 33 – paragraph 3

Text proposed by the Commission

Amendment

3. Beneficiaries shall make a contribution of 5 % of the Union funding for the action. On the basis of *periodic* evaluations, this contribution may be raised by the Commission up to 8% or may be reduced under 5%. The beneficiaries' contribution to the Mechanism may be offset from the initial pre-financing and be paid to the Fund on behalf of the beneficiaries.

3. Beneficiaries shall make a contribution of 5 % of the Union funding for the action. On the basis of evaluations ***carried out annually***, this contribution may be raised by the Commission up to 8% or may be reduced under 5%. The beneficiaries' contribution to the Mechanism may be offset from the initial pre-financing and be paid to the Fund on behalf of the beneficiaries.

Or. en

Amendment 201

Proposal for a regulation

Article 33 – paragraph 7

Text proposed by the Commission

Amendment

7. The Mechanism may be ***opened*** to

7. The Mechanism may be ***extended***

beneficiaries of any other directly managed Union programme. The Commission shall adopt modalities for participation of beneficiaries of other programmes.

to beneficiaries of any other directly managed Union programme. The Commission shall adopt modalities for participation of beneficiaries of other programmes.

Or. en

Amendment 202

Proposal for a regulation Article 34 – paragraph 2

Text proposed by the Commission

2. Beneficiaries having received Union funding shall adequately protect their results if protection is possible and justified, taking into account all relevant considerations, including the prospects for commercial exploitation. When deciding on protection, beneficiaries shall also consider the legitimate interests of the other beneficiaries in the action.

Amendment

2. Beneficiaries having received Union funding shall adequately protect their results if protection is possible and justified, taking into account all relevant considerations, including the prospects for commercial exploitation ***and other legitimate interests such as data protection rules, privacy, intellectual property rights and security rules, coupled with the global economic competitiveness of the EU.*** When deciding on protection, beneficiaries shall also consider the legitimate interests of the other beneficiaries in the action.

Or. en

Amendment 203

Proposal for a regulation Article 35 – paragraph 1 – subparagraph 1

Text proposed by the Commission

Beneficiaries having received Union funding shall use their best efforts to exploit their results, ***in particular*** in the Union. Exploitation may be done directly by the beneficiaries or indirectly in particular through the transfer and

Amendment

Beneficiaries having received Union funding shall use their best efforts to exploit their results, ***by priority*** in the Union. Exploitation may be done directly by the beneficiaries or indirectly in particular through the transfer and

licensing of results in accordance with Article 36.

licensing of results in accordance with Article 36.

Or. en

Amendment 204

Proposal for a regulation

Article 35 – paragraph 1 – subparagraph 3

Text proposed by the Commission

If despite a beneficiary's best efforts to exploit its results directly or indirectly no exploitation takes place within a given period as identified in the grant agreement, the beneficiary shall use *an* appropriate online *platform* as identified in the grant agreement to find interested parties to exploit those results. If justified on the basis of a request of the beneficiary, this obligation may be waived.

Amendment

If despite a beneficiary's best efforts to exploit its results directly or indirectly no exploitation takes place within a given period as identified in the grant agreement, the beneficiary shall use *all* appropriate online *platforms* as identified in the grant agreement to find interested parties to exploit those results *on the EU territory first*. If justified on the basis of a request of the beneficiary, this obligation may be waived.

Or. en

Amendment 205

Proposal for a regulation

Article 35 – paragraph 2 – subparagraph 2

Text proposed by the Commission

The work programme may provide for additional dissemination obligations.

Amendment

The work programme may provide for additional dissemination obligations *while safeguarding EU's economic interests*.

Or. en

Amendment 206

Proposal for a regulation

Article 35 – paragraph 3 – subparagraph 1

Text proposed by the Commission

Beneficiaries shall ensure that open access to scientific publications applies under the terms and conditions laid down in the grant agreement. In particular, the beneficiaries shall ensure that they or the authors retain sufficient intellectual property rights to comply with *their* open access requirements.

Amendment

Beneficiaries shall ensure that *fair* open access to scientific publications applies under the terms and conditions laid down in the grant agreement. In particular, the beneficiaries shall ensure that they or the authors retain sufficient intellectual property rights to comply with *fair* open access requirements.

Or. en

Amendment 207

Proposal for a regulation

Article 35 – paragraph 3 – subparagraph 2

Text proposed by the Commission

Open access to research data *shall be the general rule under the* terms and conditions *laid down in the grant agreement, but* exceptions shall apply if justified, taking into consideration the legitimate interests of the beneficiaries and any other constraints, such as data protection rules, security rules or intellectual property rights.

Amendment

With regard to the dissemination of research data, the grant agreement shall, in the context of fair open access to *and the preservation of* research data, *lay down* terms and conditions *under which fair access to such results shall be provided, ensuring robust and simple opt-outs following the principle “as open as possible, as closed as necessary”.* Exceptions shall apply if justified, taking into consideration the legitimate interests of the beneficiaries and any other constraints, such as data protection rules, *privacy, confidentiality,* security rules, *trade secrets, legitimate commercial interests* or intellectual property rights *or Union’s external competitiveness.*

Or. en

Amendment 208

Proposal for a regulation

Article 35 – paragraph 3 – subparagraph 3

Text proposed by the Commission

Amendment

The work programme may provide for additional obligations to adhere to open science practices.

deleted

Or. en

Amendment 209

Proposal for a regulation Article 35 – paragraph 4 – subparagraph 2

Text proposed by the Commission

Amendment

The work programme may provide for additional ***obligations*** to use the European Open Science Cloud for storing and giving access to research data.

The work programme may provide for additional ***incentives*** to use the European Open Science Cloud for storing and giving access to research data.

Or. en

Amendment 210

Proposal for a regulation Article 35 – paragraph 6 – subparagraph 1

Text proposed by the Commission

Amendment

Unless the work programme provides otherwise, proposals shall include a plan for the exploitation and dissemination of the results. If the expected exploitation entails developing, creating, manufacturing and marketing a product or process, or in creating and providing a service, the plan shall include a strategy for such exploitation. If the ***plan provides for exploitation primarily in non-associated third countries, the legal entities shall explain*** how that exploitation is ***still*** in the Union interest.

Unless the work programme provides otherwise, proposals shall include a plan for the exploitation and dissemination of the results. If the expected exploitation entails developing, creating, manufacturing and marketing a product or process, or in creating and providing a service, the plan shall include a strategy for such exploitation ***in the EU or associated country***. If the ***beneficiary does not manage to justify*** how that exploitation is in the ***European*** Union interest, ***a non-exhaustive license may be granted to a responsible applicant or applicants for exploitation in the European Union, upon***

term that are reasonable under the circumstances. In order to find responsible applicants, the online platforms mentioned under Article 35 (1) should be used.

Or. en

Amendment 211

Proposal for a regulation Article 35 – paragraph 6 – subparagraph 2

Text proposed by the Commission

The beneficiaries *shall* further *develop* the plan during *and after the end of* the action.

Amendment

The beneficiaries *may* further *detail* the plan during the action.

Or. en

Amendment 212

Proposal for a regulation Article 36 – paragraph 2 – subparagraph 2

Text proposed by the Commission

Unless agreed otherwise in writing for specifically-identified third parties, a beneficiary may object to the transfer if it can show that the transfer would adversely affect its access rights. In this case, the transfer may not take place until agreement has been reached between the beneficiaries concerned.

Amendment

Unless agreed otherwise in writing for specifically-identified third parties, a beneficiary may object to the transfer if it can show that the transfer would adversely affect its access rights. In this case, the transfer may not take place until agreement has been reached between the beneficiaries concerned. *The grant agreement shall lay down time-limits in this respect.*

Or. en

Amendment 213

Proposal for a regulation Article 36 – paragraph 4 – subparagraph 1 – point b

Text proposed by the Commission

(b) the transfer or licence is to a legal entity established in a *non-associated* third country; and

Amendment

(b) the transfer or licence is to a legal entity established in a third country; and

Or. en

Amendment 214

Proposal for a regulation

Article 37 – paragraph 5 – subparagraph 2

Text proposed by the Commission

In actions under the cluster '*Inclusive and secure Society*', area of intervention 'Protection and Security', beneficiaries having received Union funding shall also grant access to their results on a royalty-free basis to Member States' national authorities, for developing, implementing and monitoring their policies or programmes in that area. Access shall be limited to non-commercial and non-competitive use and shall be granted upon bilateral agreement defining specific conditions aimed at ensuring that those rights will be used only for the intended purpose and that appropriate confidentiality obligations will be in place. The requesting Member State, Union institution, body, office or agency shall notify all Member States of such requests.

Amendment

In actions under the cluster 'Secure Society', area of intervention 'Protection and Security', beneficiaries having received Union funding shall also grant access to their results on a royalty-free basis to Member States' national authorities, for developing, implementing and monitoring their policies or programmes in that area. Access shall be limited to non-commercial and non-competitive use and shall be granted upon bilateral agreement defining specific conditions aimed at ensuring that those rights will be used only for the intended purpose and that appropriate confidentiality obligations will be in place. The requesting Member State, Union institution, body, office or agency shall notify all Member States of such requests.

Or. en

Amendment 215

Proposal for a regulation

Article 37 – paragraph 6

Text proposed by the Commission

Amendment

6. The work programme may provide for additional access rights.

deleted

Or. en

Amendment 216

Proposal for a regulation Article 38 – paragraph 2

Text proposed by the Commission

Amendment

These specific rules shall not change the **obligations on** open access.

These specific rules shall not change the **principles of** open access **to research results and fair access to research data.**

Or. en

Amendment 217

Proposal for a regulation Article 39 – paragraph 3 – point b

Text proposed by the Commission

Amendment

(b) **third** countries, including their scientific and technological organisations or agencies;

(b) **associated** countries, including their scientific and technological organisations or agencies;

Or. en

Amendment 218

Proposal for a regulation Article 39 – paragraph 4 a (new)

Text proposed by the Commission

Amendment

4 a. In order to foster the attractiveness of the Union, “attractiveness” prizes of EUR 100 000 shall be automatically

awarded to any selected action which leads to the establishment in the Union of a scientist or a private RDI-intensive entity from a third country. In addition, the prize shall be increased by 50% where the attracted scientist or private RDI-intensive entity is established in a widening country.

Or. en

Amendment 219

Proposal for a regulation Article 42 – paragraph 2

Text proposed by the Commission

2. EIC blended finance shall be implemented in accordance with Article 43. The support under the EIC blended finance may be granted until the action can be financed as a blending operation or as a financing and investment operation fully covered by the EU guarantee under InvestEU. By derogation from Article 209 of the Financial Regulation, the conditions laid down in paragraph (2) and, in particular, paragraph (a) and (d), do not apply at the time of the award of EIC blended finance

Amendment

2. EIC blended finance shall be implemented in accordance with Article 43. The support under the EIC blended finance may be granted until the action can be financed as a blending operation or as a financing and investment operation fully **bankable or** covered by the EU guarantee under InvestEU. By derogation from Article 209 of the Financial Regulation, the conditions laid down in paragraph (2) and, in particular, paragraph (a) and (d), do not apply at the time of the award of EIC blended finance

Or. en

Amendment 220

Proposal for a regulation Article 42 – paragraph 3

Text proposed by the Commission

3. Horizon Europe blended finance may be awarded to a programme co-fund where a joint programme of Member States and associated countries provides for the

Amendment

3. Horizon Europe blended finance may be awarded to a programme co-fund where a joint programme of Member States and associated countries provides for the

deployment of financial instruments in support of selected actions. The evaluation and selection of such actions shall be made in accordance with Articles 19, 20, 23, 24, **25 and 26**. The implementation modalities of the Horizon Europe blended finance shall comply with Article 29, by analogy Article 43(9) and with additional conditions defined by the work programme.

deployment of financial instruments in support of selected actions. The evaluation and selection of such actions shall be made in accordance with Articles 19, 20, 23, 24 **and 25**. The implementation modalities of the Horizon Europe blended finance shall comply with Article 29, by analogy Article 43(9) and with additional **and justified** conditions defined by the work programme.

Or. en

Amendment 221

Proposal for a regulation Article 42 – paragraph 5

Text proposed by the Commission

5. Horizon Europe and EIC blended finance shall be provided in a manner that **does not distort** competition.

Amendment

5. Horizon Europe and EIC blended finance shall be provided in a manner that **promotes EU's competitiveness while avoiding distortion of** competition.

Or. en

Amendment 222

Proposal for a regulation Article 42 a (new)

Text proposed by the Commission

Amendment

Article 42 a

***Instruments under the European
Innovation Council***

1. The Pathfinder for Advanced Research

The Pathfinder's will provide grants to high-risk cutting-edge projects aiming to develop strategic autonomy of the Union into potentially radical innovative technologies of the future and new market

opportunities. The Pathfinder will initially support the earliest stages of scientific and technological research and development, including proof of concept and prototypes for technology validation.

The Pathfinder will be mainly implemented through a open call for bottom-up proposals with regular cut-off dates per year and will also provide for competitive challenges to develop key strategic objectives^{1a} calling for deep-tech and radical thinking. Regrouping of selected projects into thematic or objective driven portfolios will allow establishing critical mass of efforts, technological strategic autonomy at EU level and structuring new multidisciplinary research communities.

2. Pathfinder transition activities

The Pathfinder's Transition activities shall be implemented to help innovators develop the pathway to commercial development in the Union, such as demonstration activities and feasibility studies to assess potential business cases, and support the creation of spin offs and startups.

(a) the launch and the content of the calls for proposals shall be determined with regard to objectives and budget established by the work programme in relation with the concerned portfolio of actions;

(b) grants for a fixed amount not exceeding EUR 50 000 may be awarded without a call for proposals only to those activities already funded under the Pathfinder, to carry out urgent coordination and support actions for reinforcing the portfolio's community of beneficiaries or assessing possible spin-offs or potential market creating-innovation.

^{1a} These could include topics such as Artificial Intelligence, Quantum

technologies, Biocontrol or Second generation digital twins, or any other topics identified in the context of the Horizon Europe Strategic programming (including with Member States' networked programmes).

Or. en

Amendment 223

Proposal for a regulation Article 43 – title

Text proposed by the Commission

EIC's Accelerator

Amendment

The Accelerator

Or. en

Amendment 224

Proposal for a regulation Article 43 – paragraph 1

Text proposed by the Commission

1. The beneficiary of the EIC Accelerator shall be a legal entity qualifying as a start-up, an SME or as a mid-cap, established in a Member State or *associated* country. *The proposal may be submitted by the beneficiary, or by one or more natural persons or legal entities intending to establish or support that beneficiary.*

Amendment

1. The beneficiary of the EIC Accelerator shall be a legal entity qualifying as a start-up, an SME or as a mid-cap, established in a Member State or *EFTA* country.

Or. en

Amendment 225

Proposal for a regulation Article 43 – paragraph 4 – indent 2

Text proposed by the Commission

- impact;

Amendment

- **Union** impact;

Or. en

Amendment 226

Proposal for a regulation

Article 43 – paragraph 4 – indent 3

Text proposed by the Commission

- the level risk of the action and the need for Union support.

Amendment

- the **high** level risk of the action and the **subsequent** need for Union support.

Or. en

Amendment 227

Proposal for a regulation

Article 43 – paragraph 5 – introductory part

Text proposed by the Commission

5. With the agreement of applicants concerned, the Commission or funding bodies implementing Horizon Europe may directly submit for evaluation under the last evaluation criterion a proposal for an innovation and market deployment action which already fulfils the first two criteria, subject to the following cumulative conditions:

Amendment

5. With the agreement of applicants concerned, the Commission or funding bodies implementing Horizon Europe may directly submit for evaluation under the last evaluation criterion a proposal for an innovation and market deployment action **in the Union** which already fulfils the first two criteria, subject to the following cumulative conditions:

Or. en

Amendment 228

Proposal for a regulation

Article 43 – paragraph 5 – indent 1

Text proposed by the Commission

- the proposal shall stem from any other action funded by Horizon 2020 or this Programme, or from a national programme *similar to the EIC's Pathfinder* and acknowledged *as such* by the Commission;

Amendment

- the proposal shall stem from any other action funded by Horizon 2020 or this Programme, or from a national programme and acknowledged by the Commission *as meeting EIC requirements*.

Or. en

Amendment 229

**Proposal for a regulation
Article 43 – paragraph 6**

Text proposed by the Commission

6. *A Seal of Excellence may be awarded subject to the following cumulative conditions:*

- *the beneficiary is a start-up or an SME,*
- *the proposal was eligible and has passed applicable thresholds for the first two award criteria referred to in paragraph 4,*
- *for those activities that would be eligible under an innovation action.*

Amendment

deleted

Or. en

Justification

Since the SoE should be automatic.

Amendment 230

**Proposal for a regulation
Article 43 – paragraph 7 – subparagraph 2**

Text proposed by the Commission

The Commission may reject a proposal retained by independent experts for justified reasons, including compliance with the objectives of Union policies.

Amendment

The Commission may reject a proposal retained by independent experts for justified reasons, including **non** compliance with the objectives of Union policies.

Or. en

Amendment 231

Proposal for a regulation

Article 43 – paragraph 10 – subparagraph 1

Text proposed by the Commission

The contract for the selected action shall establish specific milestones and the corresponding pre-financing and payments by instalments of the EIC blended finance.

Amendment

The contract for the selected action shall establish specific **measurable** milestones and the corresponding pre-financing and payments by instalments of the EIC blended finance.

Or. en

Justification

For efficiency and transparency of EU public funding.

Amendment 232

Proposal for a regulation

Article 43 – paragraph 11 – subparagraph 1

Text proposed by the Commission

In accordance with the contract, the action shall be suspended, amended or terminated if milestones are not met. It may also be terminated where the expected market deployment cannot be met.

Amendment

In accordance with the contract, the action shall be suspended, amended or terminated if **measurable** milestones are not met. It may also be terminated where the expected market deployment **in the Union** cannot be met.

Or. en

Amendment 233

Proposal for a regulation Article 43 a (new)

Text proposed by the Commission

Amendment

Article 43 a

Incremental innovation

A dedicated instrument for the incremental innovation targeted at SMEs under a single centralised management system shall be created. It will be implemented primarily in a bottom-up manner through a continuously open call tailored to the needs of SMEs.

Or. en

Justification

To address the remaining part of the SME instrument not covered by the EIC.

Amendment 234

Proposal for a regulation Article 44 – title

Text proposed by the Commission

Amendment

Appointment of external experts

Appointment of ***independent*** external experts

Or. en

Amendment 235

Proposal for a regulation Article 44 – paragraph 1

Text proposed by the Commission

Amendment

1. By derogation from Article 237(3)

1. By derogation from Article 237(3)

of the Financial Regulation, external experts may be selected without a call for expressions of interest, if justified and the selection is carried out in a transparent manner.

of the Financial Regulation, *independent* external experts may *exceptionally* be selected without a call for expressions of interest, if justified and the selection is carried out in a transparent manner. *Such experts will need to prove their independence and capacity to support the European long-term RDI objectives.*

Or. en

Amendment 236

Proposal for a regulation Article 44 – paragraph 1 a (new)

Text proposed by the Commission

Amendment

1 a. Independent external experts shall be chosen from all Member States, on the basis of their skills, experience and knowledge appropriate to carry out the task assigned to them. When appointing independent external experts the Commission or the EU funding body shall seek balanced representation and composition within the expert group and evaluation panels in terms of specialisation, geographical background and gender

Or. en

Justification

In accordance with European Parliament's resolution from June 2017, Paragraph 62.

Amendment 237

Proposal for a regulation Article 44 – paragraph 2

Text proposed by the Commission

Amendment

2. In accordance with Article 237(2) and 237(3) of the Financial Regulation,

2. In accordance with Article 237(2) and 237(3) of the Financial Regulation,

external experts shall be remunerated based on standard conditions. *If justified, an appropriate level of remuneration beyond the standard conditions based on relevant market standards, especially for specific high level experts, may be granted.*

independent external experts shall be remunerated based on standard conditions.

Or. en

Amendment 238

Proposal for a regulation Article 44 – paragraph 3

Text proposed by the Commission

3. In addition to paragraphs 2 and 3 of Article 38 of the Financial Regulation, the names of external experts evaluating grant applications, who are appointed in a personal capacity shall be published, together with their area of expertise, at least once a year on the internet site of the Commission or the funding body. Such information shall be collected, processed and published in accordance with the EU data protection rules.

Amendment

3. In addition to paragraphs 2 and 3 of Article 38 of the Financial Regulation, the names of *independent* external experts evaluating grant applications, who are appointed in a personal capacity shall be published, together with their area of expertise, at least once a year on the internet site of the Commission or the funding body. Such information shall be collected, processed and published in accordance with the EU data protection rules.

Or. en

Amendment 239

Proposal for a regulation Article 44 – paragraph 3 a (new)

Text proposed by the Commission

Amendment

3 a. *The level of remuneration of all independent and external experts shall be reported annually to the European Parliament and to the Council. It shall be covered by the administrative expenses of the programme.*

Amendment 240

Proposal for a regulation Article 47 – paragraph 1

Text proposed by the Commission

1. Programme evaluations shall be carried out in **a timely manner** to feed into the decision-making process on the programme, its successor and other initiatives relevant to research and innovation.

Amendment

1. Programme evaluations shall be carried out in **every two years** to feed into the decision-making process on the programme, its successor and other initiatives relevant to research and innovation.

Or. en

Amendment 241

Proposal for a regulation Article 47 – paragraph 2

Text proposed by the Commission

2. The interim evaluation of the Programme shall be carried out once there is sufficient information available about the implementation of the Programme, but no later than **four** years after the start of the programme implementation. It shall include an assessment of the long-term impact of previous Framework Programmes and shall form the basis to adjust programme implementation, as appropriate.

Amendment

2. The interim evaluation of the Programme shall be carried out once there is sufficient information available about the implementation of the Programme, but no later than **two** years after the start of the programme implementation. It shall include an assessment of the long-term impact of previous Framework Programmes and shall form the basis to adjust programme implementation **and/or review the programme**, as appropriate.

Or. en

Amendment 242

Proposal for a regulation Article 47 – paragraph 3

Text proposed by the Commission

3. At the end of the implementation of the Programme, but no later than **four** years after the end of the period specified in Article 1, a final evaluation of the Programme shall be completed by the Commission. It shall include an assessment of the long-term impact of previous Framework Programmes.

Amendment

3. At the end of the implementation of the Programme, but no later than **two** years after the end of the period specified in Article 1, a final evaluation of the Programme shall be completed by the Commission. It shall include an assessment of the long-term impact of previous Framework Programmes.

Or. en

Amendment 243

Proposal for a regulation Article 47 – paragraph 4

Text proposed by the Commission

4. The Commission shall communicate the conclusions of the evaluations accompanied by its observations, to the European Parliament, the Council, the European Economic and Social Committee and the Committee of the Regions.

Amendment

4. The Commission shall communicate **and present** the conclusions of the evaluations accompanied by its observations, to the European Parliament, the Council, the European Economic and Social Committee and the Committee of the Regions.

Or. en

Amendment 244

Proposal for a regulation Article 48 – paragraph 3

Text proposed by the Commission

3. In addition, the Commission or funding body may rely on combined systems reviews at beneficiary level. These combined reviews shall be optional for **certain types of** beneficiaries and shall consist in a systems and process audit, complemented by an audit of transactions,

Amendment

3. In addition, the Commission or funding body may rely on combined systems reviews at beneficiary level. These combined reviews shall be optional for beneficiaries and shall consist in a systems and process audit, complemented by an audit of transactions, carried out by a

carried out by a competent independent auditor qualified to carry out statutory audits of accounting documents in accordance with Directive 2006/43/EC³⁴. They may be used by the Commission or funding body to determine overall assurance on the sound financial management of expenditure and for reconsideration of the level of ex-post audits and certificates on financial statements.

competent independent auditor qualified to carry out statutory audits of accounting documents in accordance with Directive 2006/43/EC³⁴. They may be used by the Commission or funding body to determine overall assurance on the sound financial management of expenditure and for reconsideration of the level of ex-post audits and certificates on financial statements.

³⁴ Directive 2006/43/EC of the European Parliament and of the Council of 17 May 2006 on statutory audits of annual accounts and consolidated accounts, amending Council Directive 78/660/EEC and 83/349/EEC and repealing Council Directive 84/253/EEC (OJ L 157, 9.6.2006, p. 87)

³⁴ Directive 2006/43/EC of the European Parliament and of the Council of 17 May 2006 on statutory audits of annual accounts and consolidated accounts, amending Council Directive 78/660/EEC and 83/349/EEC and repealing Council Directive 84/253/EEC (OJ L 157, 9.6.2006, p. 87)

Or. en

Amendment 245

Proposal for a regulation Article 48 – paragraph 4

Text proposed by the Commission

4. In accordance with Article 127 of the Financial Regulation, the Commission or funding body *may* rely on audits on the use of Union contributions carried out by other persons or entities, including by other than those mandated by the Union Institutions or bodies.

Amendment

4. In accordance with Article 127 of the Financial Regulation, the Commission or funding body *shall* rely on audits on the use of Union contributions carried out by other *certified* persons or entities, including by other than those mandated by the Union Institutions or bodies.

Or. en

Justification

To avoid double-audits from the Commission and reduce the administrative burden of the beneficiaries.

Amendment 246

Proposal for a regulation

Annex I – point 1 – paragraph 1 – point a – introductory part

Text proposed by the Commission

(a) European Research Council:
Providing attractive and flexible funding to enable talented and creative individual researchers and their teams to pursue the most promising avenues at the frontier of science, on the basis of Union-wide competition.

Amendment

(a) European Research Council:
Providing attractive and flexible funding to enable talented and creative individual researchers, ***with emphasis on young researchers***, and their teams to pursue the most promising avenues at the frontier of science, on the basis of Union-wide competition.

Or. en

Justification

Most of the financial resources of ERC should be devoted to Starting and Consolidator Grants.

Amendment 247

Proposal for a regulation

Annex I – point 1 – paragraph 1 – point b – introductory part

Text proposed by the Commission

(b) Marie Skłodowska-Curie Actions:
Equipping researchers with new knowledge and skills through mobility and exposure across borders, sectors and disciplines, as well as structuring and improving institutional and national recruitment, training and career development systems; in so doing, the Marie Skłodowska-Curie Actions help to lay the foundations of Europe's excellent research landscape, contributing to boosting jobs, growth, and investment, and solving current and future societal challenges.

Amendment

(b) Marie Skłodowska-Curie Actions:
Equipping researchers with new knowledge and skills through mobility and exposure across borders, sectors and disciplines, as well as structuring and improving institutional and national recruitment, training and career development systems; in so doing, the Marie Skłodowska-Curie Actions help to lay the foundations of Europe's excellent research landscape ***across the whole Europe***, contributing to boosting jobs, growth, and investment, and solving current and future societal challenges.

Or. en

Justification

To emphasise that MSCA is inclusive and open to everybody.

Amendment 248

Proposal for a regulation

Annex I – point 1 – paragraph 1 – point b – paragraph 1

Text proposed by the Commission

Areas of intervention: Nurturing excellence through mobility of researchers across borders, sectors and disciplines; fostering new skills through excellent training of researchers; strengthening human capital and skills development across the European Research Area; improving and facilitating synergies; promoting public outreach.

Amendment

Areas of intervention: Nurturing excellence through mobility of researchers across borders, sectors and disciplines; fostering new skills through excellent training of researchers; strengthening human capital and skills development across the European Research Area, ***including support for researchers to return to their country of origin***; improving and facilitating synergies; promoting public outreach.

Or. en

Justification

This is needed to reverse the trend of brain drain from the peripheries to the centre of Europe.

Amendment 249

Proposal for a regulation

Annex I – point 1 – paragraph 1 – point c – paragraph 1

Text proposed by the Commission

Areas of intervention: Consolidating the landscape of European research infrastructures; Opening, integrating and interconnecting research infrastructures; Reinforcing European research infrastructure policy and international cooperation

Amendment

Areas of intervention: Consolidating the landscape of European research infrastructures; Opening, integrating and interconnecting research infrastructures, ***including e-infrastructures and high-performance computing facilities, in coordination with the Digital Europe Programme***; Reinforcing European research infrastructure policy and international cooperation.

Justification

E-infrastructures are critical for Europe. HPC infrastructure is absolutely critical for many scientific and industrial development – HPC needs in Europe will sharply increase in the next few years and Horizon Europe must provide the needed infrastructure. There should not be a breakup of ESFRI among Horizon Europe and Digital Europe.

Amendment 250

Proposal for a regulation
Annex I – point 2 – introductory part

Text proposed by the Commission

(2) Pillar II 'Global Challenges and industrial competitiveness'

Amendment

(2) Pillar II 'Global Challenges and **European** industrial competitiveness'

Or. en

Amendment 251

Proposal for a regulation
Annex I – point 2 – paragraph 2

Text proposed by the Commission

To maximise impact flexibility and synergies, research and innovation activities will be organised in **five** clusters, which individually and together will incentivise interdisciplinary, cross-sectoral, cross-policy, cross-border and international cooperation.

Amendment

To maximise impact flexibility and synergies, research and innovation activities will be organised in **six** clusters, **interconnected through pan-European research infrastructures**, which individually and together will incentivise interdisciplinary, cross-sectoral, cross-policy, cross-border and international cooperation.

Or. en

Amendment 252

Proposal for a regulation
Annex I – point 2 – paragraph 4 – point a – paragraph 1

Text proposed by the Commission

Areas of intervention: Health throughout the life course; Environmental and social health determinants; Non-communicable and rare diseases; Infectious diseases; Tools, technologies and digital solutions for health and care; Health care systems

Amendment

Areas of intervention: Health throughout the life course; Environmental and social health determinants; Non-communicable and rare diseases, ***including child rare diseases***; Infectious diseases; ***Cancer; Antimicrobial resistance***; Tools, technologies and digital solutions for health and care; Health care systems.

Or. en

Amendment 253

Proposal for a regulation

Annex I – point 2 – paragraph 4 – point b – introductory part

Text proposed by the Commission

(b) Cluster 'Inclusive and ***secure*** society': Strengthening European democratic values, including rule of law and fundamental rights, safeguarding our cultural heritage, and promoting socio-economic transformations that contribute to inclusion and growth, ***while responding to the challenges arising from persistent security threats***, including ***cybercrime, as well as natural and man-made disasters***.

Amendment

(b) Cluster 'Inclusive and ***creative*** society': Strengthening European democratic values, including rule of law and fundamental rights, safeguarding our cultural heritage, ***exploring the potential of cultural and creative industries***, and promoting socio-economic transformations that contribute to inclusion and growth, including ***migration management and integration of migrants***.

Or. en

Amendment 254

Proposal for a regulation

Annex I – point 2 – paragraph 4 – point b – paragraph 1

Text proposed by the Commission

Areas of intervention: Democracy; Cultural heritage; Social and economic transformations; ***Disaster-resilient societies; Protection and Security***;

Amendment

Areas of intervention: Democracy; Cultural heritage; Social and economic transformations ***including migrations***.

Amendment 255

Proposal for a regulation

Annex I – point 2 – paragraph 4 – point c a (new)

Text proposed by the Commission

Amendment

**(c a) Cluster 'Secure Society':
responding to the challenges arising from
persistent security threats, including
cybercrime, as well as natural and man-
made disasters.**

Or. en

Amendment 256

Proposal for a regulation

Annex I – point 2 – paragraph 4 – point d – introductory part

Text proposed by the Commission

Amendment

(d) Cluster 'Climate, Energy and Mobility': Fighting climate change by better understanding its causes, evolution, risks, impacts and opportunities, and by making the energy and transport sectors more climate and environment-friendly, more efficient and competitive, smarter, safer and more resilient.

(d) Cluster 'Climate, Energy and Mobility': Fighting climate change by better understanding its causes, evolution, risks, impacts and opportunities, and by making the energy and transport sectors more climate and environment-friendly, more efficient and competitive, smarter, safer and more resilient; ***promote the use of renewable energy sources and behavioural change.***

Or. en

Justification

Renewables are a strong Union policy and they should be specifically mentioned in this context.

Amendment 257

Proposal for a regulation

Annex I – point 2 – paragraph 4 – point d – paragraph 1

Text proposed by the Commission

Areas of intervention: Climate science and solutions; Energy supply; Energy systems and grids; Buildings and industrial facilities in energy transition; Communities and cities; Industrial competitiveness in transport; Clean transport and mobility; Smart mobility; Energy storage.

Amendment

Areas of intervention: Climate science and solutions; Energy supply **and demand**; Energy systems and grids; Buildings and industrial facilities in energy transition; Communities and cities; **islands and outermost regions**; Industrial competitiveness in transport; Clean transport and mobility; Smart mobility; Energy storage.

Or. en

Justification

Citizens must be involved in this major change, as the results depend on millions of individuals. Social Sciences must have a important role in this global challenge. Islands and outermost regions have specific problems that to be addressed.

Amendment 258

Proposal for a regulation

Annex I – point 2 – paragraph 4 – point e – introductory part

Text proposed by the Commission

(e) Cluster 'Food and natural resources': Protecting, restoring, sustainably managing and using natural and biological resources from land and sea to address food and nutrition security and the transition to a low carbon, resource efficient circular economy.

Amendment

(e) Cluster 'Food, **environment** and natural resources': Protecting, restoring, sustainably managing and using natural and biological resources from land and **water** sea to address food and nutrition security and the transition to a low carbon, resource efficient circular economy

Or. en

Amendment 259

Proposal for a regulation

Annex I – point 2 – paragraph 4 – point e – paragraph 1

Text proposed by the Commission

Areas of intervention: Environmental observation; Biodiversity and natural capital; Agriculture, forestry and rural areas; Sea and oceans; Food systems; Bio-based innovation systems; Circular systems

Amendment

Areas of intervention: Environmental observation; Biodiversity and natural capital; Agriculture, forestry and rural areas; **rivers**, sea and oceans **as Blue Economy**; Food systems; Bio-based innovation systems; Circular systems

Or. en

Amendment 260

**Proposal for a regulation
Annex I – point 3 – introductory part**

Text proposed by the Commission

(3) Pillar III '**Open Innovation**'

Amendment

(3) Pillar III '**Innovative Europe**'

Or. en

Amendment 261

**Proposal for a regulation
Annex I – point 3 – paragraph 1 – introductory part**

Text proposed by the Commission

Through the following activities, this pillar will, in line with Article 4, foster all forms of innovation, including breakthrough innovation, and strengthen market deployment of innovative solutions. It will also contribute to the Programme's other specific objectives as described in Article 3.

Amendment

Through the following activities, this pillar will, in line with Article 4, foster all forms of innovation, including breakthrough **technological and social** innovation, and strengthen market deployment of innovative solutions, **in particular by start-ups and SMEs working together with research institutions**. It will also contribute to the Programme's other specific objectives as described in Article 3.

Or. en

Amendment 262

Proposal for a regulation

Annex I – point 3 – paragraph 1 – point a – paragraph 1

Text proposed by the Commission

Areas of intervention: Pathfinder, supporting future and emerging breakthrough technologies; Accelerator, bridging the financing gap between late stages of innovation activities and market take-up, to effectively deploy breakthrough market-creating innovation and scale up companies where the market does not provide viable financing, **and**; additional activities such as prizes and fellowships, and business added-value services.

Amendment

Areas of intervention: Pathfinder, supporting future and emerging breakthrough technologies; Accelerator, bridging the financing gap between late stages of innovation activities and market take-up, to effectively deploy breakthrough market-creating innovation and scale up companies where the market does not provide viable financing, ***in close cooperation with InvestEU; support to individual SMEs and start-ups with innovative ideas with significant potential for business expansion and new market creation***; additional activities such as prizes and fellowships, and business added-value services.

Or. en

Amendment 263

Proposal for a regulation

Annex I – point 3 – paragraph 1 – point a a (new)

Text proposed by the Commission

Amendment

(a a) Incremental innovation

Or. en

Amendment 264

Proposal for a regulation

Annex I – point 3 – paragraph 1 – point c – paragraph 1

Text proposed by the Commission

Amendment

Areas of intervention: Strengthen sustainable innovation ecosystems across

Areas of intervention: Strengthen sustainable innovation ecosystems across

Europe; Fostering the development of entrepreneurial and innovation skills in a lifelong learning perspective and support the entrepreneurial transformation of EU *universities*; Bring new solutions to global societal challenges to the market; Synergies and value added within Horizon Europe.

Europe; Fostering the development of entrepreneurial and innovation skills in a lifelong learning perspective and support the entrepreneurial transformation of EU *higher education institutions*; Bring new solutions to global societal challenges to the market; Synergies and value added within Horizon Europe.

Or. en

Justification

Universities represent a very limited world to describe the whole academic environment, including polytechnic schools and research institutions.

Amendment 265

Proposal for a regulation Annex I – point 4 – introductory part

Text proposed by the Commission

(4) Part 'Strengthening the European Research Area'

Amendment

(4) ***Cross-cutting*** Part 'Strengthening the European Research Area'

Or. en

Amendment 266

Proposal for a regulation Annex I – point 4 – paragraph 1

Text proposed by the Commission

Through the following activities, this part will, in line with Article 4, optimise the Programme's delivery for increased impact within a strengthened European Research Area. It will also support the Programme's other specific objectives as described in Article 3. While underpinning the entire Programme, this part will support activities that contribute to a more knowledge-based and innovative and gender-equal Europe, at the front edge of global competition,

Amendment

Through the following activities, this part will, in line with Article 4, optimise the Programme's delivery for increased impact ***and attractiveness*** within a strengthened European Research Area. It will also support the Programme's other specific objectives as described in Article 3. While underpinning the entire Programme, this part will support activities that contribute to ***attract talent in the Union and tackle brain drain. It will also contribute to a***

thereby optimising national strengths and potential across Europe in a well-performing European Research Area (ERA), where knowledge and a highly skilled workforce circulate freely, where the outcomes of R&I are understood and trusted by informed citizens and benefit society as a whole, and where EU policy, notably R&I policy, is based on high quality scientific evidence.

more knowledge-based and innovative and gender-equal Europe, at the front edge of global competition, thereby optimising national strengths and potential across *the whole of* Europe in a well-performing European Research Area (ERA), where knowledge and a highly skilled workforce circulate freely *in a balanced manner*, where the outcomes of R&I are understood and trusted by informed citizens and benefit society as a whole, and where EU policy, notably R&I policy, is based on high quality scientific evidence.

Or. en

Amendment 267

Proposal for a regulation Annex I – point 4 – paragraph 2

Text proposed by the Commission

Areas of intervention: **Sharing** Excellence; Reforming and enhancing the European R&I system.

Amendment

Areas of intervention: **Spreading** Excellence *through teaming, twinning, and ERA-Chairs initiatives and also real research activities; support to COST; society and citizens; Boosting the attractiveness of the Union*; Reforming and enhancing the European R&I system.

Or. en

Amendment 268

Proposal for a regulation Annex II – paragraph 2 – indent 1

Text proposed by the Commission

– Research and innovation action: action primarily consisting of activities aiming to establish new knowledge and/or to explore the feasibility of a new or improved technology, product, process,

Amendment

– Research and innovation action: action primarily consisting of activities aiming to establish new knowledge and/or to explore the feasibility of a new or improved technology, product, process,

service or solution. This may include basic and applied research, technology development and integration, testing and validation on a small-scale prototype in a laboratory or simulated environment;

service or solution. This may include basic and applied research, technology development and integration, testing and validation on a small-scale prototype in a laboratory or simulated environment. ***The Fast Track to Research and Innovation logic will be applied for a selected number of collaborative research and innovation actions.***

Or. en

Amendment 269

Proposal for a regulation Annex II – paragraph 2 – indent 6

Text proposed by the Commission

– Programme co-fund action: action to provide co-funding to a programme of activities established and/or implemented by entities managing and/or funding research and innovation programmes, other than Union funding bodies. Such a programme of activities may support networking and coordination, research, innovation, pilot actions, and innovation and market deployment actions, training and mobility actions, awareness raising and communication, dissemination and exploitation, or a combination thereof, directly implemented by those entities or by third parties to whom they may provide any relevant financial support such as grants, prizes, procurement, as well as Horizon Europe blended finance;

Amendment

– Programme co-fund action: action to provide co-funding to a programme of activities established and/or implemented by entities managing and/or funding research and innovation programmes, other than Union funding bodies. Such a programme of activities may support ***interconnection***, networking and coordination, research, innovation, pilot actions, and innovation and market deployment actions, training and mobility actions, awareness raising and communication, dissemination and exploitation, or a combination thereof, directly implemented by those entities or by third parties to whom they may provide any relevant financial support such as grants, prizes, procurement, as well as Horizon Europe blended finance;

Or. en

Amendment 270

Proposal for a regulation Annex II – paragraph 2 – indent 10 a (new)

Text proposed by the Commission

Amendment

- ***Attractiveness prize : prize to boost the attractiveness of the Union and counter brain drain by encouraging scientists and RDI-intensive legal entities from third countries to establish themselves in the Union - with a higher incentive to come from a third country to a widening country.***

Or. en

Amendment 271

Proposal for a regulation

Annex III – paragraph 1 – point 1 – point a – introductory part

Text proposed by the Commission

Amendment

(a) Evidence that the European Partnership is more effective in achieving the related objectives of the Programme, in particular in delivering clear impacts for ***the EU*** and its citizens, notably in view of delivering on global challenges and research and innovation objectives, securing EU competitiveness and contributing to the strengthening of the European Research and Innovation Area and international commitments;

(a) Evidence that the European Partnership is more effective in achieving the related objectives of the Programme, in particular in delivering clear impacts for ***all EU Member States*** and its citizens, notably in view of delivering on global challenges and research and innovation objectives, securing EU competitiveness and contributing to the strengthening of the European Research and Innovation Area and international commitments;

Or. en

Amendment 272

Proposal for a regulation

Annex III – paragraph 1 – point 1 – point a – paragraph 1

Text proposed by the Commission

Amendment

In the case of institutionalised European Partnerships established in accordance with Article 185 TFEU, the participation

deleted

*of at least 50% of the EU Member States
is mandatory;*

Or. en

Justification

The requirements of Member States' participation needs further reflections and should be dealt with in Article 8.

Amendment 273

**Proposal for a regulation
Annex III – paragraph 1 – point 1 – point c**

Text proposed by the Commission

(c) Transparency and openness of the European Partnership as regards the identification of priorities and objectives, and the involvement of partners and stakeholders from different sectors, including international ones when relevant;

Amendment

(c) Transparency and openness of the European Partnership as regards the identification of priorities and objectives, and the involvement of partners and **a wide range of** stakeholders from different sectors, including international ones when relevant;

Or. en

Amendment 274

**Proposal for a regulation
Annex III – paragraph 1 – point 1 – point d – indent 1**

Text proposed by the Commission

– identification of measurable expected outcomes, deliverables and impacts within specific timeframes, including key economic value for **Europe**;

Amendment

– identification of measurable expected outcomes, deliverables and impacts within specific timeframes, including key economic value for **EU**;

Or. en

Amendment 275

Proposal for a regulation

Annex III – paragraph 1 – point 1 – point d – indent 2

Text proposed by the Commission

– demonstration of expected qualitative and quantitative leverage effects;

Amendment

– demonstration of expected qualitative and **significant** quantitative leverage effects;

Or. en

Amendment 276

Proposal for a regulation

Annex III – paragraph 1 – point 1 – point e – paragraph 1

Text proposed by the Commission

In the case of institutionalised European Partnerships, the financial and/or in-kind, contributions from partners other than the Union, will at least be equal to 50% and may reach up to 75% of the aggregated European Partnership budgetary commitments. For each institutionalised European Partnership, a share of the contributions from partners other than the Union will be in the form of financial contributions.

Amendment

deleted

Or. en

Justification

The requirements of Member States' participation needs further reflections and should be dealt with in Article 8.

Amendment 277

Proposal for a regulation

Annex III – paragraph 1 – point 2 – point c

Text proposed by the Commission

(c) Coordination and/or joint activities with other relevant research and innovation initiatives **ensuring** effective synergies;

Amendment

(c) Coordination and/or joint activities with other relevant research and innovation initiatives **to secure optimum level of interconnections and ensure** effective synergies;

Or. en

Amendment 278

**Proposal for a regulation
Annex III – paragraph 1 – point 4 – point b**

Text proposed by the Commission

(b) Appropriate measures ensuring phasing-out according to the agreed conditions **and timeline**, without prejudice to possible continued transnational funding by national or other Union programmes.

Amendment

(b) Appropriate measures ensuring phasing-out according to the agreed **timeline and conditions agreed with the partners**, without prejudice to possible continued transnational funding by national or other Union programmes, **and without prejudice to private investment and ongoing projects**.

Or. en

Amendment 279

**Proposal for a regulation
Annex IV – point 3 – point b a (new)**

Text proposed by the Commission

Amendment

(b a) ERDF shall be accepted as a partial national contribution for Programme co-fund actions involving Member States.

Or. en

Amendment 280

Proposal for a regulation Annex IV – point 4 – point b

Text proposed by the Commission

(b) arrangements for complementary funding from ESF+ can be used to support activities ***promoting*** human capital development in research and innovation with the aim of strengthening the European Research Area;

Amendment

(b) arrangements for complementary funding from ESF+ can be used to support activities ***of the Programme that promote*** human capital development in research and innovation with the aim of strengthening the European Research Area;

Or. en

Amendment 281

Proposal for a regulation Annex IV – point 6 – point f

Text proposed by the Commission

(f) the Programme's initiatives for the development of skills and competencies curricula, including those delivered at the co-location centres of the European Institute of Innovation and ***Technology's KIC-Digital***, are complemented by Digital Europe-supported capacity-building in advanced digital skills;

Amendment

(f) the Programme's initiatives for the development of skills and competencies curricula, including those delivered at the co-location centres of the European Institute of Innovation and ***Technology Knowledge and Innovation Communities*** are complemented by Digital Europe-supported capacity-building in advanced digital skills;

Or. en

Amendment 282

Proposal for a regulation Annex IV – point 16 a (new)

Text proposed by the Commission

Amendment

16 a. Synergies with Creative Europe will deliver additional gains in terms of competitiveness and innovation results which will contribute to promoting

economic growth and increase efficiency of public funding.

Or. en

Amendment 283

Proposal for a regulation Annex V – paragraph 3

Text proposed by the Commission

The Programme is expected to have scientific impact by creating high-quality new knowledge, strengthening human capital in research and innovation, and fostering diffusion of knowledge and Open Science. Progress towards this impact will be monitored through proxy indicators set along the following three key impact pathways.

Amendment

The Programme is expected to have scientific impact by creating high-quality new knowledge, strengthening human capital in research and innovation, and fostering diffusion of knowledge and Open Science. ***The integration of human and societal approaches and the role of basic research in pursuit of its contribution towards a knowledge-based learning society is vital.*** Progress towards this impact will be monitored through proxy indicators set along the following three key impact pathways.

Or. en

Amendment 284

Proposal for a regulation Annex V – table 2 – column 1 – row 4

Text proposed by the Commission

Strengthening the uptake of innovation in society

Amendment

Strengthening the uptake of innovation in society ***for all EU MS***

Or. en

Amendment 285

Proposal for a regulation

Annex V – table 3 – column 1 – row 3 a (new)

Text proposed by the Commission

Amendment

***Efficiency in using EU R&I funds for
economic development of EU MS***

Or. en

Amendment 286

Proposal for a regulation

Annex V – table 3 – column 2 – row 3 a (new)

Text proposed by the Commission

Amendment

***Evolution of innovation indicators in all
EU MS***

Or. en

Amendment 287

Proposal for a regulation

Annex V – table 3 – column 3 – row 3 a (new)

Text proposed by the Commission

Amendment

***Impact of R&I funds on GDP evolution in
all EU MS***

Or. en

Amendment 288

Proposal for a regulation

Annex V – table 3 – column 4 – row 3 a (new)

Text proposed by the Commission

Amendment

***Impact of R&I funds on life quality in all
EU MS***

Or. en

EXPLANATORY STATEMENT

Your Rapporteur welcomes the Commission's proposal for the new Framework Programme for Research and Innovation. It is a solid starting point and this draft report seeks to introduce elements that would make of Horizon Europe a more complete, efficient and inclusive programme.

If the Union is to address the major transformations that our societies and economies are going through, Horizon Europe has to build on the successes of its predecessor and, more importantly, redress its shortcomings. Since Horizon 2020 was launched, Europe's challenges have changed but R&I remains key for growth and societal progress. This importance has been repeatedly recognised by both co-legislators and the Rapporteur hopes that this 'understanding' will set the ground for an ambitious and far-reaching R&I Framework Programme.

General Considerations

Drawing on the lessons learnt from Horizon 2020, your Rapporteur is convinced that Horizon Europe should be simpler, clearer and more accessible and that it should promote fair and transparent participation. The decision of the Commission to combine the rules of participation in the basic act is, in this sense, a step in the right direction.

The risk of complexity of Horizon Europe has been flagged out by a majority of stakeholders and the same concern has been voiced during debates both at the European Parliament and the Council. According to the information that your Rapporteur has gathered, especially from potential beneficiaries, this risk mainly stems from a series of issues:

1. The larger number of operational objectives,
2. The larger number of specific activities,
3. New specialized instruments (in particular financial instruments),
4. New decision-making phases, such as this new "Strategic Planning", without a very clear role for either European parliament nor Member States,
5. 20 different bodies for budget management and implementation of the programme.

Therefore, your Rapporteur seeks to address these issues, through better definitions, simplification and clarification. Unnecessary complexity will lead to higher costs for applicants or contractors and will increase the risks of irregularities and inefficiencies.

Your Rapporteur welcomes the fact that Horizon Europe maintains the same 3-Pillar structure as Horizon 2020. However, he is of the opinion Pillars II and III (based on TLR levels) are not always clearly described and not well substantiated. Pillar II, for example, introduces the concept of Missions but the text remains rather vague. The same applies to Pillar III. It introduces the new European Innovation Council (EIC) without a proper description of its activities. This, notwithstanding the fact that the EIC is considered as a political priority and it is given a large share of Horizon Europe budget.

Your Rapporteur is also concerned that fundamental research and academia have received limited attention. He has therefore tabled several amendments to redress this.

Outline of the main points in this draft report

1. A more appropriate budget

If Horizon Europe is to fulfil its ambition to establish Europe as a true leader in global research and innovation, the budget needs to be commensurate with the challenge. The Rapporteur believes that as a minimum this should be 120 billion Euros in constant price. While these funds should also be distributed over all the budget lines your Rapporteur believes that preferences should be given to those areas that need them more and which have a track record of efficiency and success.

2. Stronger fundamental and collaborative research

The programme should support all stages of research and innovation, including collaboration in basic research. Excellent research, especially fundamental research, is an essential asset and an important condition to address EU policy objectives and priorities.

3. Reciprocity in international partnerships

Your Rapporteur believes that there has to be more clarity around international partnerships and associations and that the principle of reciprocity should be consistently applied. He considers reciprocal access and mutual benefits in all association and cooperation agreements with third countries, including agreements signed by funding bodies entrusted for direct management of the programme, as essential elements for successful partnerships.

4. Stronger Intellectual Property Rules

R&I are directly linked to intellectual property. Good IP rules are key to the valorisation of EU-funded research. In particular, smaller and new participants to the Programme need advice on intellectual property in order to protect their IP in the best manner possible. To this end, your Rapporteur is proposing stronger IP provision in the Horizon Europe basic act.

5. First EU commercial exploitation principle for the EU funded projects

The Union performs well in R&D and produces excellent and much-quoted scientific publications. However, when it comes to the commercial exploitation of these results, the Union lags behind its main international competitors and often, EU-led R&I, is deployed in third-country markets.

Therefore, your Rapporteur is introducing the concept of ‘first EU commercial exploitation’ in order to maximise the impact and added value of Union spending.

Furthermore, since oversubscription of excellent proposals was a major problem in Horizon 2020, your Rapporteur would like Horizon Europe to give priority to excellent projects that plan to first commercialize their R&I results across the Union.

6. Synergies with other EU funds Increased synergies and better connections across various EU funding instruments should be implemented through a single set of rules in order to reduce complexity for beneficiaries and applicants. Therefore, your Rapporteur is proposing that implementation rules for all R&I activities, including definitions of eligible costs and audit procedures, be harmonised with those of Horizon Europe when being co-funded by other EU funds. Also, he is of the opinion that the Seal of Excellence should be extended to the whole Programme and automatically awarded to projects which passed the excellence

threshold.

7. Missions that deliver results for citizens

Your Rapporteur much welcomes the introduction of ‘Missions’ but so far the plans for implementation remain very vague. Mission should be clearer from the outset, especially when it comes to their design, purpose and implementation, so that they may deliver tangible results for European citizens. To this end, your Rapporteur believes that fundamental and applied research and industry need to be represented. He also believes that Missions should start gradually and should be evaluated after an initial period, taking into account their selection procedure and governance. It is also essential that Parliament, as the institution that directly represents the voice of the European citizens, is involved in designing missions.

8. Equal pay for equal work

Your Rapporteur believes firmly in the principle of equal treatment and equal pay for equal work, especially within a European programme financed by the European budget. Salaries paid from a European programme must be calculated on the basis of a common algorithm setting the salaries of European researcher at the level of the funding European programme. This means a single scale valid for all researchers participating in the Framework Programme, regardless of the researcher's country of origin or the location of the research organization. This unique scale could be based on the researcher career levels as defined in the European Framework for Research Careers, namely R1-First Stage Researcher (up to Doctoral level); R2-Recognized Researcher (Postdoctoral or equivalent researchers, not fully independent); R3-Established Researcher (Researchers who have achieved a high degree of autonomy); R4-Leading Researcher (Top researchers in their field of research or activity). Horizon Europe funds are EU funds and as long as all project members perform the same activity under the same conditions (set-up by the project) they should be able to declare the same salary costs. The scale of salaries should be competitive so that the best researchers are attracted to apply for Horizon Europe.

9. Anonymous evaluation needs to be done by independent experts

It is critical that stakeholders and beneficiaries trust Horizon Europe, therefore, your Rapporteur is proposing that independent experts carry out an anonymous evaluation of the proposals. This will ensure a more complete and impartial evaluation of the proposals that takes into account the added value of the projects while at the same time preserving the excellence criteria.

10. Simplification

Your Rapporteur welcomes the efforts to simplify the Framework programme through lump sums, two-stage evaluation, internal invoicing, cross-reliance on audits and acceptance of the beneficiaries’ usual accounting principles. For further simplification, your Rapporteur is proposing the implementation of uniform funding rates throughout the programme.

11. Widening

For the Union to maximise its R&I potential it needs to spread excellence more evenly across the Union and to close the R&I divide that exists between the Member States. This should also be reflected in the absorption rates of Horizon Europe funding across the Union.

12. Making the Union more attractive

The ultimate success of Horizon Europe depends on how much it can attract top scientists and

business to carry out research and to invest in the Union. Therefore, the Rapporteur believes that projects attracting excellent scientists and businesses from a third country should receive an additional financial incentive.

Conclusion

Your Rapporteur is fully aware of the impact that Horizon Europe will have on the Union's R&I landscape for the forthcoming budgeting period and, downstream, on the Union's economy, competitiveness and standard of living. For this reason, he is presenting a draft report that enhances the Commission's proposal in order to strengthen the ERA, to make Horizon Europe clearer, simpler and faster and to ensure that the Framework Programme is ambitious enough to meet the challenges facing the Union.