



**Subject: Joint proposed amendments by thirteen European university associations on the European Commission proposal establishing Horizon Europe**

Brussels, 29-06-2018

Dear Mr Nica,

The thirteen pan-European university associations signatories of this letter are pleased to present a series of amendments to the draft regulation of the European Commission, 7 June 2018, establishing the Ninth Framework Programme - Horizon Europe.

The proposed amendments follow up the recommendations stated by these associations in two joint statements published earlier this year. The first one, published in March 2018, [called](#) on the European Commission, the European Parliament and the Council of the EU to double the budget for research, innovation and education in the next Multiannual Financial Framework. The second one, published on 15 June, was an initial [response](#) to the proposal for Horizon Europe.

The signatory university associations are convinced that Horizon Europe can greatly contribute to achieving European ambitions and strengthening its values. Importantly, the amendments argue for an increase of the total budget and a review of the budget allocation. They also underline the need of realising the European Research Area and of fostering stronger linkages between research, innovation and education. Another key element for turning Horizon Europe into a success is the inclusion of human and societal reflections throughout the programme. The proposed amendments regarding the rules for participation primarily aim at clarifying necessary provisions and at improving the efficiency of the programme management.

We kindly invite you to read the proposed amendments in the following pages and take them into consideration while preparing your opinion report.

Should you need any further clarification or input, please do not hesitate to contact us.

On behalf of the thirteen organisations, yours sincerely.

Lidia Borrell-Damián

EUA Director for Research and Innovation

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## 1. Common proposed amendments to the Regulation of the Framework Programme for Research and Innovation

### General note:

Additions to the text are included in **bold**

Deletions are ~~struck through~~

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			
RECITAL/ ARTICLE	EC'S PROPOSAL	AMENDMENT	RATIONALE
<b>RECITALS</b>			
5. Other elements (p. 11)	<b><i>Cross-cutting elements</i></b> Horizon Europe will significantly <b>strengthen international cooperation</b> which is crucial to ensure access to talent, knowledge, know-how, facilities and markets worldwide, to effectively tackle global challenges and to implement global commitments. The Framework Programme will intensify cooperation and extend association agreements to include countries with excellent science, technology and innovation capacities. The Programme will continue to fund entities from low-to-mid income countries, and to fund entities from industrialised and emerging economies only if	<b>ADDITION:</b> <b>Particular attention will be paid to the integration of social sciences, economics, arts and humanities in the projects funded through Horizon Europe. This will contribute to the programme's strategic goal of increasing interdisciplinarity and achieving far-reaching social impact, as described in the Impact Assessment of Horizon Europe.</b>	Integration of SSH disciplines was introduced as a cross-cutting element in Horizon 2020, which included important steps to increase SSH participation, such as flagging of calls across the programme where SSH participation was essential to implement the objectives of the call. Due to the low participation of these disciplines it is essential that SSH integration as a cross-cutting activity will be continued in Horizon Europe. SSH integration has been systematically monitored throughout Horizon 2020, as the Commission recognises the importance of covering the societal perspectives and providing opportunities for

	<p>they possess essential competence or facilities.</p> <p><b>The principle of open science</b> will become the modus operandi of the new Programme. It will go beyond the open access policy of Horizon 2020 and require open access to publications and data (with robust opt-outs for the latter), and to research data management plans. The Programme will foster the widespread use of FAIR (findable, accessible, interoperable, and re-usable) data; and activities that enhance researchers' skills in open science and support reward systems that promote open science. Research integrity and citizen science will play a central role, as will the development of a new generation of research assessment indicators.</p>		<p>all disciplines to maximise the societal impact of the programme.</p>
		<p><b>New recital (8)</b></p> <p><b>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.</b></p>	<p>Europe needs to sustain and enhance its global scientific competitiveness, which is threatened by higher R&amp;I spending in other parts of the World. Outstanding science is the basis not only for solving our global challenges, but also for making new, unanticipated discoveries that can lead to market-creating solutions.</p>
(8)	<p>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</p>	<p><b>Renumber recitals</b></p>	

	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.		
(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.		
(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.	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 <del>the competitiveness of the Union's industries therein</del> <b>the EU's policy objectives and priorities, including competitiveness, and economic and societal innovation.</b>	The pillar on global challenges and industrial competitiveness needs a broad definition of its objectives in attaining the Sustainable Development Goals spanning across sector and all areas of innovation. It should not be narrowed down to contributing towards industrial competitiveness, but rather strive in addition for a wide range of societal benefits.

<p>(11)</p>	<p>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 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 Council<sup>13</sup> ('Horizon 2020').</p>	<p><del>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 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 Council<sup>13</sup> ('Horizon 2020').</del></p>	<p>Although the industry plays a crucial role in contributing to Horizon Europe's goal of boosting jobs and growth, it is not the only strategic goal that the programme has. It is essential that the programme is committed to advancing the public benefit of European societies and the priorities of its citizens as mentioned in the introduction of this proposal. Horizon Europe's strategic goals also include contributions to the sectoral policies of the European Union and to the Sustainable Development Goals of the UN, where prioritising the views of the industry is not justified.</p> <p>There is no need to emphasise the need for industry to fully participate in the programme, as there are no other recitals on the need for universities, RTOs, civil society organisations, etc. to fully participate.</p>
		<p>New Recital (13)  <b>Next to industry, societal organisations, academia and other relevant actors should contribute to the perspectives and priorities established through the strategic planning process which should support the development of all work programmes. This will ensure that societal concerns and needs are addressed adequately, and that both</b></p>	<p>See above rationale for deleting recital 11</p>

		<b>economic and societal innovation is being pursued.</b>	
(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.	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 <b>as one of the criteria</b> in the classification of technological research, product development and demonstration activities, and the definition of types of action available in calls for proposals.	The notion of Technology Readiness Levels (TRLs) is based on a simplified linear model of innovation. TRLs do not capture the full complexity and bandwidth of innovation. Most noteworthy, TRLs exclude non-technological forms of innovation generated by fundamental and applied research. It is necessary to develop more sophisticated models comprised of quantitative, qualitative and non-technological elements in a long-term perspective.
(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	The policy objectives of <del>this Programme</del> <b>the 'Open Innovation'</b> pillar will be also addressed through financial instruments and budgetary guarantee under the policy windows of the InvestEU Fund.	Use of financial instruments and budgetary guarantees must be restricted to the 'Open Innovation' pillar of Horizon Europe as such instruments are not suitable to fund university-based research. Universities in

	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.	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.	most European countries are restricted in their capacity to borrow money.
<b>GENERAL PROVISIONS</b>			
Article 3: Programme Objectives	<p>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 Development Goals.</p> <p>2. The Programme has the following specific objectives: (a) to support the creation and diffusion of high-quality new knowledge, skills,</p>	<p>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 Development Goals. <b>The objectives will take into consideration societal concerns and implications to contribute to a knowledge-based learning society and strengthen shared values, acceptance of scientific insights and social cohesion.</b></p> <p>2. The Programme has the following specific objectives: (a) to <b>promote scientific excellence;</b> support the creation and diffusion of high-quality new knowledge, skills,</p>	<p>In an era of fake news, increasing political populism and high youth unemployment rates across many EU member states, Horizon Europe cannot afford to miss out its contribution towards a knowledge-based learning society. Global challenges, including the Sustainable Development Goals, need to be situated within societal developments. The potential of technology cannot be fully exploited without assessing and including research-based reflections on its societal implications.</p>



	<p>technologies and solutions to global challenges;</p> <p>(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;</p> <p>(c) to foster all forms of innovation, including breakthrough innovation, and strengthen market deployment of innovative solutions;</p> <p>(d) to optimise the Programme's delivery for increased impact within a strengthened European Research Area.</p>	<p>technologies; <b>contribute to addressing</b> global challenges; <b>and strengthen the European knowledge base;</b></p> <p>(b) to strengthen the <del>impact</del> <b>role</b> 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;</p> <p>(c) to foster all forms of innovation, <del>including breakthrough</del> <b>both social and economic</b> innovation, and strengthen <del>market</del> <b>deployment of knowledge and</b> innovative solutions;</p> <p>(d) to optimise the Programme's delivery for <del>increased impact within a strengthened</del> <b>strengthening the</b> European Research Area.</p>	<p>'Impact' cannot fully capture the long-term benefits of research for society and economy. This is, for example, also echoed in the newly introduced terminology of 'impact pathways' for Horizon Europe. 'Role' is a more neutral term for addressing the benefits of research for society and economy.</p> <p>Innovation must not be limited to breakthrough innovation. Horizon Europe has to address the complete bandwidth of innovation, ranging from technological to social, cultural or educational innovation. Horizon Europe is not only about companies and market, but about addressing citizens' concerns and needs. Market deployment brings a narrow solution. Knowledge is broader than markets.</p> <p>The broad role and importance of Horizon Europe for strengthening the European Research Area should be recognised without limitations.</p>
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<p>Article 4: Programme structure</p>	<p>1. The Programme is structured in the following parts contributing to the general and specific objectives set out in Article 3:</p> <p>(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:</p> <p>(a) the European Research Council (ERC);</p> <p>(b) Marie Skłodowska-Curie Actions (MSCA);</p> <p>(c) research infrastructures.</p> <p>(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:</p> <p>(a) cluster 'Health';</p> <p>(b) cluster 'Inclusive and Secure Society';</p> <p>(c) cluster 'Digital and Industry';</p> <p>(d) cluster 'Climate, Energy and Mobility';</p> <p>(e) cluster 'Food and Natural Resources';</p> <p>(f) non-nuclear direct actions of the Joint Research Centre (JRC).</p> <p>(3) Pillar III 'Open Innovation', pursuing the specific objective set out in Article 3(2)(c) and also supporting the specific objectives set out</p>	<p>1. The Programme is structured in the following parts contributing to the general and specific objectives set out in Article 3:</p> <p>(1) Pillar I 'Open <b>and Excellent</b> Science'</p>	<p>Changing the name of Pillar 1 to “Open and Excellent Science” would avoid confusion with the overall, cross-cutting policy objective of Open Science. ‘Openness’ and ‘excellence’ should be the twin elements of branding of pillar 1.</p>
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	<p>in Article 3(2)(a) and (b), with the following components:</p> <p>(a) the European Innovation Council (EIC);</p> <p>(b) European innovation ecosystems;</p> <p>(c) the European Institute of Innovation and Technology (EIT).</p> <p>(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:</p> <p>(a) sharing excellence;</p> <p>(b) reforming and enhancing the European R&amp;I System.</p> <p>2. The broad lines of activities are set out in Annex I.</p>		
Article 5: Defence research	<p>1. Activities to be carried out under the specific programme referred to in Article 1(3)(b) and which are laid down in Regulation .... establishing the European Defence Fund, shall be research with an exclusive focus on defence applications, with the objective to foster the competitiveness, efficiency and innovation of defence industry.</p> <p>2. This Regulation does not apply to the specific programme referred to in Article 1(3)(b), with the exception of this Article, Article 1(1) and (3) and Article 9(1).</p>	<p>1. Activities to be carried out under the specific programme referred to in Article 1(3)(b) and which are laid down in Regulation .... establishing the European Defence Fund, shall be research, <b>including defence oriented basic research</b>, with an exclusive focus on defence applications, with the objective to foster the competitiveness, efficiency and innovation <b>potential</b> of defence <b>sector</b>.</p>	<p>The phrasing of this article should be aligned with the EC Proposal on establishing the European Defence Fund (COM (2018) 476 final).</p> <p>The article should also reflect the importance of equitable access to the European Defence Fund beyond defence industry only and strengthening the foundations for defence research in Europe.</p>

<p>Article 6: Implementati on and forms of EU funding</p>	<p>1. The Programme shall be implemented in direct management in accordance with the Financial Regulation or in indirect management with funding bodies referred to in Article 62(1)(c) of the Financial Regulation.</p> <p>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.</p> <p>3. The rules for participation and dissemination laid down in this Regulation shall apply to indirect actions.</p> <p>4. The main types of action to be used under the Programme are set out and defined in Annex II. All forms of funding shall be used in a flexible manner across all objectives of the Programme with their use being determined on the basis of the needs and the characteristics of the particular objectives.</p> <p>5. The Programme shall also support direct actions undertaken by the JRC. Where these actions contribute to initiatives established under Article 185 or Article 187 TFEU, this contribution shall not be considered as part of the financial contribution allocated to those initiatives.</p>	<p>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), <b>which shall provide the main form of support in the programme</b>, prizes and procurements It may also provide financing in the form of financial instruments within blending operations.</p>	<p>In many systems, beneficiaries such as universities cannot take loans, so care should be taken to avoid discriminating against such institutions and make grants the main form of EU contribution in the Horizon Europe programme.</p>
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	<p>6. The implementation of the specific programme 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.</p> <p>7. Horizon Europe activities shall be primarily delivered through calls for proposals, some of which organised as parts of missions and European Partnerships.</p> <p>8. Research and innovation activities carried out under Horizon Europe shall have a focus on civil applications.</p> <p>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 research and innovation concerned, in evaluation panels and in bodies such as expert groups.</p>	<p>6. The implementation of the specific programme 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, <b>including through advice provided by independent advisory groups of high-level experts.</b> This shall ensure alignment with other relevant Union programmes.</p>	<p>This addition is based on the Horizon 2020 regulation. It is essential that the Commission engages in a structured dialogue and co-creation of the programme implementation with stakeholders, such as the academia. Without advisory groups and other forms of structured interaction the programme could lose its close links with the latest developments in different disciplines. It is crucial that Horizon Europe fosters even more interaction with the main groups of beneficiaries, to guarantee its position at the forefront of research and innovation in Europe (See new article 13 of the proposal for the specific programme)</p>
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		<p>9. The Programme shall ensure the effective promotion of gender equality, <del>and</del> the gender dimension in research and innovation content <b>and gender research</b>. Particular attention shall be paid to ensuring gender balance, subject to the situation in the field of research and innovation concerned, in evaluation panels and in bodies such as expert groups.</p> <p><b>10. Horizon Europe shall ensure multidisciplinary and guarantee the integration of a human and societal approach across all activities developed under the Programme.</b></p> <p><b>11. All pillars and its respective components should foresee ample room for basic research in pursuit of its contribution towards a knowledge-based learning society and the related objective set out in Article 3(2)(a).</b></p>	<p>Evidence generated through gender research has to be an integral element of ensuring the promotion of gender equality in Horizon Europe.</p> <p>Multidisciplinarity and integrating the social sciences and humanities (SSH) disciplines across all parts of Horizon Europe need to be recognised as important cross-cutting priorities for the next Framework Programme. The overall objectives of Horizon Europe require contributions from Science, Technology, Engineering, Mathematics (STEM) and SSH disciplines alike. In addition, SSH disciplines should not be seen as adjuncts to scientific and technological advances. Recent <a href="#">data</a> of the European Commission also shows that the integration of SSH disciplines is qualitatively highly uneven across Horizon 2020.</p> <p>In pursuit of the overarching objective towards a knowledge-centred learning society and the complementary objective of supporting the creation and diffusion of</p>
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			high-quality new knowledge and skills fundamental research has to be spread evenly across all pillars of Horizon Europe.
Article 7: Missions	<p>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.</p> <p>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.</p> <p>3. Missions shall:</p> <p>(a) have a clear EU-added value and contribute to reaching Union priorities;</p> <p>(b) be bold and inspirational, and hence have wide societal or economic relevance;</p> <p>(c) indicate a clear direction and be targeted, measurable and time-bound;</p> <p>(d) be centered on ambitious but realistic research and innovation activities;</p> <p>(e) spark activity across disciplines, sectors and actors;</p> <p>(f) be open to multiple, bottom-up solutions.</p>	<p>3. Missions shall:</p> <p>(a) have a clear EU-added value and contribute to reaching Union priorities and address concerns of EU citizens;</p> <p>(b) be bold and inspirational, and hence have wide societal <b>and</b> economic relevance;</p> <p>(c) indicate a clear direction and be targeted, measurable and time-bound;</p> <p>(d) be centered on ambitious, <b>excellence-driven but realistic</b> research and innovation activities <b>across all stages of development</b>;</p> <p>(e) spark activity across disciplines <b>(including social sciences and humanities)</b>, sectors and actors;</p>	<p>Missions based on an approach driven by research excellence have the potential to create a level playing field across countries and sectors as they stimulate cross-border, cross-disciplinary and cross-sectoral collaboration. A focus on excellence will also ensure an optimal allocation of resources and contribute to the overall efficiency of this instrument. Missions could thus become a tool to decrease fragmentation and further strengthen connections within the R&amp;I landscape in Europe.</p> <p>Fully reaping the potential of missions requires concerted efforts such as the mobilisation of a broad and diverse range of stakeholders. Universities and their researchers are only one part of the</p>

		<p>(f) be open to multiple, bottom-up <b>approaches and technical solutions to missions and their human and societal implications.</b></p> <p><del>(g) address their objectives with multiple approaches and/or technologies.</del></p>	<p>equation. Citizens, business, industry, SMEs, NGOs, policymakers and public bodies, amongst others, need to join forces. Open mindsets, mutual trust, transparency of actions and the willingness to engage in dialogue are prerequisites for missions to flourish.</p> <p>Designing missions that address a pressing societal challenge that relates to the concerns of European citizens can't be achieved by focusing a pre-defined approach or technology. It is crucial to tap into the creativity and high-level expertise of different disciplines and sectors that can give their contribution to the objectives of the mission with a bottom-up principle.</p>
<p>Article 9: Budget</p>	<p>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.</p> <p>2. The indicative distribution of the amount referred to in paragraph 1, first half sentence, shall be:</p>	<p>1. The financial envelope for the implementation of the Framework Programme for the period 2021 – 2027 shall be EUR <del>94 100 000 000</del> <b>160 000 000 000</b> 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.</p>	<p>To match the ambitions set forth for the Horizon Europe programme, the overall funding of the programme has to be doubled compared to Horizon 2020, reaching 160 billion Euros.</p> <p>Any budget failing to reach this amount should lead to prioritisation of pillar 1 actions (European Research Council, Marie Skłodowska-Curie Actions, Research Infrastructures) and to a rebalancing among clusters in pillar 2.</p>



	<p>(a) EUR 25 800 000 000 for Pillar I 'Open Science' for the period 2021-2027, of which</p> <p>(1) EUR 16 600 000 000 for the European Research Council;</p> <p>(2) EUR 6 800 000 000 for Marie Skłodowska-Curie Actions;</p> <p>(3) EUR 2 400 000 000 for research infrastructures;</p> <p>(b) EUR 52 700 000 000 for Pillar II 'Global Challenges and Industrial Competitiveness' for the period 2021-2027, of which</p> <p>(1) EUR 7 700 000 000 for cluster 'Health';</p> <p>(2) EUR 2 800 000 000 for cluster 'Inclusive and Secure Society';</p> <p>(3) EUR 15 000 000 000 for cluster 'Digital and Industry';</p> <p>(4) EUR 15 000 000 000 for cluster 'Climate, Energy and Mobility';</p> <p>(5) EUR 10 000 000 000 for cluster 'Food and Natural Resources';</p> <p>(6) EUR 2 200 000 000 for the non-nuclear direct actions of the Joint Research Centre (JRC);</p> <p>(c) EUR 13 500 000 000 for Pillar III 'Open Innovation' for the period 2021-2027, of which</p> <p>(1) EUR 10 500 000 000 for the European Innovation Council, including up to EUR 500 000 000 for European Innovation Ecosystems;</p> <p>(2) EUR 3 000 000 000 for the European Institute of Innovation and Technology (EIT);</p>		
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	<p>(d) EUR 2 100 000 000 for Part 'Strengthening the European Research Area' for the period 2021-2027, of which  (1) EUR 1 700 000 000 for 'sharing excellence';  (2) EUR 400 000 000 for 'reforming and enhancing the European R&amp;I System'.</p> <p>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.</p> <p>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</p>	<p>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>(a)</b>, (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.</p>	<p>Considering the essential nature of pillar 1 in nurturing the research and innovation chain, an exemption is added for pillar 1 with respect to budget deviation possibilities. By limiting budget shifts to pillars 2 and 3, the programme will be sufficiently responsive to fast-paced societal, political and scientific developments. In general, use of this article should be cautious and strictly limited to emerging large-scale crises, especially of humanitarian or epidemiological nature.</p>
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	<p>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.</p> <p>5. If necessary, appropriations may be entered in the budget beyond 2027 to cover the expenses provided for in paragraph 4, to enable the management of actions not completed by 31 December 2027.</p> <p>6. Budgetary commitments for actions extending over more than one financial year may be broken down over several years into annual instalments.</p> <p>7. Without prejudice to the Financial Regulation, expenditure for actions resulting from projects included in the first work programme may be eligible as from 1 January 2021.</p> <p>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</p>		
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	<p>point (c) of that Article. Where possible, those resources shall be used for the benefit of the Member State concerned.</p> <p>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.</p>	<p>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. <b>Increased synergies and better connecting various EU funding instruments should not lead to increased complexity for beneficiaries and applicants.</b></p>	<p>The overall objective of simplification should guide the approach towards synergies between Horizon Europe and other EU funding programmes.</p>
<p>Article 11: Complementary and combined funding</p>	<p>Actions awarded a Seal of Excellence certification, or which comply with the following cumulative, comparative, conditions:</p> <p>(a) they have been assessed in a call for proposals under the Programme;</p> <p>(b) they comply with the minimum quality requirements of that call for proposals;</p> <p>(c) they may not be financed under that call for proposals due to budgetary constraints, may receive support from the European Regional Development Fund, the Cohesion Fund, the European Social Fund+ or the European Agricultural Fund for Rural</p>	<p>Actions awarded a Seal of Excellence certification, or which comply with the following cumulative, comparative, conditions:</p> <p>(a) they have been assessed in a call for proposals under the Programme;</p> <p>(b) they comply with the minimum quality requirements of that call for proposals;</p> <p>(c) they may not be financed under that call for proposals due to budgetary constraints,</p>	<p>Actions awarded a Seal of Excellence certification, or which comply with the conditions outlined in the Article 11, should be eligible for automatic support from ESIF, without further evaluation, for the Seal of Excellence to fulfil its very purpose. It is essential that these actions are funded under the same conditions as in Horizon Europe, to avoid inconsistent treatment of research teams across Europe. This requires an amendment to Article 67 of the Common Provisions Regulation. A common system is needed to support collaborative research projects through a</p>

	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.	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, <b>and without requiring any further application and evaluation.</b> The rules of <b>the Horizon Europe programme</b> shall apply. <b>The European Commission shall establish a mechanism that enhances the exchange of information and that enables financing authorities to fund proposals eligible for such support.</b>	Seal of Excellence mechanism. The system should be accessed by MS funding bodies and national authorities implementing ESIF, etc. Prior authorisation of the applicant shall be necessary.
<b>TITLE II</b>			
<b>RULES FOR PARTICIPATION AND DISSEMINATION</b>			
Article 15: Ethics	1. Actions carried out under the Programme shall comply with ethical principles and relevant national, Union and international legislation, including the Charter of Fundamental Rights of the European Union and the European Convention on Human Rights and its Supplementary Protocols. Particular attention shall be paid to the principle of proportionality, the right to		

	<p>privacy, the right to the protection of personal data, the right to the physical and mental integrity of a person, the right to non-discrimination and the need to ensure high levels of human health protection.</p> <p>2. Entities participating in the action shall provide:</p> <p>(a) an ethics self-assessment identifying and detailing all the foreseeable ethics issues related to the objective, implementation and likely impact of the activities to be funded, including a confirmation of compliance with paragraph 1, and a description of how it will be ensured;</p> <p>(b) a confirmation that the activities will comply with the European Code of Conduct for Research Integrity published by All European Academies and that no activities excluded from funding will be conducted;</p> <p>(c) for activities carried out outside the Union, a confirmation that the same activities would have been allowed in a Member State; and</p> <p>(d) for activities making use of human embryonic stem cells, as appropriate, details of licensing and control measures that shall be taken by the competent authorities of the Member States concerned as well as details of the ethics approvals that shall be obtained before the activities concerned start.</p> <p>3. Proposals shall be systematically screened to identify those actions raising complex or serious ethics issues and submit them to an</p>	<p>3. Proposals shall be systematically screened to identify those actions raising</p>	<p>Transparency of the ethics procedures is paramount.</p>
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	<p>ethics assessment. The ethics assessment shall be carried out by the Commission unless it is delegated to the funding body. For actions involving the use of human embryonic stem cells or human embryos, an ethics assessment shall be mandatory. Ethics screenings and assessments shall be carried out with the support of ethics experts. The Commission and the funding bodies shall ensure the transparency of the ethics procedures as much as possible.</p> <p>4. Entities participating in the action shall obtain all approvals or other mandatory documents from the relevant national, local ethics committees or other bodies such as data protection authorities before the start of the relevant activities. Those documents shall be kept on file and provided to the Commission or funding body upon request.</p> <p>5. If appropriate, ethics checks shall be carried out by the Commission or funding body. For serious or complex ethics issues, the checks shall be carried out by the Commission unless it is delegated to the funding body. Ethics checks shall be carried out with the support of ethics experts.</p> <p>6. Actions which are not ethically acceptable may be rejected or terminated at any time.</p>	<p>complex or serious ethics issues and submit them to an ethics assessment. The ethics assessment shall be carried out by the Commission unless it is delegated to the funding body. For actions involving the use of human embryonic stem cells or human embryos, an ethics assessment shall be mandatory. Ethics screenings and assessments shall be carried out with the support of ethics experts. The Commission and the funding bodies shall ensure the transparency of the ethics procedures <del>as much as possible</del>.</p>	
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<p>Article 17: Grants</p>	<p>Grants under the Programme shall be awarded and managed in accordance with Title VIII of the Financial Regulation, unless otherwise specified in this Chapter.</p>	<p><b>ADDITION</b></p> <ol style="list-style-type: none"> <li><b>1. Union contribution under the Programme may take the forms specified in Article 125 of the Financial Regulation, including reimbursement of eligible costs actually incurred, unit costs, lump sums, flat-rate financing, and a combination of these forms.</b></li> <li><b>2. According to Article 125(2) of the Financial Regulation, the work programmes shall specify which forms of Union contribution are available to applicants for each call, providing a minimum of two options. Applicants may select the form of Union contribution that most adequately fits their interests and accounting methods.</b></li> </ol>	<p>The Horizon Europe regulation shall clearly specify which forms of Union contribution are available in the programme, including reimbursement of eligible costs actually incurred (specific provisions in the proposal only refer to the simplified forms of funding). Article 125 of the Financial Regulation specifies that the use of the simplified forms of funding must be justified by the authorising officer.</p> <p>In line with the spirit of the Financial Regulation and of the Horizon Europe Regulation, which seek to limit the administrative burden for the beneficiary and limit errors, it is proposed to ensure that work programmes provide a minimum of two options for the type of Union contribution for each call. The applicant is enabled to select the form of Union contribution (reimbursement on the basis of a lump sum or actual eligible costs) that fits best with its own characteristics. Such options could efficiently diminish the gap between its usual cost accounting practices and Horizon Europe project management, ultimately reducing the risk of error.</p>
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<p>Article 18: Entities eligible for participation</p>	<p>1. Any legal entity, regardless of its place of establishment, or international organisation may participate in actions under the Programme, provided that the conditions laid down in this Regulation have been met together with any conditions laid down in the work programme or call.</p> <p>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: (a) the work programme provides otherwise, if justified; (b) the action is one referred to in paragraphs 3 or 4.</p> <p>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.</p> <p>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.</p> <p>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</p>		
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	<p>to those legal entities established in specified associated or other third countries in addition to Member States.</p> <p>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.</p> <p>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.</p> <p>8. Where indicated in the work programme, the Joint Research Centre may participate in actions.</p> <p>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.</p>	<p>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. <b>The inclusion of additional eligibility criteria shall be duly justified.</b></p>	
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<p>Article 20: Calls for proposals</p>	<p>1. For all actions, except for EIC Pathfinder transition activities, the content of the calls for proposals shall be included in the work programme.</p> <p>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 urgent coordination and support actions for reinforcing the portfolio's community of beneficiaries or assessing possible spin-offs or potential market creating-innovation.</p> <p>3. If necessary to achieve their objectives, calls may be restricted to develop additional activities or to add additional partners to existing actions.</p> <p>4. A call for proposals is not required for coordination and support actions or programme co-fund actions which: (a) are to be carried out by the Joint Research Centre or legal entities identified in the work programme and (b) do not fall within the scope of a call for proposals.</p> <p>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</p>	<p>2. (b) grants for a fixed amount not exceeding EUR 50,000 may be awarded without a call for proposals <b>for all activities potentially funded through the Pathfinder's Transition Activities as set out in the annex to the Specific Programme.</b></p> <p>5. The work programme shall specify calls for which "Seals of Excellence" will be awarded. With prior authorisation from</p>	<p>This article should cover all ways or circumstances the Transition Activities can be used for, as set out in the specific programme, as they all require a quick decision on funding and it does not make sense to publish specific work programmes for this type of activity.</p> <p>In line with the proposed amendment of Article 11, the aim is to ensure that the Seal of Excellence certification is operational and effectively allow for excellent proposals to</p>
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	<p>the evaluation may be shared with interested financing authorities, subject to the conclusion of confidentiality agreements.</p>	<p>the applicant, information concerning the application and the evaluation <del>may</del><b>shall</b> be shared with interested financing authorities, subject to the conclusion of confidentiality agreements, <b>through a common information exchange system, according to Article 11.</b></p>	<p>receive support from ESIF. Upon authorisation of the applicant, it is crucial to enable an effective exchange of information among financing authorities to guarantee that transnational consortia that have submitted excellent proposals receive support through this mechanism.</p>
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<p>Article 24: Selection criteria</p>	<p>1. By derogation from Article 198 of the Financial Regulation, the financial capacity shall be verified only for the coordinator and only if the requested funding from the Union for the action is equal to or greater than EUR 500 000.</p> <p>2. However, if there are grounds to doubt the financial capacity or if there is a higher risk due to the participation in several ongoing actions funded by Union research and innovation programmes, the Commission or funding body shall verify also the financial capacity of other applicants or of coordinators below the threshold referred to in paragraph 1.</p> <p>3. If the financial capacity is structurally guaranteed by another legal entity, the financial capacity of the latter shall be verified.</p> <p>4. In case of weak financial capacity, the Commission or funding body may make participation of the applicant conditional on provision of a declaration on joint and several liability by an affiliated entity.</p> <p>5. The contribution to the Mutual Insurance Mechanism set out in Article 33 shall be considered a sufficient guarantee under Article 152 of the Financial Regulation. No additional guarantee or security may be accepted from beneficiaries or imposed upon them.</p>	<p>1. By derogation from Article 198 of the Financial Regulation, the financial capacity shall be verified only for the coordinator and only if the requested funding from the Union for the action is equal to or greater than EUR 500 000.</p> <p><b>The financial capacity shall not be verified either in respect of legal entities whose viability is guaranteed by a Member State or an associated country or in respect of higher and secondary education establishments.</b></p>	<p>The provisions in the Financial Regulation are broader and shall be complemented by specific provisions regarding higher and secondary education establishments.</p>
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<p>Article 25: Award criteria</p>	<p>1. A proposal shall be evaluated on the basis of the following award criteria: (a) excellence; (b) impact; (c) quality and efficiency of the implementation.</p> <p>2. Only the criterion referred to in point (a) of paragraph 1 shall apply to proposals for ERC frontier research actions.</p> <p>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.</p>	<p>1. A proposal shall be evaluated on the basis of the following award criteria: (a) excellence; (b) <b>societal, scientific and/or economic</b> impact; (c) quality and efficiency of the implementation.</p>	<p>All dimensions of impact need to be considered in the evaluation of proposals in line with the general objective of Horizon Europe (cf. article 3: “The Programme’s general objective is to deliver scientific, economic and societal impact...”).</p>
<p>Article 26: Evaluation</p>	<p>1. Proposals shall be evaluated by the evaluation committee which may be :</p> <ul style="list-style-type: none"> <li>– fully or partially composed of external independent experts,</li> <li>– 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.</li> </ul> <p>2. Where necessary, the evaluation committee shall rank the proposals having passed the applicable thresholds, according to:</p> <ul style="list-style-type: none"> <li>– the evaluation scores,</li> <li>– their contribution to the achievement of specific policy objectives, including the constitution of a consistent portfolio of projects. The evaluation committee may also</li> </ul>	<p>1. Proposals shall be evaluated by the evaluation committee which <del>may</del> <b>should</b> be :</p>	<p>1. Basing the evaluation process exclusively on the work of external independent experts forms an essential part of the transparency and respect for the high quality of the projects funded through Framework Programmes, which should be respected as a priority. Allowing other arrangements threatens the core principle of excellence as expressed in article 2 of the Specific Programme. This includes the evaluation committees and boards appointed for R&amp;I missions, where excellence in research and innovation should be evaluated by leading experts in the fields related to the mission.</p> <p>2. Proposals should be ranked based on a scoring system that fully takes into account all aspects mentioned in the call text. This is</p>

	<p>propose any substantial adjustments to the proposals in as far as needed for the consistency of the portfolio.</p>	<p><del>– fully or partially</del> composed of external independent experts,  <b>– In the case of EIC</b>, the evaluation committee may be 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.</p> <p>2. <del>Where necessary</del>, The evaluation committee shall rank the proposals having passed the applicable thresholds, according to:</p> <ul style="list-style-type: none"> <li>– the evaluation scores, <b>based on how the proposal meets the criteria of the call</b>,</li> <li>– <b>For missions in pillar 2, where necessary</b>, 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.</li> </ul>	<p>especially important to ensure the effective implementation of cross-cutting themes, such as the integration of Social Sciences and Humanities (SSH) that hasn't always been taken into account in the evaluation of the proposals in calls that have been flagged for SSH integration. Proposals that don't meet all the criteria of the call should not be successful in scoring high points.</p> <p>The portfolio approach is only relevant in the context of missions, and this should be specified in the article to avoid unclarity regarding the implementation of the approach.</p>
<p>Article 29: Implementation of the grant</p>	<p>1. If a beneficiary fails to comply with its obligations regarding the technical implementation of the action, the other beneficiaries shall comply with those obligations without any additional Union funding, unless they are expressly relieved of that obligation. The financial responsibility of</p>		

	<p>each beneficiary shall be limited to its own debt subject to the provisions relating to the Mutual Insurance Mechanism.</p> <p>2.The grant agreement may establish milestones and related pre-financing instalments. If milestones are not met, the action may be suspended, amended or terminated.</p> <p>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.</p>	<p><del>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.</del></p>	<p>This paragraph contradicts the nature of R&amp;I work. Participation in the programme comes with substantial financial risks for beneficiaries. The right of the EU funder to terminate an action “where expected results have lost their relevance for the Union due to scientific, technological or economic reasons” raises questions in this regard. It is unclear what kind of specific evidence will be used to justify the termination of an action, and the consequences this would have on the different parties engaged.</p>
<p>Article 32: Eligible costs</p>	<p>1.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.</p> <p>Project-based remuneration means remuneration that is linked to the participation of a person in projects, is part of</p>		



	<p>the beneficiary's usual remuneration practices and is paid in a consistent manner.</p> <p>2. By derogation from Article 190(1) of the Financial Regulation, costs of resources made available by third parties by means of in-kind contributions shall be eligible, up to the direct eligible costs of the third party.</p> <p>3. By derogation from Article 192 of the Financial Regulation, income generated by the exploitation of the results shall not be considered as receipts of the action.</p> <p>4. By derogation from Article 203(4) of the Financial Regulation, a certificate on the financial statements shall be mandatory at payment of the balance, if the amount claimed as actual costs and unit costs calculated in accordance with usual cost accounting practices is equal to or greater than EUR 325 000.</p>	<p><b>ADDITION</b></p> <p><b>5. In accordance with Article 10, costs generated by the responsible management of research data line with the principles 'Findability', 'Accessibility', 'Interoperability' and 'Reusability' (FAIR) shall be eligible.</b></p>	<p>Making data FAIR is an expensive operation. Compliance has to be supported through the availability of dedicated funding.</p>
<p>Article 35: Exploitation and dissemination</p>	<p>1. 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 licensing of results in accordance with Article 36. The work programme may provide for additional exploitation obligations. 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</p>		

	<p>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.</p> <p>2. Subject to any restrictions due to the protection of intellectual property, security rules or legitimate interests, beneficiaries shall disseminate their results as soon as possible. The work programme may provide for additional dissemination obligations.</p> <p>3. 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. 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. The work programme may provide for additional obligations to adhere to open science practices.</p> <p>4. Beneficiaries shall manage all research data in accordance with the terms and conditions laid down in the grant agreement and shall establish a Data Management Plan. The work programme may provide for additional</p>		
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	<p>obligations to use the European Open Science Cloud for storing and giving access to research data.</p> <p>5. Beneficiaries that intend to disseminate their results shall give advance notice to the other beneficiaries in the action. Any other beneficiary may object if it can show that the intended dissemination would significantly harm its legitimate interests in relation to its results or background. In such cases, the dissemination may not take place unless appropriate steps are taken to safeguard these legitimate interests.</p> <p>6. 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. The beneficiaries shall further develop the plan during and after the end of the action.</p> <p>7. For the purposes of monitoring and dissemination by the Commission or funding body, the beneficiaries shall provide any requested information regarding the exploitation and dissemination of their results. Subject to the legitimate interests of</p>	<p>6. 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. The beneficiaries shall further develop the plan during <del>and after the end</del> of the action.</p>	<p>This is an excessive requirement on beneficiaries.</p>
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	the beneficiaries, such information shall be made publicly available.		
<b>CHAPTER V</b>			
Article 43: EIC's Accelerator	<p>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.</p> <p>2. A single award decision shall cover and provide funding for all forms of Union contribution provided under EIC blended finance.</p> <p>3. Proposals shall be evaluated on their individual merit by independent experts and selected in the context of an annual open call with cut-off dates, based on Articles 24 to 26, subject to paragraph 4.</p> <p>4. Award criteria shall be:</p> <ul style="list-style-type: none"> <li>– excellence;</li> <li>– impact;</li> <li>– the level risk of the action and the need for Union support.</li> </ul> <p>5. With the agreement of applicants concerned, the Commission or funding bodies</p>		

	<p>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:</p> <ul style="list-style-type: none"> <li>– 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;</li> <li>– be based on a previous project review assessing the excellence and the impact of the proposal and subject to conditions and processes further detailed in the work programme.</li> </ul> <p>6. A Seal of Excellence may be awarded subject to the following cumulative conditions:</p> <ul style="list-style-type: none"> <li>– the beneficiary is a start-up or an SME,</li> <li>– the proposal was eligible and has passed applicable thresholds for the first two award criteria referred to in paragraph 4,</li> <li>– for those activities that would be eligible under an innovation action.</li> </ul> <p>7. For a proposal having passed the evaluation, independent experts shall propose a corresponding EIC blended finance, based</p>		
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	<p>on the risk incurred and the resources and time necessary to bring and deploy the innovation to the market. The Commission may reject a proposal retained by independent experts for justified reasons, including compliance with the objectives of Union policies.</p> <p>8. The grant or the reimbursable advance component of the blended finance shall not exceed 70% of the costs of the selected innovation action.</p> <p>9. Implementation modalities of the equity and repayable support components of the EIC blended finance shall be detailed in Decision [Specific programme].</p> <p>10. The contract for the selected action shall establish specific milestones and the corresponding pre-financing and payments by instalments of the EIC blended finance. Activities corresponding to an innovation action may be launched and first pre-financing of the grant or the reimbursable advance paid, prior to the implementation of other components of the awarded EIC blended finance. The implementation of those components shall be subject to the achievement of specific milestones established in the contract.</p>		
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	<p>11. 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.</p> <p>The Commission may decide to increase the EIC blended finance subject to a project review by external independent experts.</p>		
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<b>CHAPTER VI</b>			
<p>Article 44: Appointment of external experts</p>	<p>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.</p> <p>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</p>	<p><b>1. External experts may be selected on a different basis than through a call for expressions of interest only if the call for expressions of interest did not allow to identify suitable external experts. The alternative mode of selection shall be duly justified.</b></p>	<p>As Horizon Europe is spending public money experts should always be selected by a call for expressions of interest. This ensures transparency and accountability of the programme. It also counters scepticism and anti-elitist sentiments towards European institutions.</p>



	<p>standards, especially for specific high level experts, may be granted.</p> <p>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.</p>		
<p>Article 48: Audits</p>	<p>1. The control system for the Programme shall ensure an appropriate balance between trust and control, taking into account administrative and other costs of controls at all levels, especially for beneficiaries.</p> <p>2. The audit strategy for the Programme shall be based on the financial audit of a representative sample of expenditure across the Programme as a whole. The representative sample shall be complemented by a selection based on an assessment of the risks related to expenditure. Actions that receive joint funding from different Union programmes shall be audited only once, covering all involved programmes and their respective applicable rules.</p> <p>3. In addition, the Commission or funding body may rely on combined systems reviews</p>	<p>3. The Commission or funding body may rely on combined systems reviews at</p>	

	<p>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, 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.</p> <p>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.</p> <p>5. Audits may be carried out up to two years after the payment of the balance.</p>	<p>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, 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. <b>Compliance with these conditions shall provide the basis for waiving of ex-post control.</b></p>	<p>In line with the goal of simplifying participation modalities for beneficiaries, and a more efficient programme management, compliance with the conditions set out in the combined systems reviews should allow to waive ex-post controls.</p>
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## 2. Common proposed amendments to the DECISION on the specific programme implementing Horizon Europe

DECISION OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL on establishing the specific programme implementing Horizon Europe – the Framework Programme for Research and Innovation			
RECITAL/ ARTICLE	EC'S PROPOSAL	AMENDMENT	RATIONALE
<b>RECITALS</b>			
Recital 6	The Specific 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.	The <del>Specific</del> Programme's actions <b>in the 'Open Innovation' pillar</b> 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.	Addressing market failures or sub-optimal investment situations has to be limited to the 'Open Innovation' pillar. It is not an overall objective across all pillars of Horizon Europe as set out in article 3 of the FP/RfP regulation.
<b>GENERAL PROVISIONS CHAPTER I</b>			
Article 2: Operational objectives	1. The Specific Programme shall contribute to the general and specific objectives set out in Article 3 of Regulation ... <i>FP/RfP Regulation</i> 2. The Specific Programme has the following operational objectives: (a) reinforcing and spreading excellence; (b) increasing collaboration across sectors and disciplines; (c) connecting and developing research infrastructures across the European research area; (d) strengthening international cooperation;	(a) <b>strengthening Europe's scientific base and</b> reinforcing and spreading excellence; (b) increasing collaboration across sectors and disciplines, <b>including social sciences and humanities</b> ; (c) connecting, developing <b>and facilitating wide access to</b> research infrastructures across the European research area	(b) Integrating the social sciences and humanities (SSH) disciplines across all parts of Horizon Europe need to be recognised as important cross-cutting priorities for the next Framework Programme. The overall objectives of Horizon Europe require contributions from Science, Technology, Engineering, Mathematics (STEM) and SSH disciplines alike. In addition, SSH disciplines should not be seen as adjuncts to scientific and technological advances. Recent data of the

	<p>(e) attracting, training and retaining researchers and innovators in the European Research Area, including through mobility of researchers;</p> <p>(f) fostering open science and ensuring visibility to the public and open access to results;</p> <p>(g) actively disseminating and exploiting results, in particular for policy development;</p> <p>(h) supporting the implementation of Union policy priorities;</p> <p>(i) reinforcing the link between research and innovation and other policies, including Sustainable Development Goals;</p> <p>(j) delivering, through R&amp;I missions, on ambitious goals within a set timeframe;</p> <p>(k) involving citizens and end-users in co-design and co-creation processes;</p> <p>(l) improving science communication;</p> <p>(m) accelerating industrial transformation;</p> <p>(n) improving skills for innovation;</p> <p>(o) stimulating the creation and scale-up of innovative companies, in particular SMEs;</p> <p>(p) improving access to risk finance, in particular where the market does not provide viable financing.</p>	<p>(i) reinforcing the link between research <del>and</del> innovation <b>and education</b>, and other policies, <del>including</del> <b>as well as with</b> Sustainable Development Goals;</p> <p>(k) involving <del>citizens</del> <b>societal actors</b>, <del>including</del> <del>and</del> citizens and end-users in co-design and co-creation processes</p> <p>(n) improving skills for <b>research</b> and innovation;</p>	<p>European Commission also shows that the integration of SSH disciplines is qualitatively highly uneven across Horizon 2020.</p> <p>(i) Horizon Europe cannot afford to miss the opportunity of strengthening the links between education, research and innovation. These three sides of the knowledge triangle are fundamental drivers of increasing European growth and competitiveness. Solving complex and interrelated societal challenges requires a broad, experimental mindset and transversal skills, which are primarily developed and nurtured at universities through research-based education. Education must hence be considered in the design of the Horizon Europe. The current and next generations of students, doctoral candidates and post-doctoral researchers are an invaluable asset of universities throughout Europe in boosting European competitiveness.</p> <p>(n) Research skills are essential in teaching critical thinking and providing students with tools for analysing real-life phenomena. Research-led education plays a key role in the education of future generations with the right skills to be critical of fake news and un-democratic forces. Linking research and education for example through synergies between Horizon 2020 and Erasmus should be one of the objectives of the programme.</p>
Article 3: Structure	1. In accordance with Article 4(1) of Regulation ... <i>FP/RfP Regulation</i> , the Specific Programme shall consist of the following parts:	EUA 1. In accordance with Article 4(1) of Regulation ... <i>FP/RfP Regulation</i> , the	Changing the name of Pillar 1 to “Open and Excellent Science” would avoid confusion with the

	<p>(1) Pillar I 'Open Science' with the following components:</p> <ul style="list-style-type: none"> <li>(a) the European Research Council (ERC), as described in Annex I, Pillar I, section 1;</li> <li>(b) Marie Skłodowska-Curie actions (MSCA), as described in Annex I, Pillar I, section 2;</li> <li>(c) research infrastructures, as described in Annex I, Pillar I, section 3;</li> </ul> <p>(2) Pillar II 'Global Challenges and Industrial Competitiveness' with the following components:</p> <ul style="list-style-type: none"> <li>(a) cluster 'Health', as described in Annex I, Pillar II, section 1;</li> <li>(b) cluster 'Inclusive and Secure Society', as described in Annex I, Pillar II, section 2;</li> <li>(c) cluster 'Digital and Industry', as described in Annex I, Pillar II, section 3;</li> <li>(d) cluster 'Climate, Energy and Mobility', as described in Annex I, Pillar II, section 4;</li> <li>(e) cluster 'Food and Natural Resources', as described in Annex I, Pillar II, section 5;</li> <li>(f) non-nuclear direct actions of the Joint Research Centre (JRC), as described in Annex I, Pillar II, section 6;</li> </ul> <p>(3) Pillar III 'Open Innovation' with the following components:</p> <ul style="list-style-type: none"> <li>(a) the European Innovation Council (EIC), as described in Annex I, Pillar III, section 1;</li> <li>(b) European innovation ecosystems, as described in Annex I, Pillar III, section 2;</li> <li>(c) the European Institute of Innovation and Technology (EIT), as described in Annex I, Pillar III, section 3.</li> </ul> <p>(4) Part 'Strengthening the European Research Area' with the following components:</p>	<p>Specific Programme shall consist of the following parts:</p> <p>(1) Pillar I 'Open <b>and Excellent Science</b>' with the following components</p>	<p>overall, cross-cutting policy objective of Open Science.</p>
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	<p>(a) sharing excellence, as described in Annex I, Part 'Strengthening the European Research Area', section 1;</p> <p>(b) reforming and enhancing the European R&amp;I system, as described in Annex I, Part 'Strengthening the European Research Area', section 2.</p> <p>2. The activities to be carried out under the parts referred to in paragraph 1 are set out in Annex I.</p>		
Article 4: Budget	<p>1. In accordance with Article 9(1) of Regulation ... <i>FP/RfP Regulation</i>, the financial envelope for the implementation of the Specific Programme for the period 2021 to 2027 shall be EUR 94 100 000 000 in current prices.</p> <p>2. The amount referred to in paragraph 1 of this Article shall be distributed among the components set out in Article 3(1) of this Decision in accordance with Article 9(2) of Regulation ... <i>FP/RfP Regulation</i>. The arrangements of Article 9(3) to (8) of Regulation ... <i>FP/RfP Regulation</i> shall apply.</p>	<p>1. In accordance with Article 9(1) of Regulation ... <i>FP/RfP Regulation</i>, the financial envelope for the implementation of the Specific Programme for the period 2021 to 2027 shall be EUR <del>94 100 000 000</del><b>160 000 000000</b> in current prices.</p>	<p>To match the ambitions set forth for the Horizon Europe programme, the overall funding of the programme has to be doubled compared to Horizon 2020, reaching 160 billion Euros. Any budget failing to reach this amount should lead to prioritisation of pillar 1 actions (European Research Council, Marie Skłodowska-Curie Actions, Research Infrastructures) and to a rebalancing among clusters in pillar 2.</p>
<b>CHAPTER II</b>			
Article 5: Missions	<p>1. For each mission, a mission board may be established. It shall be composed of around 15 high level individuals including relevant end-users'</p>	<p>1. For each mission, a mission board <del>may</del><b>shall</b> be established. It shall be composed of around 15 <b>independent,</b></p>	<p>Missions boards responsible for co-designing the missions and steering their implementation processes should consist of various institutional and</p>

	<p>representatives. The mission board shall advise upon the following:</p>	<p>high level individuals including <b>expert researchers from different disciplines and</b> relevant end-users' representatives. <b>Any mission board will be established following an open call for nominations or for an expression of interest.</b> The mission board shall <del>advise</del><b>provide recommendations</b> upon the following:</p>	<p>sectoral actors, including meaningful representation from universities and research institutions. Expertise should be the guiding criterium for the appointment of the mission board members. The missions should comply with the high standards of excellence in research and innovation, like all the other parts of Horizon Europe. This is why it is crucial that the main beneficiaries included in the implementation of the research and innovation missions form the majority of the mission boards. In order to ensure transparency and inclusiveness in the establishment of the mission board, there must be an open call for nominations or for expression of interest.</p>
<p>continued</p>	<p>(a) content of work programmes and their revision as needed for achieving the mission objectives, in co-design with stakeholders and the public where relevant; (b) adjustment actions, or termination if appropriate, based on implementation assessments of the mission; (c) selection of expert evaluators, briefing of expert evaluators and evaluation criteria and their weighting; (d) framework conditions which help achieve the objectives of the mission; (e) communication. 2. Specific provisions to enable an efficient and flexible portfolio approach may be set out in the work programme provided for in Article 11.</p>	<p>(a) content of work programmes and their revision as needed for achieving the mission objectives, in co-design with stakeholders and the public <del>where relevant</del>; (b) adjustment actions, or termination if appropriate, based on implementation assessments of the mission; (c) selection of expert evaluators, briefing of expert evaluators and evaluation criteria and their weighting <b>to be linked to a mission additional to the standard award criteria listed in Article 25 of the Regulation ... FP/RfP Regulation</b>; (d) framework conditions which help achieve the objectives of the mission; (e) communication. 2. Specific provisions to enable an efficient and flexible portfolio approach may be set out in the work programme provided for in Article 11.</p>	

<p>Article 6: European Research Council</p>	<p>1. The Commission shall establish a European Research Council ("ERC"), for implementing the actions under Pillar I 'Open Science' which relate to the ERC. The ERC shall succeed the ERC set up by Decision C(2013) 1895.</p> <p>2. The ERC shall be composed of the independent Scientific Council provided for in Article 7 and the dedicated implementation structure provided for in Article 8.</p> <p>3. The ERC shall have a President who shall be chosen from among senior and internationally respected scientists.</p> <p>The President shall be appointed by the Commission following a transparent recruitment process involving an independent dedicated search committee, for a term of office limited to four years, renewable once. The recruitment process and the candidate selected shall have the approval of the Scientific Council.</p> <p>The President shall chair the Scientific Council and shall ensure its leadership and liaison with the dedicated implementation structure and represent it in the world of science.</p> <p>4. The ERC shall operate according to the principles of scientific excellence, autonomy, efficiency, effectiveness, transparency and accountability. It shall ensure continuity with ERC actions conducted under Decision .../EC.</p> <p>5. The activities of the ERC shall support research carried out across all fields by individual and transnational teams in competition at the European level.</p>	<p>1. The Commission shall establish a European Research Council ("ERC"), for implementing the actions under Pillar I 'Open <b>and Excellent</b> Science' which relate to the ERC.</p>	<p>In line with the proposed revision above, changing the name of Pillar 1 to "Open and Excellent Science" would avoid confusion with the overall, cross-cutting policy objective of Open Science.</p>
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	<p>6. The Commission shall act as the guarantor of the autonomy and integrity of the ERC and shall ensure the proper execution of the tasks entrusted to it. The Commission shall ensure that the implementation of the ERC actions is in accordance with the principles set out in paragraph 4 of this Article as well as with the overall strategy for the ERC, referred to in point (a) of Article 7(2), established by the Scientific Council.</p>		
<p>Article 9: The European Innovation Council</p>	<p>1. The Commission shall establish a European Innovation Council (EIC) for implementing actions under Pillar III 'Open Innovation' which relate to the EIC. The EIC shall operate according to the following principles: focus on breakthrough and disruptive innovation, autonomy, ability to take risk, efficiency, effectiveness, transparency and accountability.</p> <p>2. The EIC shall include the High Level Board ("EIC Board") provided for in Article 10.</p> <p>3. The Commission shall ensure that the implementation of the EIC is: (a) in accordance with the principles set out in paragraph 1 of this Article, taking due account of the opinion of the EIC Board on the overall strategy for the EIC, referred to Article 10(1)(a); and (b) does not lead to distortions of competition contrary to the common interest.</p> <p>4. For the purpose of managing EIC blended finance, the Commission shall make use of indirect management, or where this is not possible, may establish a special purpose vehicle. The Commission shall seek to ensure the participation of other public and private investors. Where this is not possible at</p>	<p>1. The Commission shall establish a European Innovation Council (EIC) for implementing actions under Pillar III 'Open Innovation' which relate to the EIC. The EIC shall operate according to the following principles: focus on <b>new ideas towards radically new future opportunities</b>, breakthrough and disruptive <b>social, technological and non-technological</b> innovations, <b>stimulating education and training of future innovators</b>, autonomy, ability to take risk, efficiency, effectiveness, transparency and accountability.</p>	<p>Turning the EIC into a long-term success has to be reflected in comprehensive support for knowledge leading to future social, technological and non-technological opportunities and it has to address the complete bandwidth of innovation and additional measures to strengthen the links between education, research and innovation. Innovation builds on human talent which has to be reinforced through the EIC, e.g. by fostering mutual exchange between industry and academia or by supporting existing initiatives on university campuses that offer opportunities for students to develop their innovative ideas with guidance from professors and entrepreneurs.</p>

	<p>the initial set up, the special purpose vehicle will be structured in such a way that it can attract other public or private investors in order to increase the leverage effect of the Union contribution.</p>		
<p>Article 10: The EIC Board</p>	<p>1. The EIC Board shall advise the Commission upon:</p> <ul style="list-style-type: none"> <li>(a) the overall strategy for the EIC component under Pillar III 'Open Innovation';</li> <li>(b) the work programme for the implementation of the EIC actions;</li> <li>(c) the criteria for assessment of the innovativeness and risk profile of the proposals and the appropriate balance of grants, equity and other forms of financing for the EIC accelerator;</li> <li>(d) the identification of strategic portfolio of projects;</li> <li>(e) the profile of programme managers.</li> </ul> <p>2. The EIC Board may upon request address recommendations to the Commission on:</p> <ul style="list-style-type: none"> <li>(a) any matter which from an innovation perspective may enhance and foster innovation eco-systems across Europe, the achievements and impact of the objectives of the EIC component and the capacity of innovative firms to roll out their solutions;</li> <li>(b) identify in cooperation with relevant Commission services possible regulatory barriers faced by entrepreneurs, in particular those awarded support under the EIC component;</li> <li>(c) emerging technology trends from EIC's portfolio, to inform the programming in other parts of the Specific Programme;</li> <li>(d) identifying specific issues where advice from the EIC Board is needed.</li> </ul> <p>The EIC Board shall act in the interest of achieving the objectives of the EIC component. It shall act with</p>		

	<p>integrity and probity and carry out its work efficiently and with transparency. The EIC Board shall act in accordance with its mandate set out in Pillar III of Annex I, section 1.</p> <p>3. The EIC Board shall be composed of 15 to 20 high level individuals drawn from various parts of Europe's innovation ecosystem, including entrepreneurs, corporate leaders, investors and researchers. It shall contribute to outreach actions, with EIC Board members striving to enhance the prestige of the EIC brand. The members of the EIC Board shall be appointed by the Commission, following an open call for nominations or for expression of interests or both, whichever the Commission will find more appropriate, and taking into account the need for balance in expertise, gender, age and geographical distribution. Their term of office shall be limited to two years, renewable twice, with a rolling appointments system (members appointed every two years).</p> <p>4. The EIC Board shall have a President who shall be appointed by the Commission following a transparent recruitment process. The President shall be a high profile public figure linked to the innovation world. The President shall be appointed for a term of office limited to four years, renewable once. The President shall chair the EIC Board, prepare its meetings, assign tasks to members, and may establish dedicated sub-groups, in particular to identify emerging technology trends from EIC's portfolio. He or she shall promote the EIC, act as</p>	<p>3. The EIC Board shall be composed of 15 to 20 high level individuals drawn from various parts of Europe's innovation ecosystem, including entrepreneurs, corporate leaders, investors, <b>academic experts</b> and researchers.</p>	<p>Universities play an important role in the innovation ecosystem. Currently there are no academic experts on the EIC Board, while their expertise is crucial for the composition and broad scope of this advisory body.</p>
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	<p>interlocutor with the Commission and represent the EIC in the world of innovation. The Commission may provide for administrative support for the President to undertake his or her duties.</p> <p>5. A code of conduct addressing, inter alia, the avoidance of conflict of interests shall be established by the Commission. Members of the EIC Board are expected to accept the code of conduct upon assuming office.</p>	<p>4. The EIC Board shall have a President who shall be appointed by the Commission following a transparent recruitment process. The President shall be a high profile public figure linked to the <b>research and</b> innovation world. (...) He or she shall promote the EIC, act as interlocutor with the Commission and represent the EIC in the world of <b>research and</b> innovation.</p>	<p>The profile and activities of the EIC Board's President should reflect the broad mission of the EIC and its dual funding instruments (Pathfinder, Accelerator) for advanced research and innovation actions. A selective focus on the President's experience in innovation risks to tarnish the reputation of this new entity at its outset.</p>
Article 11: Work programmes	<p>1. The Programme shall be implemented by work programmes referred to in Article 110 of Financial Regulation. They shall be prepared following a strategic planning process as described in Annex I to this Decision. Work programmes shall set out, where applicable, the overall amount reserved for blending operations.</p> <p>2. The Commission shall adopt separate work programmes, by means of implementing acts, for the implementation of actions under the following components, as set out in Article 3(1) of this Decision:</p> <p>(a) the ERC, where the work programme shall be established by the Scientific Council under point (b) of Article 7(2), in accordance with the advisory procedure referred to in Article 12(3). The Commission shall depart from the work programme established by the Scientific Council only when it considers that it is not in accordance with the provisions of this Decision. In that case, the Commission shall adopt the work programme by means of an implementing act in accordance with</p>	<p>1. The Programme shall be implemented by work programmes referred to in Article 110 of Financial Regulation. They shall be prepared following a strategic, <b>consistent and transparent</b> planning process <b>by publishing the draft work programmes online at an early stage to allow Programme Committees and Advisory Groups to support the preparation of the work programme</b> <del>as described in Annex I to this Decision.</del></p>	<p>Currently some beneficiaries have access to draft work programmes but others have not. In the future everybody should be able to access the same documents. The EC should guarantee this equal access. Transparency, consistency and openness need to be guiding principles in work programme procedures aligned with Art. 6 (6) of the Horizon Europe regulation and the lessons learned from Horizon 2020 as described in the Commission Staff Working Document Impact Assessment (SWD (2018) 307 final), Pt. 1 accompanying the proposals for a regulation and a decision on Horizon Europe.</p>

	<p>the examination procedure referred to in Article 12(4). The Commission shall duly motivate this measure;</p> <p>(b) all clusters under the pillar 'Global Challenges and Industrial Competitiveness', MSCA, research infrastructures, support to innovation ecosystems, sharing excellence and reforming and enhancing the European R&amp;I System, in accordance with the examination procedure referred to in Article 12(4);</p> <p>(c) the EIC, where the work programme shall be prepared following the advice of the EIC Board under point (b) of Article 10(1), in accordance with the examination procedure referred to in Article 12(4);</p> <p>(d) the JRC, where the multi-annual work programme shall take into account the opinion provided by the Board of Governors of the JRC referred to in Decision 96/282/Euratom.</p> <p>3. In addition to requirement in Article 110 of the Financial Regulation, the work programmes referred to in paragraph 2 of this Article shall, as appropriate, contain:</p> <p>(a) an indication of the amount allocated to each action and mission and an indicative implementation timetable;</p> <p>(b) for grants the priorities, the selection and award criteria and the relative weight of the different award criteria and the maximum rate of funding of the total eligible costs;</p> <p>(c) the amount allocated to blended finance in accordance with Articles 41 to 43 of Regulation ...</p> <p><i>FP/RfP Regulation:</i></p> <p>(d) any additional obligations for beneficiaries, in accordance with Articles 35 and 37 of the <i>FP/RfP Regulation</i>.</p>		
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<p>New article, after Art. 13: External advice and societal engagement</p>		<p><b>New article: External advice and societal engagement</b></p> <p><b>In the implementation of Horizon Europe, account shall be taken of advice and inputs provided by independent advisory groups of high level experts set up by the Commission from a broad constituency of stakeholders, including research, industry and civil society, to provide the necessary inter-disciplinary and cross-sectoral perspectives, taking account of relevant existing initiatives at Union, national and regional level. The advisory groups provide a sustained and structured forum of interaction and dialogue between the Commission and the stakeholders, which is essential for the success of the programme. The coordination of the advisory groups should be properly resourced and the objectives of the meetings should be clearly outlined in advance to ensure their effectiveness. Interaction between the different advisory groups should be provided to enable interdisciplinary engagement between groups focusing on the thematic clusters in pillar 2.</b></p> <p><b>Other inputs will be provided from dialogue structures created under international science and technology agreements; forward-looking activities; targeted public consultations, including, where appropriate, consultations of</b></p>	<p>This addition is based on the Horizon 2020 regulation. It is essential that the Commission engages in a structured dialogue and co-creation of the programme implementation with stakeholders, such as the academia. Without advisory groups and other forms of structured interaction the programme could lose its close links with the latest developments in different disciplines. It is crucial that Horizon Europe fosters even more interaction with the main groups of beneficiaries, to guarantee its position at the forefront of research and innovation in Europe.</p>
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		<b>national and regional authorities or stakeholders; and transparent and interactive processes that ensure that responsible research and innovation is supported.</b>	
<b>ANNEXES TO THE SPECIFIC PROGRAMME</b>			
Annex I, p. 2, second paragraph		A systemic, cross-disciplinary, cross-sectoral and cross-policy approach to research <b>and</b> innovation will ensure that challenges can be tackled, new knowledge is generated <b>and where possible, give</b> rise to new competitive businesses and industries, <b>social and scientific innovation, foster</b> competition, <b>stimulate</b> private investments and <b>preserve</b> the level playing field in the internal market.	This reformulation is necessary to reflect all the various aspects of the programme.
Annex I, p. 4, third paragraph		The use of high quality independent expertise in the evaluation process underpins the engagement of the programme across all stakeholders, communities and interests, and is a prerequisite for maintaining the excellence and relevance of the funded activities. The Commission or funding body will ensure the impartiality of the process, and avoid conflicts of interest in line with Article 61 of the Financial Regulation. <del>Exceptionally, when justified by the requirement to appoint the best</del>	Strict principles of transparency and ethics need to be applicable without exceptions. Experts that have a potential clear conflict of interest should never evaluate any related proposals.

		<p>available experts and/or by the limited size of the pool of qualified experts, independent experts assisting or being members of the evaluation committee may evaluate specific proposals for which they declare a potential interest. In this case, the Commission or funding body shall take all necessary remedial measures to ensure the integrity of the evaluation process. The evaluation process will be managed accordingly, including a stage involving an interaction between diverse experts. The evaluation committee will take into account the particular circumstances when identifying proposals for funding.</p>	
Annex I, p. 6, paragraph 1, line 4		<p>Although The EU remains the largest producer of scientific publications in the world, it is essentially a 'mass producer' of knowledge with, relative to its size, comparatively few centres of excellence that stand out at the world level and with large areas of average and poor performance. Compared with the US and now China to some degree, the EU still tends to follow a 'distributed excellence model' in which resources are spread across a larger number of researchers and research institutions.</p>	<p>The text has to reflect the positive achievements of the EU. It also must ensure that the European model of distributed excellence is beneficial for Europe and in line with the objectives of pillar 4.</p>
Annex I, p. 14, 3.1, paragraph 2, line 5		<p>Key objectives are to reduce the fragmentation of the research and innovation ecosystem, avoiding duplication of effort, and better</p>	<p>By providing broad access the long-term scientific relevance of RI will be safeguarded. Research and innovation performed and pursued in pillar 2 needs to tap in existing research infrastructures.</p>



		coordinate the development, and use <b>and accessibility</b> of research infrastructures.	It is fundamental to ensure their wide accessibility and re-use.
Annex I, p. 14, 3.1, new paragraph		<b>Small and medium sized research infrastructures are very important to researchers but information on their location, accessibility policies and funding is poor. This needs to be mapped to unlock the potential of these research infrastructures for European research and innovation.</b>	We support the general aim of Research Infrastructures mentioned in the rationale, namely to reduce fragmentation of the research and innovation ecosystem, avoiding duplication of effort, and better coordinate the development and use of research infrastructures. This should however not be limited to large infrastructures, but also include small and medium-sized RI. These are not included in the EFSRI roadmap. Small and medium scale facilities are very important to many researchers but, at present, information on their location, accessibility policies, funding, etc. is poor. This needs to be improved and Horizon Europe should address this as well. We therefore propose to add the text proposed in the left hand column, to the rationale.
Annex I, p. 16, Point 3.2.2.	3.2.2. Opening, Integrating and Interconnecting Research Infrastructures  Broad Lines  – Networks that bring together national and regional funders of research infrastructures for the co-funding of trans-national access of researchers; – Networks of pan EU, national and regional research infrastructures addressing global challenges for the provision of access to researchers as well as for the harmonisation and improvement of the infrastructures' services;	Networks of pan EU, national and regional research infrastructures, <b>including small and medium-sized ones</b> , addressing global challenges for the provision of access to researchers as well as for the	Cf. rationale above on new paragraph for section 3.1

		harmonisation and improvement of the infrastructures' services;	
Annex I. Page 17	<p>PILLAR II Global challenges and industrial competitiveness</p> <p>The EU will benefit as user and producer of technologies and industries showcasing how modern industrialised, sustainable inclusive, open and democratic society and economy can function and develop. The growing economic-environmental-social examples of the sustainable industrial economy of the future will be fostered and boosted, be they for: health and well-being for all; or resilient inclusive and secure societies; or available clean energy and mobility; or a digitised economy and society; or a transdisciplinary and creative industry; or space marine or land-based solutions; or food and nutrition solutions; sustainable use of natural resources climate protection and adaptation, all generating wealth in Europe and offering higher quality jobs. Industrial transformation will be crucial.</p> <p>Research and innovation under this pillar of Horizon Europe is grouped into integrated clusters of activities. Rather than addressing sectors, the investments aim at systemic changes for our society and economy along a sustainability vector. These will only be achieved if all actors, both private and public, engage in co-designing and co-creating research and innovation; bringing together end-users, scientists, technologists, producers, innovators, businesses, educators, citizens and civil society organisations. Therefore, none of the</p>	<p>The EU will benefit as user and producer of <b>knowledge</b>, technologies and industries showcasing how modern industrialised, sustainable inclusive, open and democratic society and economy can function and develop. The growing economic-environmental-social examples of the sustainable industrial economy of the future will be fostered and boosted, be they for: health and well-being for all; or resilient inclusive and secure societies; or available clean energy and mobility; or a digitised economy and society; or a transdisciplinary and creative industry; or space marine or land-based solutions; or food and nutrition solutions; sustainable use of natural resources climate protection and adaptation, all generating wealth in Europe and offering higher quality jobs. Industrial transformation will be crucial.</p> <p>Research and innovation under this pillar of Horizon Europe is grouped into integrated clusters of activities. Rather than addressing sectors, the investments aim at systemic changes</p>	<p>The focus of the introductory text to pillar II is too much on the innovation part of the pillar's activities. The innovation activities are however only part of what the pillar should do. Today's global challenges also need fresh insights and knowledge. Frontier, basic research is therefore needed in this pillar. In a pillar that wants to address global challenges the human and societal reflection should not be overlooked, also when the intervention area is technology focused or end-product driven. It is extremely important that the societal aspect is taken into account in each intervention area, to ensure that societies benefit from technologies and new products, to avoid negative side effects on society and to counter citizens distrust and misconceptions.</p>

	<p>thematic clusters is intended for only one set of actors.</p> <p>Clusters will develop and apply digital, key enabling and emerging technologies as part of a common strategy to promote the EU's industrial leadership. Where appropriate this will use EU space-enabled data and services.</p> <p>...</p> <p>The clusters will boost the quick introduction of first-of-its-kind innovation in the EU through a broad range of embedded activities, including communication, dissemination and exploitation, standardisation as well as support to non-technological innovation and innovative delivery mechanisms, helping create innovation friendly societal, regulatory and market conditions such as the innovation deals. Pipelines of innovative solutions originating from research and innovation actions will be established and targeted to public and private investors as well as other relevant EU and national programmes.</p>	<p>for our society and economy along a sustainability vector. These will only be achieved if all actors, both private and public, engage in co-designing and co-creating research and innovation; bringing together end-users, <b>researchers</b>, scientists, technologists, producers, innovators, businesses, educators, citizens and civil society organisations. Therefore, none of the thematic clusters is intended for only one set of actors.</p> <p><b>Clusters will support knowledge creation in all its stages of development, including early stage research activities.</b> Clusters will <b>also</b> develop and apply digital key enabling and emerging technologies as part of a common strategy....</p> <p>The clusters will boost the quick introduction of first-of-its-kind innovation in the EU through a broad range of embedded activities, including communication, dissemination and exploitation, standardisation as well as support to non-technological innovation and innovative delivery mechanisms, helping create innovation friendly societal, regulatory and market conditions such as the innovation deals. <b>At the same time clusters will support the investigation of the application and implication of this first-of-its kind innovation on citizens and society.</b></p>	<p>Global challenges research will logically provide ample opportunities for industrial competitiveness objectives. However, we strongly recommend a balanced approach in the strategic programming, in the sense that there are societal concerns that need to be tackled from a different angle, for which no economic approach or technology, rationale may be necessary or appropriate.</p>
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		<p>Pipelines of innovative solutions originating from research and innovation actions will be established and targeted to public and private investors as well as other relevant EU and national programmes.</p> <p><b>Innovation focused activities will be complemented with research focused activities in each intervention area, including research that addresses the area from a societal perspective.</b></p>	
Annex I, p. 58, paragraph 2, line 4	<p>Like its predecessors, Innovation is at the heart of Horizon Europe. The quest for new ideas, products and processes is driving Horizon Europe objectives and implementing modalities, from strategic programming to calls, and is present from the onset to the end of any project supported, from 'blue-sky' research to industrial or technological roadmaps and missions.</p>	<p>Like its predecessors, Innovation is at the heart of Horizon Europe. The quest for new ideas, products and processes is driving Horizon Europe objectives and implementing modalities, from strategic programming to calls, and is present from the onset to the end of any project supported, from 'blue-sky' research to <b>societal</b>, industrial or technological roadmaps and missions.</p>	<p>Societal aspects and innovation play a crucial role in the whole of Horizon Europe. Therefore they must be included in the text.</p>
Annex I. p. 75	<p>Sharing excellence</p> <p><i>Broad lines</i></p>	<ul style="list-style-type: none"> <li>- <b>Widening fellowships, to enable researchers of any nationality to acquire and transfer new knowledge and to work on research and innovation in Widening countries.</b></li> </ul>	<p>This scheme is being piloted in Horizon 2020. Applications for Marie Skłodowska-Curie Individual Fellowships (MSCA-IF), where the host organisation is located in an eligible widening country, are automatically resubmitted to the call for widening fellowships in case they fail to reach an adequate place in the ranking to be funded in the regular MSCA-IF call.</p> <p>The proposals must fulfil all the admissibility and eligibility conditions of the MSCA-IF and pass all the thresholds for that call.</p>

			<p>Mobility towards 'widening countries' needs to be increased and supported, not least to raise the utilisation rates of the vast R&amp;I infrastructure that has been built in EU-13. Besides attracting international research talent, widening fellowships could also incentivize researchers who have left a 'widening country' to return and share the experience and expertise they have gained abroad. This is why the initiative should be continued and scaled up in Horizon Europe.</p>
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### 3. Common proposed amendments to the Annexes of the Regulation of Horizon Europe

<p style="text-align: center;"><b>Input for amendments to the <u>Annexes</u> of the <u>Regulation</u> of Horizon Europe</b></p> <p style="text-align: center;">Link to text: <a href="https://ec.europa.eu/commission/sites/beta-political/files/budget-may2018-horizon-europe-regulation-annexes_en.pdf">https://ec.europa.eu/commission/sites/beta-political/files/budget-may2018-horizon-europe-regulation-annexes_en.pdf</a></p>			
<b>Text</b>	<b>Action</b>	<b>Revision</b>	<b>Rationale</b>
Page 1, Annex I, (1) Pillar I, section (b)		(b) Marie Skłodowska-Curie Actions: Equipping researchers, <b>especially early career researchers</b> , with new knowledge and skills through mobility and exposure across borders, sectors and disciplines, <sup>[L]</sup> <sub>[SEP]</sub>	MSCA are especially important for early career researchers. Very often MSCA are giving opportunities for researches to grow to become ERC grantees.
Page 1, Annex 1, (2) Pillar II		Through the following activities, this pillar will, in line with Article 4, strengthen the impact of research and innovation in developing, supporting and implementing Union policies, and support <b>the strengthening of the knowledge base, development and</b> the uptake of innovative solutions in industry and society to address global challenges.	This amendment is in line with others proposed to the regulation and decision. This amendment aims at highlighting better that Pillar II also needs to focus on the creation of the knowledge base and development, and not only the update, of innovative solutions in industry and society.
Page 2, Annex I, section c)		Cluster 'Digital and Industry': Reinforcing capacities and securing Europe's sovereignty in key enabling technologies for digitisation and production, and in space <b>research</b> and technology, <b>with the aim</b> to build a competitive, digital, low-carbon and circular industry; ensure a sustainable supply of raw materials; and provide the basis for advances and innovation in all global societal challenges.	Also in the cluster 'digital and industry' the focus needs to be on both research and technological development.
Page 3, (3) Pillar III section c)		Areas of intervention: ...support the entrepreneurial <del>transformation</del> <b>strength</b> of EU universities;	Many universities are already entrepreneurial. Therefore strengthening is a better word here than transforming.

Page 5, Annex II, Types of Actions	Modify the definition of Research and Innovation Action	Research and innovation action: action <del>primarily</del> 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 <del>may</del> includes basic and/or applied research, <b>and may include</b> technology development and integration, testing and validation on a small- scale prototype in a laboratory or simulated environment;	This reformulation in the definition is needed to keep an appropriate balance between research and innovation in these types of actions.
Page 5, Annex II, Types of Actions	Include a new action type	<b>Research action: action focused on collaborative research producing new knowledge on a given topic.</b>	An action type purely focused on collaborative fundamental research has been missing from the current programme (Horizon 2020), which has created an unbalanced approach amongst the action types to the benefit of projects including innovation activities. This has held back many excellent researchers from collaborating with each other to produce knowledge that is needed to effectively address the global challenges in the pillar 2 of the programme. It is crucial that research collaboration is finally prioritised as an equal form of action in pillar 2, which would be guaranteed through this dedicated action.
Page 16, Annex V, societal impact pathway indicators table, 3 <sup>rd</sup> row, 1 <sup>st</sup> column short term	Add the Sustainable Development Goals	Number and share of outputs aimed at addressing specific EU policy priorities <b>and the Sustainable Development Goals</b>	One of the objectives of Horizon Europe is to contribute to the Sustainable Development Goals. The SDGs go beyond the EU's changing policy priorities, and therefore their inclusion in the indicators brings long-term perspective to the societal impact of the programme.
Page 16, Annex V, societal impact pathway indicators table, 3 <sup>rd</sup> row, 2 <sup>nd</sup> column medium term	Add the Sustainable Development Goals	Number and share of innovations and scientific results addressing specific EU policy priorities <b>and the Sustainable Development Goals</b>	One of the objectives of Horizon Europe is to contribute to the Sustainable Development Goals. The SDGs go beyond the EU's changing policy priorities, and therefore their inclusion in the indicators brings long-term perspective to the societal impact of the programme.

Page 16, Annex V, societal impact pathway indicators table, 3 <sup>rd</sup> row, 2 <sup>nd</sup> column long term	Add the Sustainable Development Goals	Aggregated estimated effects from use of FP-funded results, on tackling specific EU policy priorities <b>and the Sustainable Development Goals</b> , including contribution to the policy and law-making cycle	One of the objectives of Horizon Europe is to contribute to the Sustainable Development Goals. The SDGs go beyond the EU's changing policy priorities, and therefore their inclusion in the indicators brings long-term perspective to the societal impact of the programme.
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