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Committee on Budgets

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AMENDMENTS

14 - 39

Draft opinion
Nils Torvalds
(PE491.282v01-00)

Rules for the participation and dissemination in 'Horizon 2020 – the Framework Programme for Research and Innovation (2014-2020)'

Proposal for a regulation
(COM(2011)0810 – C7-0465/2011 – 2011/0399(COD))

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United in diversity

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Amendment 14
Monika Hohlmeier

Proposal for a regulation
Recital 2

Text proposed by the Commission

(2) Horizon 2020 should be implemented with a view to contributing directly to creating industrial leadership, growth and employment in Europe and should reflect the strategic vision of the Commission Communication of 6 October 2010 to the European Parliament, the Council, the European Economic and Social Committee and the Committee of the Region ‘Europe 2020 Flagship Initiative Innovation’ whereby the Commission engages to radically simplify access of participants.

Amendment

(2) Horizon 2020 should be implemented with a view to contributing directly to creating industrial leadership, growth and employment in Europe and should reflect the strategic vision of the Commission Communication of 6 October 2010 to the European Parliament, the Council, the European Economic and Social Committee and the Committee of the Region ‘Europe 2020 Flagship Initiative Innovation’ whereby the Commission engages to radically simplify access of participants. ***At the same time Horizon 2020 should duly take into account the need to distinguish between different types of activity and participants having differing funding needs. This can be achieved through a differentiated approach to various groups of beneficiaries as well as funding types in all stages of the implementation of this programme.***

Or. en

Amendment 15
Isabelle Durant
on behalf of the Verts/ALE Group

Proposal for a regulation
Recital 2

Text proposed by the Commission

(2) Horizon 2020 should be implemented with a view to contributing directly to creating industrial leadership, ***growth*** and employment in Europe and should reflect

Amendment

(2) Horizon 2020 should be implemented with a view to contributing directly to creating ***citizen's welfare, economic development, environmental***

the strategic vision of the Commission Communication of 6 October 2010 to the European Parliament, the Council, the European Economic and Social Committee and the Committee of the Region 'Europe 2020 Flagship Initiative Innovation'6 whereby the Commission engages to radically simplify access of participants.

sustainability, industrial leadership, **prosperity** and employment in Europe and should reflect the strategic vision of the Commission Communication of 6 October 2010 to the European Parliament, the Council, the European Economic and Social Committee and the Committee of the Region 'Europe 2020 Flagship Initiative Innovation'6 whereby the Commission engages to radically simplify access of participants.

Or. en

Amendment 16
Edit Herczog

Proposal for a regulation
Recital 2

Text proposed by the Commission

(2) Horizon 2020 should be implemented with a view to contributing directly to creating industrial leadership, growth and employment in Europe and should reflect the strategic vision of the Commission Communication of 6 October 2010 to the European Parliament, the Council, the European Economic and Social Committee and the Committee of the Region 'Europe 2020 Flagship Initiative Innovation' whereby the Commission engages to radically simplify access of participants.

Amendment

(2) Horizon 2020 should be implemented with a view to contributing directly to **developing a stairway to research and innovation excellence**, creating industrial leadership, growth and employment in Europe and should reflect the strategic vision of the Commission Communication of 6 October 2010 to the European Parliament, the Council, the European Economic and Social Committee and the Committee of the Region 'Europe 2020 Flagship Initiative Innovation' whereby the Commission engages to radically simplify access of participants.

Or. en

Amendment 17
Monika Hohlmeier

Proposal for a regulation
Recital 3

Text proposed by the Commission

(3) Horizon 2020 should support the achievement and functioning of the European Research Area in which researchers, scientific knowledge and technology circulate freely, by strengthening cooperation between the Union and the Member States, notably through application of a coherent set of rules.

Amendment

(3) Horizon 2020 should support the achievement and functioning of the European Research Area in which researchers, scientific knowledge and technology circulate freely, by strengthening cooperation between the Union and the Member States, notably through application of a coherent **and transparent** set of rules.

Or. en

Amendment 18
Göran Färm
Proposal for a regulation
Recital 4

Text proposed by the Commission

(4) The rules for the participation and dissemination should adequately reflect the recommendations of the European Parliament, as summarised in the "Report on simplifying the implementation of the Research Framework Programmes", and Council with regard to the simplification of the administrative and financial requirements of the research framework programmes. The rules should give continuity to the simplification measures already implemented under Decision No 1982/2006/EC of the European Parliament and of the Council of 18 December 2006 concerning the Seventh Framework Programme of the European Community for research, technological development and demonstration activities (2007-2013) and progress further in reducing the administrative burden for participants and the complexity of the financial provisions in order to decrease financial errors. The rules should also duly consider the concerns and recommendations from the

Amendment

(4) The rules for the participation and dissemination should adequately reflect the recommendations of the European Parliament, as summarised in the "Report on simplifying the implementation of the Research Framework Programmes", and Council with regard to the simplification of the administrative and financial requirements of the research framework programmes. The rules should give continuity to the simplification measures already implemented under Decision No 1982/2006/EC of the European Parliament and of the Council of 18 December 2006 concerning the Seventh Framework Programme of the European Community for research, technological development and demonstration activities (2007-2013) and progress further in reducing the administrative burden for participants and the complexity of the financial provisions in order to decrease financial errors. The rules should also duly consider the concerns and recommendations from the

research community resulting from the debate initiated by the Commission Communication of 29 April 2010 to the European Parliament, the Council, the European Economic and Social Committee and the Committee of the Regions "Simplifying the implementation of the research framework programmes", and the subsequent Green Paper of 9 February 2011 "From Challenges to Opportunities: Towards a Common Strategic Framework for EU Research and Innovation funding".

research community resulting from the debate initiated by the Commission Communication of 29 April 2010 to the European Parliament, the Council, the European Economic and Social Committee and the Committee of the Regions "Simplifying the implementation of the research framework programmes", and the subsequent Green Paper of 9 February 2011 "From Challenges to Opportunities: Towards a Common Strategic Framework for EU Research and Innovation funding".
In concrete terms, the new simplified rules of participation and dissemination should aim to reduce the average time to grant by 100 days as compared to the situation in 2011 as outlined in the Communication "HORIZON 2020 - The framework programme for research and innovation" (COM(2011)808 final)

Or. en

Amendment 19
Monika Hohlmeier

Proposal for a regulation
Recital 4 a (new)

Text proposed by the Commission

Amendment

(4a) From the start, rules for the participation and dissemination in Horizon 2020 should be clear and transparent and ensure to the largest possible extent the participation of SMEs. For reasons of legal certainty and clarity, rules, in principle, should remain valid throughout the whole programme period. Where rules need to be adapted, this should not be to the detriment of participants whose project has been approved under the former set of rules. All relevant instructions and guidance notes for beneficiaries and auditors should be available from the beginning of

the programme onward.

Or. en

Amendment 20
Monika Hohlmeier

Proposal for a regulation
Recital 9

Text proposed by the Commission

(9) These rules for the participation and dissemination should provide a coherent, comprehensive and transparent framework to ensure the most efficient implementation possible, taking into account the need for easy access by all participants, notably small and medium-sized enterprises, through simplified procedures. The financial assistance from the Union could be provided through different forms.

Amendment

(9) These rules for the participation and dissemination should provide a coherent, comprehensive and transparent framework to ensure the most efficient implementation possible, taking into account the need for easy access by all participants, notably small and medium-sized enterprises, through simplified procedures. ***Horizon 2020 should ensure a significant decrease in bureaucratic burden for beneficiaries. Thus, in compliance with the Financial Regulation, international accounting standards and eligibility criteria, the usual cost accounting practices of the beneficiaries should be accepted to the widest possible extent in order to reduce administrative burden.*** The financial assistance from the Union could be provided through different forms.

Or. en

Amendment 21
Monika Hohlmeier

Proposal for a regulation
Recital 12

Text proposed by the Commission

(12) It is appropriate to establish the terms and conditions for providing Union

Amendment

(12) It is appropriate to establish the terms and conditions for providing Union

funding for participants in actions under Horizon 2020. In order to reduce the complexity of the existing funding rules and have a higher flexibility in the project implementation, a simplified cost reimbursement system should be adopted with enhanced use of lump sums, flat rates and scale of unit costs. ***For simplification purposes, a single reimbursement rate should be applied for each type of action with no differentiation according to the type of participant.***

funding for participants in actions under Horizon 2020. In order to reduce the complexity of the existing funding rules and have a higher flexibility in the project implementation, a simplified cost reimbursement system should be adopted with enhanced use of lump sums, flat rates and scale of unit costs.

Or. en

Justification

A differentiated approach to various groups of beneficiaries as well as funding types in all stages of the implementation of this programme is necessary.

Amendment 22 Göran Färm

Proposal for a regulation Recital 13

Draft legislative resolution

(13) Specific challenges in the area of research and innovation should be addressed through new forms of funding such as prizes, pre-commercial procurement and public procurement of innovative solutions which require specific rules.

Amendment

(13) Specific challenges in the area of research and innovation should be addressed through new forms of funding such as prizes, pre-commercial procurement and public procurement of innovative solutions which require specific rules ***as well as an enhanced and more targeted use of innovative financial instruments. Member States and the Commission should endeavour to increase their visibility and accessibility to relevant stakeholders.***

Or. en

Amendment 23

Isabelle Durant

on behalf of the Verts/ALE Group

Proposal for a regulation

Recital 16

Text proposed by the Commission

(16) The participant Guarantee Fund set up under Regulation No 1906/2006/EC of the European Parliament and of the Council of 18 December 2006 laying down the rules for the participation of undertakings, research centres *and universities* in actions under the Seventh Framework Programme and for the dissemination of research results (2007-2013)¹⁴ and managed by the Commission has proved to be an important safeguard mechanism which mitigates the risks associated to the amounts due and not reimbursed by defaulting participants. Therefore, a new participant Guarantee Fund (the Fund) should be established. In order to ensure a more efficient management and a better coverage of participants' risk, the Fund should cover actions under the programme set up under Decision No 1982/2006/EC, under the programme set up by Council Decision of 18 December 2006 concerning the Seventh Framework Programme of the European Atomic Energy Community (Euratom) for nuclear research and training activities (2007 to 2011)¹⁵, under the programme set up by Council Decision [...] of X 2011 establishing the Framework Programme of the European Atomic Energy Community (2012-2013) as well as actions under Regulation (EU) No XX/XX [Horizon 2020] and Regulation (Euratom) No XX/XX of the Council on the Research and Training Programme of the European Atomic Energy Community (2014-2018) complementing the Horizon 2020- the Framework Programme for Research and Innovation [Euratom H2020]¹⁶. Programmes managed by entities other

Amendment

(16) The participant Guarantee Fund set up under Regulation No 1906/2006/EC of the European Parliament and of the Council of 18 December 2006 laying down the rules for the participation of undertakings, research centres, *universities and civil society organisations* in actions under the Seventh Framework Programme and for the dissemination of research results (2007-2013)¹⁴ and managed by the Commission has proved to be an important safeguard mechanism which mitigates the risks associated to the amounts due and not reimbursed by defaulting participants. Therefore, a new participant Guarantee Fund (the Fund) should be established. In order to ensure a more efficient management and a better coverage of participants' risk, the Fund should cover actions under the programme set up under Decision No 1982/2006/EC, under the programme set up by Council Decision of 18 December 2006 concerning the Seventh Framework Programme of the European Atomic Energy Community (Euratom) for nuclear research and training activities (2007 to 2011)¹⁵, under the programme set up by Council Decision [...] of X 2011 establishing the Framework Programme of the European Atomic Energy Community (2012-2013) as well as actions under Regulation (EU) No XX/XX [Horizon 2020] and Regulation (Euratom) No XX/XX of the Council on the Research and Training Programme of the European Atomic Energy Community (2014-2018) complementing the Horizon 2020- the Framework Programme for Research and Innovation [Euratom H2020]¹⁶.

than Union bodies should not be covered by the Fund.

Programmes managed by entities other than Union bodies should not be covered by the Fund.

Or. en

Amendment 24
Nils Torvalds

Proposal for a regulation
Article 1 – paragraph 3

Text proposed by the Commission

3. A funding body may establish rules which depart from those laid down in this Regulation or Regulation (EU) No XX/2012 [the Financial Regulation] if this is provided for in the basic act or, subject to the consent of the Commission, if its specific operating needs so require.

Amendment

3. A funding body may establish rules which depart from those laid down in this Regulation or Regulation (EU) No XX/2012 [the Financial Regulation] if this is provided for in the basic act or, subject to the consent of the Commission, if its specific operating needs so require, ***in which case the Commission shall duly inform the two arms of the budgetary authority.***

Or. en

Amendment 25
Isabelle Durant
on behalf of the Verts/ALE Group

Proposal for a regulation
Article 2 – paragraph 1 – point 10

Text proposed by the Commission

(10) 'legal entity' means undertakings, research centres and universities, encompassing any natural person, or any legal person created under national law, Union law or international law, which has legal personality and which may, acting in its own name, exercise rights and be subject to obligations;

Amendment

(10) 'legal entity' means undertakings, research centres and universities, encompassing any natural person, or any legal person created under national law, Union law or international law, which has legal personality and which may, acting in its own name, exercise rights and be subject to obligations; ***these include non***

profit-making and civil society organisations;

Or. en

Amendment 26
María Muñoz De Urquiza

Proposal for a regulation
Article 9 – paragraph 1 a (new)

Text proposed by the Commission

Amendment

1a. Horizon 2020 shall exclude legal entities (including any affiliated entities) whose participation, by the objectives they pursue, their place of establishment, the nature or the location of their activities, would cause the European Union to recognise as lawful or render aid or assistance in maintaining a situation created by a serious breach of international law (including international humanitarian law) where such breach has been established by a resolution of the United Nations Security Council or by a judgment or advisory opinion of the International Court of Justice.

Or. en

Amendment 27
Monika Hohlmeier

Proposal for a regulation
Article 12 – paragraph 2

Text proposed by the Commission

Amendment

2. Any proposal for research on human embryonic stem cells shall include, *as appropriate*, details of licensing and control measures that will be taken by the competent authorities of the Member States

2. Any proposal for research on human embryonic stem cells shall include details of licensing and control measures that will be taken by the competent authorities of the Member States as well as details of the

as well as details of the ethical approvals that will be provided. As regards the derivation of human embryonic stem cells, institutions, organisations and researchers shall be subject to strict licensing and control in accordance with the legal framework of the Member States involved.

ethical approvals that will be provided. As regards the derivation of human embryonic stem cells, institutions, organisations and researchers shall be subject to strict licensing and control in accordance with the legal framework of the Member States involved.

Or. en

Amendment 28
Monika Hohlmeier

Proposal for a regulation
Article 12 – paragraph 3

Text proposed by the Commission

3. A proposal which contravenes ethical principles or any applicable legislation, or which does not fulfil the conditions set out in Decision No XX/XX/EU [specific programme], the work programme or work plan or in the call for proposals *may* be excluded from the evaluation, selection and award procedures *at any time*.

Amendment

3. A proposal which contravenes ethical principles or any applicable legislation, or which does not fulfil the conditions set out in Decision No XX/XX/EU [specific programme], the work programme or work plan or in the call for proposals *shall* be excluded from the evaluation, selection and award procedures.

Or. en

Amendment 29
Monika Hohlmeier

Proposal for a regulation
Article 22 – paragraph 3

Text proposed by the Commission

3. A single reimbursement rate of the eligible costs shall be applied per action for all activities funded therein. The maximum rate shall be fixed in the work programme or work plan.

Amendment

deleted

Or. en

Justification

A differentiated approach to various groups of beneficiaries as well as funding types in all stages of the implementation of this programme is necessary.

Amendment 30

Isabelle Durant

on behalf of the Verts/ALE Group

Proposal for a regulation

Article 22 – paragraph 4

Text proposed by the Commission

4. The Horizon 2020 grant may reach a maximum of 100 % of the total eligible costs, without prejudice to the co-financing principle.

Amendment

4. The Horizon 2020 grant may reach a maximum of 100 % of the total eligible costs, without prejudice to the co-financing principle, ***for non profit-making public bodies, secondary and higher education establishments, research organisations and SMEs.***

Or. en

Amendment 31

Monika Hohlmeier

Proposal for a regulation

Article 23 – paragraph 1 a (new)

Text proposed by the Commission

Amendment

1a. In accordance with the Financial Regulation, international accounting standards and eligibility criteria, the usual cost accounting practices of the beneficiaries, shall be accepted to the widest possible extent.

Or. en

Amendment 32
Edit Herczog

Proposal for a regulation
Article 26 – title

Text proposed by the Commission

Amendment

Personnel costs *of the owners of small and medium-sized enterprises and natural persons without salary*

Personnel costs

Or. en

Amendment 33
Edit Herczog

Proposal for a regulation
Article 26 – paragraph 1

Text proposed by the Commission

Amendment

The owners of small and medium-sized enterprises who do not receive a salary and other natural persons who do not receive a salary may charge personnel costs on the basis of a scale of unit cost.

Personnel costs may be charged on the basis of a scale of unit cost.

Or. en

Justification

The option to charge personnel costs on the basis of a scale of unit cost should be applied to the whole of Horizon 2020 as a way of implementing the proposal to decrease the disparities of researchers' remuneration, realise the single market for researchers and turn brain drain into brain circulation.

Amendment 34
Edit Herczog

Proposal for a regulation
Article 27 – paragraph 2 – introductory part

Text proposed by the Commission

2. Direct eligible personnel costs may be financed on the basis of scale of unit costs determined ***according to the participant's usual cost accounting practices, provided that they*** comply with the following cumulative criteria:

Amendment

2. Direct eligible personnel costs may be financed on the basis of scale of unit costs determined ***as reference rates for different categories of researchers, updated by the Commission on a yearly basis. Rates are differentiated by countries and are obtained by applying the correction coefficients for cost of living in the country. Scales of unit costs must*** comply with the following cumulative criteria:

Or. en

Justification

The option to charge personnel costs on the basis of a scale of unit cost should be applied to the whole of Horizon 2020 as a way of implementing the proposal to decrease the disparities of researchers' remuneration, taking into account only their competences and the transnational character of the projects. Such a model would help realise the single market for researchers and turn brain drain into brain circulation. The simple model used already in FP7 for SME owners who do not receive a salary could be used as a starting point in developing such a model.

Amendment 35
Edit Herczog

Proposal for a regulation
Article 27 – paragraph 2 – point a

Text proposed by the Commission

(a) they are calculated on the basis of the total actual personnel costs recorded in the participant's general accounts which may be adjusted on the basis of budgeted or estimated elements according to the conditions defined by the Commission;

Amendment

deleted

Or. en

Amendment 36
Edit Herczog

Proposal for a regulation
Article 27 – paragraph 2 – point b

Text proposed by the Commission

(b) *they comply with* the provisions in Article 23;

Amendment

(b) the provisions in Article 23;

Or. en

Amendment 37
Edit Herczog

Proposal for a regulation
Article 27 – paragraph 2 – point c

Text proposed by the Commission

(c) *they ensure compliance with* the non-profit requirement and avoidance of double funding of costs;

Amendment

(c) the non-profit requirement and avoidance of double funding of costs;

Or. en

Amendment 38
Edit Herczog

Proposal for a regulation
Article 27 – paragraph 2 – point d

Text proposed by the Commission

(d) *they are calculated with due regard to* the provisions on productive hours in Article 25.

Amendment

(d) the provisions on productive hours in Article 25.

Or. en

Amendment 39
Edit Herczog

Proposal for a regulation
Article 37 – paragraph 2 – subparagraph 4

Text proposed by the Commission

Appropriate measures shall be taken to **seek** gender **balance** and geographical **diversity** when appointing independent experts.

Amendment

Appropriate measures shall be taken to **ensure** gender and geographical **balance to the largest extent possible** when appointing independent experts.

Or. en

Justification

Some anomalies in MS participation cannot be entirely explained by different levels of excellence and implies that there could also be a problem of lobbying during the proposals evaluation process. Regardless whether such a problem is real or not, the fact remains that researchers perceive it, so it needs to be ensured that no shadow of doubt is shed on the evaluation process. The most appropriate solution would be to ensure a proper geographical distribution of evaluators.