

24 September 2012

## Voting recommendations for Horizon 2020

on reports by Mrs. Riera Madurell, Mr. Ehler, Mrs. Carvalho, Mr. Lamberts, Mrs. Matias

### Report for a regulation establishing Horizon 2020 – Rapporteur Mrs. Riera Madurell

- **Provide an adequate budget for Horizon 2020**

In favor of AM: 1, 229, 234, 239, 375, 403

- **Flexibility will be needed to adapt Horizon 2020 priorities and ongoing projects to take account of the evolving nature of science, technology and markets**

In favor of AM: 6, 42, 281, 289, 436,

Against: 404,

- **Synergies with Structural funds / Cohesion Policy / Stairway to excellence:**

In favor of AM: 12, 13, 14, 48, 76, 232, 235, 277, 339, 343, 347, 392, 594, 595, 596, 598, 771, 772,

Against: 346, 393, 534, 535

- **Boosting business' participation in Horizon 2020 must be an explicit priority of EU policy makers.**

In favor of AM: 141, 485, 486, 488, 599, 600, 601, 628, 730, 735, 737, 930, 934, 993

Against AM: 21, 78, 89, 96, 97, 98, 102, 900, 1012, 1217

- **A stronger focus on collaborative innovation is essential**

In favor of AM: 227, 230, 250

Against AM: 88, 833

- **More focus on multi-disciplinarity**

In favour of AM: 354



- **International cooperation**

In favor of AM: 366, 685, 692, 754, 766

- **Sufficient room for open calls**

In favor of AM: 257, 261, 283, 285, 988, 989, 997, 998

Against AM: 249, 501

- **The criteria for allocating financing in Horizon 2020 should be excellence in research, impact and quality & efficiency of the implementation**

In favor of AM: 339

Against AM: 118

- **The voluntary character of the Charter for researchers must be explicitly mentioned in Horizon 2020 / researchers and innovators' careers must be supported in the EU**

In favor of AM:

Against AM: 9, 290

- **Instead of referring to the State aid rules, it would be better if the Horizon 2020 provisions were to clearly indicate which boundary conditions will apply.**

Against AM: 20

- **Open access obligations would be acceptable only if: I) the scope is limited to published versions or final manuscripts accepted for publication; II) there is no obligation to publish; III) there is no interference with commercial exploitation or protection of research results. Open access to research results should only apply on voluntary basis, respecting legitimate interests of all partners.**

In favor of AM: 302, 306, 502, 528

Against AM: 10, 46, 270, 295, 301, 377, 383 (?), 509, 510, 511, 532, 911, 978

- **The most effective way of promoting gender balance in EU R&I funding activities implies addressing the issue since the education and training phase.**

In favor of AM: 516, 525

Against AM: 43, 44, 64, 110, 111, 119, 299, 517, 523, 527, 746



- **Public Private Partnerships: “impact assessment” on competitiveness, sustainable growth and socio-economic issues / no up-front cash commitments for participants**

In favor of AM: 365, 641, 656

Against AM: 40, 53, 265, 378 638, 639, 645, 648, 650, 655

- **No restrictions on dual use technologies**

Against AM: 315, 369, 458, 548, 697, 1755

- **SME instrument / support for SMEs**

In favor of AM: 83, 146, 147, 150, 253, 350, 351, 352, 608, 616, , 619, 620, 631 (?), 731, 734, 737, 799, 805, 806, 1213, 1237, 1251, 1252, 1259, 1814, 1822

Against AM: 607, 614, 615, 617, 804

- **European Institute of Innovation and Technology - Requirements for monitoring and evaluation should strike the right balance between trust and control avoiding excessive bureaucracy. Business participation should be encouraged.**

In favor of AM: 252, 1777, 1778, 1779, 1786

- **Boards / external advice / platforms with civil society**

Against AM: 464

- **Fast Track to innovation**

In favor of AM: 636

- **Public - public partnerships - A financial commitment of participating entities either in cash or in kind should be admitted as a precondition for top-up funding through an ERA-NET instrument**

In favor of AM: 676, 677, 678, 680, 682, 683

- **General issues / Simplification issues / Coordinating issues**

In favor of AM, 360, 361, 374, 456, 460, 461

- **Attract the best researchers to Europe / Marie Curie / Industrial doctorates / research infrastructures**

In favor of AM: 902, 906, 928, 929, 930, 933, 935, 949, 959

## Report on the Rules for the participation and dissemination in Horizon 2020 – Rapporteur Mr. Ehler

- **Time to grant**

In favor of AM: 7, 45, 136, 140, 349, 364, 366, 368

Against AM: 134, 367, 766

- **Financial instruments:**

In favor of AM: 10, 152, 154

Against AM: 243

- **Simplification / balance between trust and control / Transparency**

In favor of AM: 12, 59, 62, 299, 300, 331, 332, 335, 369

Against AM: 327, 328, 329

- **Instead of referring to the State aid rules, it would be better if the Horizon 2020 provisions were to clearly indicate which boundary conditions will apply.**

In favor of AM: 11

Against AM: 149, 400

- **“Demonstration activities” should not be included in the definition of Close to Market Activities / Experimental Development but be reimbursed up equivalent to research as in FP7**

Against AM: 17, 189, 198, 228

- **Reimbursement of eligible costs: two options**

- **Reimbursement of full actual costs according to beneficiary’s usual cost accounting principles, with funding rates not lower than in FP7;**

- **Reimbursement rates for direct and indirect eligible costs: total eligible costs should be reimbursed up to 100% for research actions and up to 70% for innovation / Close to Market actions; indirect eligible costs should be calculated applying a flat rate of 30% to the total direct eligible costs.**

In favor of AM: 60, 61, 147, 399, 401, 412, 413, 415, 416, 417, 425, 426, 427, 432, 433, 437, 472, 474, 475, 476, 479, 480, 482, 483, 484, 485, 486, 487, 488, 490, 491, 493, 494, 495, 497, 498, 499, 500, 503, 513

Against AM: 53, 54, , 135, 144, 146, 406, 407, 408, 409, 410, 411, 414, 418, 419, 420, 421, 422, 423, 424, , 428, 429, 430, 431, , 434, 436, 442, 449, 450, 451, 452, 461, 462, 469, , 477, 478, 481, 489, 492, 496, 502



- **Reimbursement of management activities must be provided**  
In favor of AM: 57, 403, 454, 457, 458, 467  
Against AM: 456, 459, 460, 465
- **Eligible personnel costs**  
In favor of AM: 63, 64, 65, 504, 507, 508, 509, 512, 513, 514, 515, 517, 519, 520, 521, 527, 528, 536, 537, 538, 539, 541, 542, 543, 544, 545, 546  
Against AM: 505, 506, 510, 516, 518, 522, 523, 524, 525, 526, 529, 530, 531, 532, 533, 534, 535
- **The certification of the methodology for calculating eligible costs must not be compulsory as this would result in major administrative burden. Participants' usual accounting practices should be accepted as the basis**  
In favor of AM: 157, 550, 553, 554, 555  
Against AM: 67, 221, 471, 551, 552, 556, 557
- **The provision limiting the financial responsibility of each participant to its own debt is unclear and needs to be better specified**  
In favor of AM: 47, 377, 378  
Against AM: 376
- **For the activities under Industrial Leadership and Societal challenges, a greater involvement of evaluators from the industrial sector is desirable**  
In favour of AM: 72, 585, 586, 601  
Against AM: 577, 584, 590, 602, 603, 604, 612, 613, 614
- **The default regime for joint ownership of intellectual property (IP) should support unrestricted use by a joint owner and its affiliates of its joint IP and granting non-exclusive licences to third parties without giving notice or paying compensation to another joint owner**  
In favor of AM: 75, 76, 617, 618, 622, 624, 627, 630, 631, 632, 633,  
Against AM: 73, 74, 77, 619, 620, 621, 623, 625, 626, 627, 629, 634, 635, 636
- **Except for scientific publications, there should be no obligation to grant open access to data, knowledge or information generated as a direct result of Horizon 2020 funding**  
In favor of AM: 84, 164, 173, 234, 664, 669  
Against AM: 85, 163, 166, 167, 168, 169, 170, 171, 172, 174, 284, 290, 291, 292, 335, 360, 365, 651, 652, 654, 655, 657, 661, 662, 663, 673, 675, 676, 745

- **Protection of results, access rights, transfer and exclusive licensing**

In favor of AM: 81, 86, 200, 201, 231, 234, 638, 640, 645, 682, 697, 719, 723, 724, 725, 727, 728

Against AM: 20, 89, 93, 95, 96, 175, 204, 232, 236, 237, 238, 637, 639, 646, 671, 672, 680, 681, 683, 684, 685, 686, 687, 688, 689, 690, 691, 692, 693, 694, 695, 696, 698, 699, 700, 701, 702, 703, 704, 705, 708, 709, 714, 715, 716, 726, 729, 730, 731, 735, 736, 739, 740, 741, 742, 743, 747, 748, 749

- **Contractors engaged in pre-commercial public procurement financed by Horizon 2020 should not risk losing their IP ownership rights for reason of lack of commercialization**

In favor of AM: 755, 757

Against AM: 103, 754

- **Regarding public - public partnerships, a financial commitment of participating entities either in cash or in kind should be admitted as a precondition for top-up funding through an ERA-NET instrument**

Against AM: 106, 762

- **SME instrument / support for SMEs**

In favor of AM: 107

Against AM: 244

- **Definition of background**

In favor of AM: 181, 182, 183, 184, 185, 186, 187

Against AM: 16, 188, 191

- **Definition of Dissemination**

In favor of AM: 18, 195, 196, 197

Against AM:

### **Exploitation of results**

In favor of AM: 19, 199, 202, 222

Against AM: 203

- **Flexibility / Open calls**

In favor of AM: 272

- **The criteria for allocating financing in Horizon 2020 should be excellence in research, impact and quality & efficiency of the implementation**

In favor of AM: 316

Against AM: 274, 302, 304, 305, 306, 307, 308, 310, 311, 312, 313, 314, 315, 317, 318, 322, 324, 325

- **Public Private Partnerships: “impact assessment” on competitiveness, sustainable growth and socio-economic issues / no up-front cash commitments for participants**

In favor of AM:

Against AM: 105, 575, 744, 761

- **Fast Track to innovation**

In favor of AM: 764



### Report on the Specific Programme Implementing Horizon 2020 – Rapporteur Mrs. Carvalho

- **Coordination**

In favor of AM: 3, 17

- **A stronger focus on collaborative innovation is essential to encourage business' participation**

In favor of AM: 5

Against AM: 175, 405, 461, 598, 613

- **Synergies with capacity building in Structural funds**

In favor of AM: 9, 182, 368, 929

Against AM: 8, 58, 166, 235, 367, 437, 455, 456, 457, 657, 658, 659, 901

- **Boosting business' participation in Horizon 2020 must be an explicit priority of EU policy makers.**

In favor: 41, 56, 167, 176, 304, 305, 423

Against AM: 18, 45, 46, 48, 49, 50, 160, 290

- **SME instrument / support for SMEs**

In favor of AM: 27, 80, 84, 236, 307, 315, 318, 561, 570, 585

Against AM: 311, 314, 559

- **Financial instruments**

In favor of AM: 466, 543

- **Innovation in services**

In favor of AM: 458, 460, 978

- **Any obligation on open access would be acceptable only if: I) the scope is limited to published versions or final manuscripts accepted for publication; II) there is no obligation to publish; III) there is no interference with commercial exploitation or protection of research results. Open access to research results should only apply on voluntary basis, respecting legitimate interests of all partners.**

Against AM: 28, 153, 324, 326, 327, 331, 332, 355, 456, 457, 579, 910



- **Flexibility / sufficient room for Open calls**  
Against AM: 275
- **Fast Track to innovation**  
In favor of AM: 306
- **The voluntary character of the Charter for researchers must be explicitly mentioned in Horizon 2020**  
In favor of AM: 54
- **Avoid protectionist policies such as the “in Europe first” provision**  
Against AM: 909
- **Gender balance**  
In favor of AM: 356

## Draft Report for a Regulation establishing the European Institute of Innovation and Technology – Mr. Rapporteur Lamberts

- **Prioritization is needed in planning the work of KICs to maximize the use of resources and avoid waste of efforts. The Strategic Innovation Agenda should continue to ensure alignment between KIC priorities and the needs of industry and other stakeholders**

Against AM: 9, 10, 20, 26, 34, 39, 59, 63

- **The criteria for selecting KICs shall be only based on the principles of excellence and innovation relevance**

Against AM: 13, 25, 43, 61, 92, 94

- **Requirements for monitoring and evaluation for the EIT and its KICs should strike the right balance between trust and control; also other requirements imposed on the EIT and its KICs should avoid excessive bureaucracy, time consuming administrative procedures and other distractions from their core activities in innovation, entrepreneurship, research and education**

In favor of AM: 99, 102, 164

Against AM: 3, 14, 15, 16, 49, 50, 97, 103, 121, 129, 178

- **A stronger focus on collaborative innovation and entrepreneurship is essential to encourage business' participation**

In favor: 75, 91, 106, 113, 114

Against AM: 17

- **Protection of Intellectual Property rights**

Against AM: 31, 70

- **Any obligation on open access would be acceptable only if: I) the scope is limited to published versions or final manuscripts accepted for publication; II) there is no obligation to publish; III) there is no interference with commercial exploitation or protection of research results. ; open access to research results should only apply on voluntary basis, respecting legitimate interests of all partners.**

Against AM: 69

- **Provide adequate and sustained level of funding from EIT without other limits to total funding from EU sources other than the usual restrictions on cumulation.**

Against AM: 33, 46, 52, 53, 98, 153, 154, 162



### **Draft Report on the Strategic Innovation Agenda of the European Institute of Innovation and Technology – Rapporteur Mrs. Matias**

- **Protection of Intellectual Property rights**  
Against AM: 13
- **Role of the EIT and its KICs vis-à-vis other Union instruments and synergies with capacity building in Structural Funds**  
In favour of AM: 36, 41, 45, 72  
Against AM: 16  
?? AM: 42, 46
- **Prioritization and phasing are needed in planning the work of KICs to maximize the use of resources and avoid waste of efforts. The Strategic Innovation Agenda should continue to ensure alignment between KIC priorities and the needs of industry and other stakeholders**  
In favor of AM: 40 (?)  
Against AM: 24, 25, 96, 98, 104, 120, 121, 122, 123, 140, 141, 142, 178, 180
- **Cost of dissemination and administration**  
In favor of AM 165  
Against AM: 32, 33
- **Any obligation on open access would be acceptable only if: I) the scope is limited to published versions or final manuscripts accepted for publication; II) there is no obligation to publish; III) there is no interference with commercial exploitation or protection of research results. Open access to research results should only apply on voluntary basis, respecting legitimate interests of all partners.**  
Against AM: 144, 146, 156
- **Adequate and sustained level of funding**  
Against AM 47
- **Focus on core activities in innovation, entrepreneurship, research and education**  
Against AM: 148
- **A stronger focus on innovation and entrepreneurship is essential to encourage business' participation**  
In favor of AM: 67