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COMMISSION OF THE EUROPEAN COMMUNITIES

Brussels, 21.9.2005  
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2005/0187 (CNS)

Proposal for a

**COUNCIL DECISION**

**concerning the specific programme “People” implementing the 7<sup>th</sup> Framework Programme (2007-2013) of the European Community for research, technological development and demonstration activities**

(presented by the Commission)

## EXPLANATORY MEMORANDUM (EC TREATY)

### 1. CONTEXT OF THE PROPOSALS

The proposals for five specific programmes follow the Commission's proposal for a 7<sup>th</sup> Framework Programme (2007-2013) adopted on 6 April 2005<sup>1</sup>. A structure was presented in terms of four main specific programmes - "Cooperation", "Ideas", "People" and "Capacities" - each corresponding to a major objective of European research policy; a further specific programme is for the direct actions of the Joint Research Centre. The Commission will be presenting proposals for the "Rules for Participation and Dissemination" that apply to the 7<sup>th</sup> Framework Programme.

The policy context and objectives are those set out in the Communication "Building the ERA of knowledge for growth"<sup>2</sup>. To meet these objectives and implement in full the specific programmes will require a doubling of the budget as proposed by the Commission.

Research, technology, education and innovation are a significant way of creating jobs in a long term and sustainable manner. They are also the key to economic growth, competitiveness, health, quality of life and the environment. The research Framework Programme, alongside Community programmes in the areas of education and innovation, is aimed to progress towards the knowledge economy and society. The specific programmes of the 7<sup>th</sup> Framework Programme are designed to address, in combination with the necessary national and private efforts, major weaknesses in the level, quality and impact of European research. The dissemination and transfer of knowledge is a key added value of European research actions, and measures will be taken to increase the use of results by industry, policy makers and society.

Europe must invest more in research and a new emphasis is needed if the European Union is to progress towards the objective of investing 3% of its GDP in research by 2010. The 7<sup>th</sup> Framework Programme will contribute to this, both through direct financing but also by leveraging additional public and private investments in research.

Europe needs more researchers in order to increase and improve its research efforts. Alongside other actions, such as the European Charter for Researchers and national policy measures, the 7<sup>th</sup> Framework Programme is designed to stimulate more people to embark upon and pursue research careers, and once again attract leading research talent to Europe.

Financial support at a European level offers opportunities to increase the excellence and effectiveness of research which cannot be achieved at national level. The specific programmes of the 7<sup>th</sup> Framework Programme represent further consolidation of the European Research Area, achieving critical mass and structures in new areas of research and by new means, and further supporting the free movement of ideas, knowledge and researchers.

Throughout the implementation of the specific programmes the potential for European level actions to strengthen excellence in research will be exploited to the maximum, notably through EU wide competitions backed with rigorous and independent evaluation of proposals.

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<sup>1</sup> COM(2005) 119.

<sup>2</sup> COM(2005) 118.

This implies identifying and supporting existing excellence wherever it exists across the European Union as well as creating capacities for future research excellence.

The impact of the specific programmes will be enhanced through complementarities with other Community policies and programmes, and in particular the Structural Funds, the education programmes, and the Competitiveness and Innovation Programme.

## **2. PRIOR CONSULTATION**

The preparation of the specific programme proposals has taken account of the views expressed by the EU Institutions, in particular the European Parliament and European Council, as well as other stakeholders including researchers and users of research. This includes the ongoing discussions and inputs in relation to the proposal for the 7<sup>th</sup> Framework Programme decisions, the extensive consultations and inputs collected during the preparation of that proposal, and further work in identifying future research priorities such as that being undertaken by European Technology Platforms.

The Specific Programme proposal draws from the in-depth impact assessment undertaken for the 7<sup>th</sup> Framework Programme proposal<sup>3</sup> which demonstrated the strong and specific added value of each of the specific programme proposed. In addition, the proposals take account of the outcome of the five year assessment of the Framework Programme<sup>4</sup>.

## **3. LEGAL ASPECTS**

The proposal for the specific programmes is based on Title XVIII of the Treaty, Articles 163 to 173, and in particular Article 166(3) concerning implementation of the Framework Programme through specific programmes.

## **4. BUDGETARY IMPLEMENTATION**

The legislative financial statements attached to each proposed Decision set out the budgetary implications and the human and administrative resources.

The Commission intends to set up an executive agency which will be entrusted with certain tasks required to implement the “Cooperation”, “People” and “Capacities” Specific Programmes. This approach will also be taken for the implementation of the “Ideas” programme (see Section 7.2 below).

## **5. A COHERENT AND FLEXIBLE IMPLEMENTATION**

### **5.1. Adapting to new needs and opportunities.**

It is vital that the implementation of the specific programmes is sufficiently flexible to remain at the forefront of scientific and technological developments and respond to emerging scientific, industrial, policy or societal needs. Those actions which allow researchers

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<sup>3</sup> SEC(2005) 430.

<sup>4</sup> COM(2005) 387.

themselves to identify topics will be particularly important in this respect. For other actions, this will be achieved primarily through the work programmes which will be updated on an annual basis. This will be undertaken with the assistance of the committees of Member State representatives where it is envisaged that the committees' clear focus will be on the work programmes. Revisions may be made more rapidly in case of new priorities requiring an urgent response, in particular arising from unforeseen policy needs.

This multi-annual programming will benefit from a wide range of inputs to ensure that the activities supported maintain direct relevance to the evolving research needs of industry and EU policies. External advice will be sought, including for each of the themes within the Cooperation specific programme, with effective multi-disciplinary coverage and a balance of academic and industrial views.

For the Ideas programme, an entirely new approach will be taken whereby the preparation of an annual work programme will be entrusted to an independent scientific council as part of the establishment of an autonomous European Research Council (see Section 7.2 below).

Additional external inputs, in particular for the Cooperation programme, will be facilitated in particular from the **European Technology Platforms** established in various fields which should play a strong and dynamic role to ensure the industrial relevance. The research priorities identified in the Strategic Research Agendas defined by the platforms are well reflected in the specific programme proposals, and will provide an important input in the multiannual programming.

Other fora and groups may provide the Commission with timely advice on new priorities in particular areas, such as European Strategy Forum on Research Infrastructures (ESFRI) and platforms established to consider strategic research agendas relevant to social or environmental policy areas.

An important new opportunity that will be provided by the Framework Programme is an innovative financing mechanism, the **Risk-Sharing Finance Facility**, aimed at fostering private sector expenditure in RTD by improving access to European Investment Bank (EIB) loans for large European actions which need to combine several sources of financing, including loans. These large European actions are "Joint Technology Initiatives" and large collaborative projects funded directly by the Framework Programme within the Cooperation programme, and new research infrastructure projects under the Capacities programme. Other large European collaborative projects such as Eureka ones could also be considered, in accordance to eligibility criteria. The contribution envisaged from the specific programmes to the EIB will significantly improve the access to debt finance and thereby exercising a significant leverage effect on private investments in RTD.

## **5.2. Cross cutting issues**

Overall coherence in the implementation of the 7<sup>th</sup> Framework Programme will be ensured by the Commission, taking full account of the guaranteed autonomy and independence of the European Research Council in the Ideas programme.

The work programmes across the other specific programmes will be revised in a coordinated way to allow cross cutting issues to be fully taken into account. The committees of Member State representatives also have an important responsibility in assisting the Commission in the effective coherence and coordination of implementation across and within these specific

programmes. This implies a strong level of coordination within Member States and between representatives of different committee configurations.

Where actions to be supported have a strong relevance to different parts of the Cooperation, People and Capacities specific programmes, joint calls will be used building on the experience gained in the 6<sup>th</sup> Framework Programme. This will be particularly important for research topics that cut across the themes in the Cooperation programme, and such calls will be clearly identified in the work programme.

The following issues that cut across the Cooperation, People and Capacities specific programmes are of particular importance, and particular arrangements for a coordinated approach are foreseen:

- *International cooperation*: all of these specific programmes are open to international cooperation, and have dedicated actions in this respect. A strategic approach will be taken across the Framework Programme to promote European research excellence and competitiveness and to address specific global or regional issues where there is a mutual interest and benefit. A coherent approach across the specific programmes in line with this strategy will be ensured and the Capacities programme will have a major role in this respect.
- *Research infrastructures*: the main support to research infrastructures will be implemented in the Capacities programme, and this programme will ensure a coordinated approach with relevant research activities in the other programmes, notably the Cooperation programme.
- *Cross cutting policy research*: Arrangements for effective coordination within the Commission services will be put in place, in particular to ensure that activities continue to meet the needs of developments in EU policies. For this purpose, the multi-annual programming may draw on the help of user groups of different Commission services associated with the policies concerned, and in this context an internal structure will be created to ensure the coordination of marine science and technologies across the relevant thematic areas.
- *SME participation*: the participation of SMEs will be optimised across the specific programmes. In addition to the strengthened SME specific actions in the Capacities programme: SME research interests are included throughout the Cooperation programme and topics of particular interest to SMEs will be further identified in the work programmes and calls for proposals; the activities in the People programme have a special emphasis on the involvement of SMEs; and SMEs will also be able to participate in the Ideas programme. The simplification measures envisaged and the increased flexibility in choosing the appropriate funding scheme will benefit in particular SME participation.
- *Dissemination and knowledge transfer*: the need to foster the uptake of research results is a strong feature across the specific programmes, with a particular emphasis on transferring knowledge between countries, across disciplines and from academia to industry, including through the mobility of researchers. The involvement of potential users in helping to define priorities (in particular through the European Technology Platforms) is important in this aspect. The complementary actions under the Competitiveness and Innovation Programme will also reinforce the use of research results by addressing the barriers to innovation and strengthening innovation capabilities.

- *Science in society*: this activity in the Capacities programme will also play a role to ensure that society aspects are properly taken into account in all specific programmes, and that interactions between scientists and the wider public are deepened.

## **6. SIMPLIFICATION AND MANAGEMENT METHODS**

A significant simplification will be achieved in the implementation of the 7<sup>th</sup> Framework Programme, following the ideas presented in the Commission Working Document of 6 April 2005 and extensive dialogue with Member States and stakeholders on the basis of this document. Many of the proposed measures are to be presented in the Rules for Participation and Dissemination, notably to reduce “red tape” significantly and simplify the funding schemes and reporting requirements.

Within the specific programmes, proposed improvements include:

- Improved efficiency and consistency of implementation through the externalisation of administrative tasks to an executive agency.
- Rationalising funding schemes whereby implementation of each Specific Programme will make use of the instruments necessary to realise the objectives of the Programme.
- A clearer presentation of evaluation criteria: to be included in the Work Programmes following the principles set out in each Specific Programme.
- Clearly presented work programmes such that potential participants are well informed about the opportunities available which meet their particular needs and interests. For example, work programmes and calls will, where appropriate, highlight those topics of particular interest to SMEs or where cooperation with third countries is beneficial.
- Simplifications in other aspects, such as streamlining the approval of projects, the new funding and support schemes, and further use of databases and information tools to provide better communication.

## **7. CONTENT OF THE SPECIFIC PROGRAMMES**

### **7.1. Cooperation**

The Cooperation specific programme is designed to gain leadership in key scientific and technological areas by supporting cooperation between universities, industry, research centres and public authorities across the European Union as well as the rest of the world. Previous framework programmes demonstrate the impact of such actions in restructuring research in Europe and pooling and leveraging resources. The 7<sup>th</sup> Framework Programme will distribute these impacts more widely and the nine themes proposed correspond to the major fields of progress in knowledge and technology where excellent research must be strengthened to address European social, economic, public health, environmental and industrial challenges.

The programme represents strong elements of continuity with previous framework programmes building on the demonstrated added value of European support of this type. There are, in addition, important novelties in this specific programme which require specific consideration for the implementation:

- Responding to the need for ambitious pan-European public private partnerships to accelerate the development of major technologies, through the launch of **Joint Technology Initiatives**<sup>5</sup>. A first set of initiatives have been identified with clear objectives and deliverables in the areas of innovative medicines, nanoelectronics, embedded computing systems, hydrogen and fuel cells, aeronautics and air traffic management and global monitoring for environment and security. These will be the subject of separate proposals (eg, under Article 171 of the Treaty). Further Joint Technology Initiatives, such as in the areas of zero emission power generation and renewable energy, may be identified during the implementation of the 7<sup>th</sup> Framework Programme.
- A strengthened approach to the coordinating national research programmes. The successful **ERA -NET** scheme will be continued and implemented within the themes. Existing ERA-NETs from the 6<sup>th</sup> Framework Programme will be allowed to submit follow up proposals to deepen their cooperation or broaden the consortia to new participants, and new ERA-Nets to address new topics will be supported. The scheme will also be open to public bodies planning a research programme but which is not yet in operation. In addition, an ERA-NET plus scheme will be introduced to provide an incentive for joint calls for transnational research projects organised between a number of countries.
- Following the experience of the European and Developing Countries Clinical Trials Partnership (EDCTP) Article 169 initiative, a further four **Article 169 initiatives** have been identified with the close cooperation of Member States. Such initiatives in the fields of ambient assisted living, Baltic Sea research and metrology are listed in the Cooperation programme and an Article 169 initiative to bring together national research performing SME-related programmes is mentioned in the Capacities programme. Further initiatives may be identified during the implementation of the 7<sup>th</sup> Framework Programme.
- A more targeted approach to **international cooperation** within each theme and across themes is foreseen with specific cooperation actions to be identified in the work programmes in line with the strategic approach for international cooperation foreseen and through policy dialogues and networks with different regions of partner countries.
- A component on to allow a flexible response to **emerging needs** and **unforeseen policy needs** will be supported under each of the themes and the implementation will build on the experience of the Scientific Support for Policy and New and Emerging Science and Technology schemes introduced in the 6<sup>th</sup> Framework Programme, as well as the Future and Emerging Technology scheme in the ICT area.

## 7.2. Ideas

Europe does not perform well in terms of truly outstanding research or mastering new fast-growing areas of science. The Ideas programme will provide such a pan-European mechanism to support the truly creative scientists, engineers and scholars, whose curiosity and thirst for knowledge are most likely to make the unpredictable and spectacular discoveries that can change the course of human understanding and open up new vistas for technological progress and solving enduring social and environmental problems. Driving up the quality of basic

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<sup>5</sup> As set out in the Commission Staff Working Document, *Report on European Technology Platforms and Joint Technology Initiatives: Fostering Public-Private R&D Partnerships to Boost Europe's Industrial Competitiveness* - SEC(2005) 800, 10.6.2005.



research through European wide competitions will generate significant social and economic benefits<sup>6</sup>.

The “Ideas” programme adopts the term “*frontier research*” which reflects a new understanding of basic research. At the forefront of creating new knowledge, “frontier research” is an intrinsically risky endeavour that involves the pursuit of fundamental advances in science, technology and engineering, without regard for established disciplinary boundaries or national borders.

The programme will follow an “investigator driven” approach, allowing researchers the scope to propose their own topics. Grants will be provided for individual teams, leaving the flexibility for a team to consist of any grouping of researchers appropriate for the conduct of the projects, from one single institution or several institutions, in one country or across national borders. In all cases, scientific excellence and not administrative requirements should drive the formation of the teams. The programme will ensure differentiation from national funding actions in basic research by its strategic objectives and European scope.

The creation of a **European Research Council** (ERC) for implementing the Ideas programme represents a new departure. Two key structural components of the ERC will be established - an independent Scientific Council and a dedicated implementation structure – operating according to the principles of trust, credibility and transparency, it should provide adequate financial means and work with high efficiency, and it should guarantee a high degree of autonomy and integrity, while being consistent with the requirements for accountability.

The **Scientific Council** will consist of representatives of the European scientific community, at the highest level, acting in their personal capacity, independently of political or any other interests. Its members will be appointed by the Commission, following an independent process for their identification.

The mandate of the Scientific Council will include:

- (1) *Scientific strategy*: Establishment of the overall scientific strategy for the programme, in the light of scientific opportunities and European scientific needs. On a permanent basis, in accordance with the scientific strategy, the establishment of the work programme and necessary modifications, including calls for proposals and criteria on the basis of which proposals are to be funded, and, as may be required, the definition of specific topics or target groups (e.g. young/emerging teams).
- (2) *Monitoring and quality control*: As appropriate, from a scientific perspective, establishment of positions on implementation and management of calls for proposals, evaluation criteria, peer review processes including the selection of experts and the methods for peer review and proposal evaluation, on the basis of which the proposal to be funded will be determined; as well as any other matter affecting the achievements and impact of the Specific Programme, and the quality of the research carried out. Monitoring quality of operations and evaluation of programme implementation and achievements and recommendations for corrective or future actions.

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<sup>6</sup> *Frontier Research: the European Challenge*. High Level Expert Group Report, European Commission, May 2005.

- (3) *Communication and dissemination:* Communication with the scientific community and key stakeholders on the activities and achievements of the programme and the deliberations of the ERC. Regularly report to the Commission on its activities.

The **dedicated implementation structure** will be responsible for programme execution, as provided for in the annual work programme. It will, in particular, implement the evaluation procedures, peer review and selection process according to the principles established by the Scientific Council and will ensure the financial and scientific management of the grants. In this regard, in the first instance, the Commission intends to establish an Executive Agency to which it will delegate the execution tasks. The implementation structure will maintain continual close liaison with the Scientific Council on all aspects of programme execution. In future and subject to an independent evaluation of the efficiency of the ERC's structures and mechanisms, an alternative structure, for example under the provisions of Article 171 of the Treaty, may be established.

The European Commission will act as the guarantor of the ERC's full autonomy and integrity. This means that the Commission's responsibility for the implementation of the programme will be effected by ensuring that the ERC's implementation structure are put into place, and that the programme is executed by the ERC in line with the objectives that have been set, following the scientific orientations and the requirements of scientific excellence, as they are determined by the Scientific Council, acting independently.

The Commission will be responsible for formally adopting the work programme for the "Ideas" programme. It will exercise this responsibility in line with the approach set out above. As a general rule, the Commission will adopt the work programme as proposed by the Scientific Council. If the Commission is unable to adopt the work programme as proposed, for example because the latter does not correspond to the objectives of the programme, or does not conform to Community legislation, the Commission will be required to state its reasons publicly. This procedure is designed to ensure that the operation of the ERC according to the principles of autonomy and integrity, are fully and transparently respected.

### **7.3. People**

The People specific programme forms part of a broad and integrated strategy to strengthen, qualitatively and quantitatively, human resources in R&D in Europe. The programme will stimulate people to embark on and pursue research careers, encourage researchers to stay in Europe, and attract the best brains to Europe. There is a unique added value of European actions through harmonised instruments, stronger structuring effects and greater efficiency than bilateral arrangements between Member States.

The activities build on the long and successful experience of the Marie Curie actions in responding to researchers needs for training, mobility, and career development. While offering considerable continuity, a stronger focus is given to the following aspects:

- An **increased structuring effect**, for example through the introduction of co-funding of regional, national and international programmes in the action line "Life-long training and career development". The "co-funding"-mode would not replace the mode where individual post-doc fellowships are applied for and awarded at European level, as is currently exclusively the practice in the 6<sup>th</sup> Framework Programme. However, the individual fellowships have reached a stage of maturity in Europe. At the same time the national offers in this area remain fragmented in terms of objectives, evaluation methods

and working conditions, and are still often restricted as regards their international or European dimension. It is therefore proposed to co-fund, on the basis of open calls for proposals, a selection of those programmes corresponding to the Framework Programme objectives. Evaluation and selection will be on merit without limitations regarding the origin of the selected fellows, and applying acceptable employment and working conditions (in terms of e.g. salary, social security, mentoring, professional development).

- **Participation of industry:** while the bottom-up character of the Marie Curie actions will be preserved, a stronger orientation will be placed on training and career development for and in different sectors, in particular in the private sector. This will be achieved by an emphasis on the development of complementary skills and competences, crucial for a better understanding of research in enterprise and for the quality of their research. This will be enhanced by stimulating intersectoral experiences through active participation of industry, in all the actions and by putting in place the dedicated scheme for knowledge sharing in partnerships between the public and private sector, including in particular SMEs.
- The **international dimension** will be reinforced. Besides outgoing fellowships with a mandatory return, aimed at contributing to the life long training and career development of EU-researchers, the international co-operation through researchers from third countries is further expanded. In addition, new dimensions are introduced for collaboration with EU neighbouring and EU S&T Agreement countries. Furthermore support of “scientific diasporas” of European researchers abroad and foreign researchers within Europe will be provided.

#### 7.4. Capacities

The Capacities specific programme will enhance research and innovation capacity throughout Europe. The programme is a combination of continuation and reinforcement of actions in previous framework programmes and in addition important novelties.

A major new element is the foreseen strategic approach to supporting the construction of new research infrastructure which will complement the continued support for optimal use of existing research infrastructure. The support for construction of new infrastructure will be implemented through a two-stage approach: preparatory phase and a construction phase. Building on the work by ESFRI (The European Strategy Forum on Research Infrastructure) on the development of a European roadmap for new research infrastructure, the Commission will identify priority projects to which a possible EC support could be given under the 7<sup>th</sup> Framework Programme. For those projects, the Commission will act as a facilitator, in particular in facilitating financial engineering mechanisms for the construction phase, including facilitating access to EIB loans through the Risk Sharing Finance Facility. Annex 1 presents the ESFRI “list of opportunities”, which consists of concrete examples of new, large-scale research infrastructures, which the scientific community in Europe will need in the coming decade.

The two schemes to support research for the benefit of SMEs and SME associations will be pursued with an increased budget to respond to the growing need of SMEs to outsource research.

Regions of Knowledge actions build on the successful pilot action. The aim is to enable transnational networks of regions to make full use of their research strengths, enable them to

absorb new knowledge arising from research and to facilitate the emergence of “research-driven clusters” associating universities, research centres, enterprises and regional authorities.

An important new element is the action to unlocking the full Research Potential in the EU’s “convergence” and outermost regions. The realisation of the knowledge-based economy and society relies on strengthening the excellence of European research, but also on better using “untapped” high research potential which exists all over the EU. Actions will allow for the recruitment of researchers from other EU countries, the secondment of research and management staff, the organisation of evaluation facilities and the acquisition and development of research equipment. Such actions will complement the needs and opportunities for reinforcing the research capacities of existing and emerging centres of excellence in these regions which can be met by Structural Funds.

Science in Society represents a significant expansion of work in previous Framework Programme. It will foster better sciences, lead to better EU policies and a more engaged and informed public.

An important aim of the 7<sup>th</sup> Framework Programme is to build a strong and coherent international science and technology policy and activities in the Capacities programme will support this approach, in particular by helping to identify priorities for cooperation.

The coherent development of policies will put a greater emphasis on the co-ordination of national and regional research policies through a specific support scheme for trans-national policy cooperation initiatives by Member States and regions. This will reinforce the implementation of the open method of co-ordination to research policies and foster concerted or joint initiatives between groups of countries and regions in areas involving a strong trans-national dimension.

#### **7.5. Joint Research Centre actions**

While continuing to provide scientific and technical support to the EU policy making the JRC will further reinforce its customer-driven orientation and its strong networking with the scientific community. It will develop its activities in the specific context of growth, sustainable development and security.

The JRC actions will also respond to the call for ‘better regulation’ of the new Lisbon agenda. New challenges associated with the growing need to respond to the crises, emergencies and pressing political imperatives will be met by building up capacities and facilities in selected areas in view of providing adequate support in an EU context. An integrated approach to the provision of scientific and technical support to policies will also be a key feature of this specific programme.

### **8. BUILDING THE ERA OF KNOWLEDGE FOR GROWTH**

Achieving the necessary rapid progress towards a knowledge economy and society requires a new ambition and effectiveness in European research. All actors across the European Union - national governments, research establishments, industry – have their role to play in this endeavour.

The specific programmes to implement the 7<sup>th</sup> Framework Programme are designed to maximise the leverage and impact of European level research spending within the available budget. Key features are the focus on four objectives in the corresponding specific programmes, with activities and means of implementation designed to meet these objectives; a strong element of continuity together with major new approaches; a consistent focus on supporting existing excellence and creating the capacity for tomorrow's research excellence; a streamlined and simplified management to ensure a user-friendliness and cost effectiveness; and an inbuilt flexibility such that the Framework Programme can respond to new needs and opportunities.

**ESFRI “LIST OF OPPORTUNITIES”<sup>7</sup>**

- Facility for Antiproton and Ion Research (FAIR)
- Facility for intense secondary beams of unstable isotopes (SPIRAL II)
- European deep-sea neutrino telescope (KM3NeT)
- Extremely Large Telescope (ELT) – for optical astronomy
- Pan-European Research Infrastructure for Nano -Structures (PRINS)
- European Spallation Source (ESS) – neutron source
- European XFEL – for hard X rays
- IRUVX FELs Network – from infrared to soft X rays
- ESRF upgrade – synchrotron
- High Performance Computer for Europe (HPCEUR)
- Marine vessel for coastal research – essentially Baltic Sea
- Research Icebreaker Aurora Borealis
- European Multidisciplinary Seafloor Observatory (EMSO)
- European infrastructure for research in, and protection of, biodiversity
- Advanced infrastructure for brain and whole body imaging
- Bio-informatics infrastructure for Europe
- European network of advanced clinical research centres
- European network of bio-banks and genomic resources
- High security laboratories for emerging diseases and threats to public health
- Infrastructure for functional analysis of a whole mammalian genome
- Model testing facilities for biomedical research
- European Research Observatory for the Humanities and Social Sciences (EROHS)

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<sup>7</sup> *Towards New Research Infrastructures for Europe: the ESFRI “List of Opportunities”, March 2005, [www.cordis.lu/esfri/](http://www.cordis.lu/esfri/).*

- European Social Survey (ESS)

“Global projects”

- ITER
- International Space Station (ISS)
- International Linear Collider (ILC)
- Square Kilometer Array (SKA) – radio telescope
- International Fusion Materials Irradiation Facility (IFMIF)

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**COUNCIL DECISION**

**concerning the specific programme “People” implementing the 7<sup>th</sup> Framework Programme (2007-2013) of the European Community for research, technological development and demonstration activities**

**(Text with EEA relevance)**

THE COUNCIL OF THE EUROPEAN UNION,

Having regard to the Treaty establishing the European Community, and in particular Article 166 thereof,

Having regard to the proposal from the Commission<sup>8</sup>,

Having regard to the opinion of the European Parliament<sup>9</sup>,

Having regard to the opinion of the European Economic and Social Committee<sup>10</sup>,

Whereas:

- (1) In accordance with Article 166(3) of the Treaty, Decision No.... /EC of the European Parliament and the Council concerning the 7<sup>th</sup> Framework Programme of the European Community for research, technological development and demonstration activities, (2007-2013) (hereinafter referred to as ‘the Framework Programme’) is to be implemented through Specific Programmes that define detailed rules for their implementation, fix their duration and provide for the means deemed necessary.
- (2) The Framework Programme is structured in four types of activities: trans-national cooperation on policy-defined themes (“Cooperation”), investigator-driven research based on the initiative of the research community (“Ideas”), support of training and career development of researchers (“People”), and support of research capacities (“Capacities”). Activities under “People” as regards indirect actions should be implemented by this specific programme.
- (3) The rules for the participation of undertakings, research centres and universities and for the dissemination of research results, for the framework programme (hereinafter referred to as ‘the rules for participation and dissemination’) should apply to this programme.

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<sup>8</sup> OJ C [...], [...], p [...].

<sup>9</sup> OJ C [...], [...], p [...].

<sup>10</sup> OJ C [...], [...], p [...].



- (4) The Framework Programme should complement the activities carried out in the Member States as well as other Community actions that are necessary for the overall strategic effort for the implementation of the Lisbon objectives, alongside in particular with those on structural funds, agriculture, education, training, competitiveness and innovation, industry, health, consumer protection, employment, energy, transport and environment.
- (5) Innovation and SME-related activities supported under this Framework Programme should be complementary to those undertaken under the framework programme for Competitiveness and Innovation.
- (6) Implementation of the Framework Programme may give rise to supplementary programmes involving the participation of certain Member States only, the participation of the Community in programmes undertaken by several Member States, or the setting up of joint undertakings or other arrangements within the meaning of Articles 168, 169 and 171 of the Treaty.
- (7) The international dimension is a fundamental component of human resources in research and development in Europe. As provided for under Article 170 of the Treaty, this specific programme is open to the participation of countries having concluded the necessary agreements to this effect, and is also open on the project level, and on the basis of mutual benefit, to the participation of entities from third countries and of international organisations for scientific cooperation. Moreover, all actions, as well as dedicated actions in this specific programme are open to participation of individual researchers from third countries.
- (8) Research activities carried out within this programme should respect fundamental ethical principles, including those which are reflected in the Charter of Fundamental Rights of the European Union.
- (9) The Framework Programme should contribute towards promoting sustainable development.
- (10) Sound financial management of the Framework Programme and its implementation should be ensured in the most effective and user-friendly manner possible, as well as ease of access for all participants, in compliance with Council Regulation (EC, Euratom) No 1605/2002 of 25 June 2002 on the Financial Regulation applicable to the general budget of the European Communities, Commission Regulation (EC, Euratom) No 2342/2002 of 23 December 2002 laying down detailed rules for implementation of the Financial Regulation and any future amendments.
- (11) Appropriate measures should also be taken to prevent irregularities and fraud and the necessary steps should be taken to recover funds lost, wrongly paid or incorrectly used in accordance with Council Regulation (EC, Euratom) No 1605/2002 of 25 June 2002 on the Financial Regulation applicable to the general budget of the European Communities, Commission Regulation (EC, Euratom) No 2342/2002 of 23 December 2002 laying down detailed rules for implementation of the Financial Regulation and any future amendments. Council Regulations (EC, Euratom) No 2988/95 of 18

December 1995 on the protection of the European Communities financial interests<sup>11</sup>, (Euratom, EC) No 2185/96 of 11 November 1996 concerning on-the-spot checks and inspections carried out by the Commission in order to protect the European Communities' financial interests against fraud and other irregularities<sup>12</sup> and Regulation (EC) No 1074/1999 of the European Parliament and of the Council concerning investigations conducted by the European Anti-Fraud Office (OLAF)<sup>13</sup>.

- (12) The measures necessary for the implementation of this Decision should be adopted in accordance with Council Decision 1999/468/EC of 28 June 1999 laying down the procedures for the exercise of implementing powers conferred on the Commission<sup>14</sup>.
- (13) In the implementation of this programme adequate attention needs to be paid to gender mainstreaming, as well as to, inter alia, the working conditions, transparency of recruitment processes, and career development as regards the researchers recruited on projects and programmes funded under the actions of this programme, for which the Commission Recommendation of 11 March 2005 on the European Charter for Researchers and on a Code of Conduct for the Recruitment of Researchers<sup>15</sup> offers a reference framework.
- (14) This programme is in conformity with and underpins the further development and implementation of the integrated strategy on human resources in research and development in Europe on the basis of the "Mobility Strategy for the ERA"<sup>16</sup> and the "Researchers in the ERA: one profession, multiple careers"<sup>17</sup>, as well as takes into account the Council conclusions on human resources in R&D of 18 April 2005<sup>18</sup>.

HAS ADOPTED THIS DECISION:

#### *Article 1*

The Specific Programme "People" for Community activities in the area of research and technological development, including demonstration activities, hereinafter the "Specific Programme" is hereby adopted for the period from 1 January 2007 to 31 December 2013.

#### *Article 2*

The Specific Programme shall support the activities for "People", strengthening, quantitatively and qualitatively, the human potential in research and technology in Europe. The activities supporting training and career development of researchers, referred to as "Marie

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<sup>11</sup> OJ L 312, 23.12.1995, p. 1.

<sup>12</sup> OJ L 292, 15.11.1996, p. 2.

<sup>13</sup> OJ L 136, 31.5.1999, p. 1.

<sup>14</sup> OJ L 184, 17.7.1999, p. 23.

<sup>15</sup> C(2005) 576.

<sup>16</sup> Communication from the Commission « A Mobility Strategy for the European Research Area » - COM(2001) 331, 20.6.2001 and Council Resolution 2001/C367/01.

<sup>17</sup> Communication from the Commission "Researchers in the European Research Area: one profession, multiple careers" - COM(2003) 436, 18.7.2003 - and Council Resolution of 10.11.2003 - OJ C 282, 25.11.2003.

<sup>18</sup> 7723/05 Council of the European Union.

Curie Actions”, will be reinforced with a better focus on the key aspects of skills and career development and strengthened links with national systems.

The objectives and the broad lines of those activities are set out in Annex.

### *Article 3*

The amount deemed necessary for the execution of the specific programme shall be EUR 7 129 million, of which less than 6% shall be for the Commission’s administrative expenditure.

### *Article 4*

1. All research activities carried out under the Specific Programme shall be carried out in compliance with fundamental ethical principles.
2. The following fields of research shall not be financed under this programme:
  - research activity aiming at human cloning for reproductive purposes,
  - research activity intended to modify the genetic heritage of human beings which could make such changes heritable<sup>19</sup>,
  - research activities intended to create human embryos solely for the purpose of research or for the purpose of stem cell procurement, including by means of somatic cell nuclear transfer.
3. The following research shall not be financed under this programme:
  - research activities that are prohibited in all Member States
  - research activities to be carried out in a Member State where such research is prohibited.

### *Article 5*

1. The specific programme shall be implemented by means of the funding schemes established in Annex III to the 7<sup>th</sup> Framework Programme.
2. The rules for participation and dissemination shall apply to this specific programme.

### *Article 6*

1. The Commission shall draw up a work programme for the implementation of the specific programme, setting out in greater detail the objectives and scientific and

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<sup>19</sup> Research relating to cancer treatment of the gonads can be financed.

technological priorities set out in Annex, the funding scheme to be used for the topic on which proposals are invited, and the timetable for implementation.

2. The work programme shall take account of relevant research activities carried out by the Member States, associated countries and European and international organisations. It shall be updated where appropriate.
3. The work programme will specify the criteria on which proposals for indirect actions under the funding schemes shall be evaluated and projects selected. The criteria will be those assessing qualitative aspects of the proposers (researchers/organisations) and their potential for further progression, including where appropriate their implementing capacity; the quality of the proposed activity in scientific training and/or transfer of knowledge terms; the Community added value and the structuring effect of the proposed activity in terms of contribution to the objectives of the specific programme and Work Programme. These criteria and any weightings and thresholds may be further specified or complemented in the work programme.
4. The work programme may identify:
  - (a) organisations that receive subscriptions in the form of a membership fee;
  - (b) support actions for the activities of specific legal entities.

#### *Article 7*

1. The Commission shall be responsible for the implementation of the specific programme.
2. The procedure laid down in Article 8(2) shall apply for the adoption of the work programme referred to in Article 6(1).
3. The procedure laid down in Article 8(3) shall apply for the adoption of RTD actions involving the use of human embryos and human embryonic stem cells.

#### *Article 8*

1. The Commission shall be assisted by a Committee.
2. Where reference is made to this paragraph, the management procedure laid down in Article 4 of Decision 1999/468/EC shall apply, in compliance with Article 7(3) thereof.
3. Where reference is made to this paragraph, Articles 5 and 7 of Decision 1999/468/EC shall apply.
4. The period provided for in Article 4(3) of Decision 1999/468/EC shall be two months.

5. The Commission shall regularly inform the Committee of the overall progress of the implementation of the Specific Programme, and shall provide it with information about all RTD actions funded under this programme.

This Decision is addressed to the Member States.

Done at Brussels,

*For the Council  
The President*

## ANNEX

### **SCIENTIFIC AND TECHNOLOGICAL OBJECTIVES, BROAD LINES OF THE THEMES AND ACTIVITIES**

#### **Introduction**

One of the main competitive edges in science and technology is the quantity and quality of its human resources. As a prerequisite for increasing Europe's capacity and performance in research and technological development and for consolidating and further developing the European Research Area, the overall strategic aim of this programme is to make Europe more attractive to researchers. This shall be done by pursuing a considerable structuring effect throughout Europe on the organisation, performance and quality of research training, on the active career development of researchers, on knowledge-sharing through researchers between sectors and research organisations, and on strong participation by women in research and development.

The programme will be implemented by systematic investments in people, mainly through a coherent set of "Marie Curie Actions", addressing researchers in terms of their skills and competence development at all stages of their careers, from initial research training to career development and life-long training. Mobility, both trans-national and intersectoral, recognition of experiences acquired in different sectors and countries, and adequate working conditions are key elements throughout the "Marie Curie Actions".

The "Marie Curie Actions" are open to all domains of research and technological development addressed under the Treaty. Research fields are chosen freely by the applicants. Nevertheless the possibility is retained to target certain activities under the programme, for example regarding scientific disciplines and technological areas, participating regions, types of research organisations and researcher population, in order to respond to the evolution of Europe's requirements in the area of research training, mobility, career development and knowledge-sharing. This includes the possibility for joint calls with other parts of the Framework Programme.

A strong participation by enterprises, including SMEs, is considered a crucial added value for this programme. The enhancement of industry-academia cooperation in terms of research training, career development and knowledge-sharing is encouraged throughout the "Marie Curie Actions", while a dedicated action is addressing industry-academia pathways and partnerships.

The international dimension, as a fundamental component of human resources in research and development in Europe, will be addressed in terms of career development, as well as of strengthening and enriching international cooperation through researchers and attracting research talent to Europe. The international dimension will be incorporated throughout the "Marie Curie Actions" and in addition will be subject to self-standing actions.

Due account will be taken of the principles of sustainable development and gender equality. The programme aims to ensure gender mainstreaming by encouraging equal opportunities in all "Marie Curie Actions" and by benchmarking gender participation (a target of at least 40% participation by women). In addition, the actions will be designed to ensure that researchers can achieve an appropriate work/life balance and to contribute to facilitate resuming a research career after a break. Furthermore, considerations of the ethical, social, legal and

wider cultural aspects of the research to be undertaken and its potential applications, as well as socio-economic impacts of scientific and technological development and foresight, will be addressed under this specific programme where relevant.

In order to fully exploit Europe's potential for becoming more attractive to researchers, the "Marie Curie Actions" will create concrete synergies with other actions both within the framework of the Community research policy, as well as within actions under other Community policies, e.g. on education, cohesion and employment. Such synergies will also be sought with actions at national and international level.

### **Ethical aspects**

During the implementation of this specific programme and in the research activities arising from it, fundamental ethical principles are to be respected. These include, *inter alia*, the principles reflected in the Charter of fundamental Rights of the EU, including the following: protection of human dignity and human life, protection of personal data and privacy, as well as animals and the environment in accordance with Community law and the latest versions of relevant international conventions, guidelines and codes of conduct, e.g. the Helsinki Declaration, the Convention of the Council of Europe on Human Rights and Biomedicine signed in Oviedo on 4 April 1997 and its Additional Protocols, the UN Convention on the Rights of the Child, the Universal Declaration on the human genome and human rights adopted by UNESCO, UN Biological and Toxin Weapons Convention (BTWC), International Treaty on Plant Genetic Resources for Food and Agriculture, and the relevant World Health Organisation (WHO) resolutions.

Account will also be taken of the Opinions of the European Group of Advisers on the Ethical Implications of Biotechnology (1991-1997) and the Opinions of the European Group on Ethics in Science and New Technologies (as from 1998).

In compliance with the principle of subsidiarity and the diversity of approaches existing in Europe, participants in research projects must conform to current legislation, regulations and ethical rules in the countries where the research will be carried out. In any case, national provisions apply and no research forbidden in any given Member State or other country will be supported by Community funding to be carried out in that Member State or country.

Where appropriate, those carrying out research projects must seek the approval of the relevant national or local ethics committees prior to the start of the RTD activities. An ethical review will also be implemented systematically by the Commission for proposals dealing with ethically sensitive issues or where ethical aspects have not been adequately addressed. In specific cases an ethical review may take place during the implementation of a project.

In accordance with Article 4(3) of this Decision no funding will be granted for research activities that are prohibited in all the Member States.

The Protocol on protection and welfare of animals annexed to the Treaty requires that the Community pays full regard to the welfare requirements of animals in formulating and implementing Community policies including research. Council Directive 86/609/EEC on the protection of animals used for experimental and other scientific purposes requires that all experiments be designed to avoid distress and unnecessary pain and suffering to the experimental animals; use the minimum number of animals; involve animals with the lowest degree of neurophysiological sensitivity; and cause the least pain, suffering, distress or lasting

harm. Altering the genetic heritage of animals and cloning of animals may be considered only if the aims are ethically justified and the conditions are such that the animals' welfare is guaranteed and the principles of biodiversity are respected.

During the implementation of this programme, scientific advances and national and international provisions will be regularly monitored by the Commission so as to take account of any developments.

Research on ethics related to scientific and technological developments will be carried out in the "Science in Society" part of the "Capacities" Specific Programme.

### **Activities**

The following "Marie Curie Actions" will be supported:

#### **- Initial training of researchers**

This action supports the initial training of researchers, typically directed at the first four years of researchers' careers, plus up to one additional year if necessary for the completion of the initial training. Through a trans-national networking mechanism, aimed at structuring a substantial share of the high-quality initial research training capacity throughout Member States and associated countries in both public and private sectors, the action aims to improve researchers' career perspectives in both sectors, thereby also enhancing the attraction of young researchers to research careers.

The action will be implemented through support to competitively selected networks of complementary organisations from different countries engaged in research training. The networks will be built on a joint research training programme, responding to well identified training needs in defined scientific or technological areas, with appropriate references to interdisciplinary and newly emerging supra-disciplinary fields. These training programmes will address in particular the development and broadening of the research competences of the early stage researchers. Training will be primarily focused on scientific and technological knowledge through research on individual projects, complemented by training modules addressing other relevant skills and competences, e.g. in the field of management and financing of research projects and programmes, intellectual property rights and other exploitation methods of research results, entrepreneurship, ethical aspects, communication and societal outreach.

The joint research training programme should be coherent in terms of quality standards, with due provision for supervision and mentoring arrangements. The joint training programme shall exploit complementary competences of the participants in the network, including from enterprises, as well as other synergies. It shall require the mutual recognition of the quality of the training and, if possible, of diplomas and other certificates awarded.

Direct or indirect involvement of organisations from different sectors is considered essential in this action, including (lead-) participation by private enterprises in appropriate fields. A single research organisation or twinning participations are eligible under this action, if it is clearly demonstrated that the necessary elements of the research training programme are effectively addressed in cooperation with a wider set of partners, without these being formally part of the network.



Community support under this action would comprise:

- the recruitment of early-stage researchers to be trained;
- the possibility for setting up academic chairs or equivalent positions in enterprises for experienced researchers, with a view to transferring new knowledge and strengthening supervision;
- the organisation of short training events (conferences, summer schools and specialised training courses), open to both trainees of the network and to researchers from outside the network.

### **- Life-long training and career development**

This action targets experienced researchers at different stages of their careers, by enhancing their individual competence diversification in terms of acquisition of multi- or interdisciplinary skills or the undertaking of inter-sectoral experiences. The aim is to support researchers in attaining and/or strengthening a leading independent position, e.g. principal investigator, professor or other senior position in education or enterprise. It will also assist researchers to resume a career in research after a break or to (re)integrate researchers into a research career in Member States and associated countries, including in their country of origin, after a mobility experience.

Researchers addressed under this action should have at least four years of full-time research experience; as the action is directed at life-long training and career development, it is however expected that the researchers will typically have a more senior profile in terms of experience.

This action will be implemented through:

- i) support for individual trans-national intra-European fellowships awarded directly at Community level, to the best or most promising researchers from Member States and associated countries, based on an application made by the researchers in conjunction with the host organisations. Community-funded fellowships may include a reintegration module in addition to the outgoing trans-national phase;
- ii) co-funding of regional, national or international programmes in the field of research training and career development, targeting a competitive selection of existing or new regional, national and international funding programmes that focus on the objectives set for this action, based on individual-driven mobility. These programmes are to apply an open, merit-based competition for the applying researchers, founded on international peer-review, without limitations regarding their origin and destination. These programmes are expected to offer adequate working conditions for the final beneficiaries.

Applicants for the co-funding modality would be key actors in capacity building of human resources in research on their respective territories. They would typically be organisations falling in one of the following categories:

- Official public bodies responsible for funding and managing fellowship programmes, e.g. ministries, state committees for research, research academies or agencies;

- Other public or private bodies, including large research organisations, that finance and manage fellowship programmes either with an official mandate or recognised by public authorities, such as agencies established by governments under private law with a public service mission, charities, etc.;
- Bodies at international level that run comparable schemes at European level as part of their mission.

For the co-funding modality, the Community will primarily contribute to the financing of fellowships complying with the requirements and aims of this action, notably in terms of trans-national mobility or reintegration in the country of origin after a period spent in a third country.

Both implementation modes will initially be run in parallel. In the course of the Framework Programme an impact assessment of the two modes will determine the implementation modalities for the remainder of the programme.

### **- Industry-academia partnerships and pathways**

This action seeks to open and foster dynamic pathways between public research organisations and private commercial enterprises, including in particular SMEs, based on longer term co-operation programmes with a high potential for increasing knowledge-sharing and mutual understanding of the different cultural settings and skill requirements of both sectors.

The action will be implemented in a flexible way through co-operation programmes between organisations from both sectors from at least two different Member States or associated States, with support for human resources interactions within that framework. Community support will take one or more of the following forms:

- staff secondments between both sectors within the partnership, with a view of reinforcing the intersectoral cooperation;
- temporary hosting in both sectors of experienced researchers recruited from outside the partnership;
- organisation of workshops and conferences enhancing the inter-sectoral experience and knowledge exchange, in order to reach a larger number of staff members from both sectors;
- as an SME specific measure a contribution to small equipment related to their participation in the co-operation.

### **- The international dimension**

Recognising the international dimension as a fundamental component of human resources in R&D in Europe, this dimension is addressed through dedicated actions both in terms of career development of European researchers and in terms of strengthening international co-operation through researchers.

The career development of researchers from Member States and associated countries will be supported through:

i) outgoing international fellowships, with mandatory return, for experienced researchers within the framework of life-long training and competence diversification, to acquire new skills and knowledge;

ii) return and international reintegration grants for experienced researchers after an international experience. Under this action the networking of researchers from Member States and associated countries abroad will also be supported with a view to keep them actively informed about and involved in developments in the European Research Area.

The international co-operation through researchers will be supported through:

i) incoming international fellowships in order to attract highly qualified third-country researchers to Member States and associated countries, for knowledge enhancement and to build up high-level connections. Researchers from developing countries or from countries with emerging economies may benefit from support for a return phase. Networking of third-country researchers in Member States and associated countries, with a view to structuring and developing their contacts with their regions of origin, will also be supported;

ii) partnerships between several research organisations in Europe and one or more organisations in:

- countries covered by the European Neighbourhood Policy
- countries with which the EU has an S&T Agreement.

On the basis of joint programmes Community support will be provided for short exchanges of early-stage and experienced researchers, for the organisation of mutually beneficial conferences and other events, as well as for the development of a systematic exchange of good practices with a direct bearing on issues regarding human resources in research and development.

#### **- Specific actions**

In support of the creation of a genuine European labour market for researchers, a coherent set of accompanying actions is to be implemented, with a view to removing obstacles to mobility and to enhancing the career perspectives of researchers in Europe. These actions will aim, in particular, at raising stakeholders and general public awareness, including through “Marie Curie” awards, at stimulating and supporting action at Member State level and at complementing Community actions.

## LEGISLATIVE FINANCIAL STATEMENT

### 1. NAME OF THE PROPOSAL:

Proposal for a COUNCIL DECISION adopting a specific programme for research, technological development and demonstration activities: "People" (2007 to 2013)

### 2. ABM / ABB FRAMEWORK

RESEARCH

### 3. BUDGET LINES

#### 3.1. Budget lines (operational lines and related technical and administrative assistance lines) including headings:

*08 10 01 02 Human resources (final budgetary nomenclature for FP7 will be established in due course)*

#### 3.2. Duration of the action and of the financial impact:

2007-2013 subject to the approval of new financial perspectives framework

#### 3.3. Budgetary characteristics:

| Budget line            | Type of expenditure |                        | New | EFTA contribution | Contributions from applicant countries | Heading in financial perspective |
|------------------------|---------------------|------------------------|-----|-------------------|--|----------------------------------|
| 02, 06, 08, 09, and 11 | Non-comp            | Diff <sup>20/</sup>    | YES | YES               | YES                                    | No [1a...]                       |
| XX.01                  | Non-comp            | Non-diff <sup>21</sup> | YES | NO                | NO                                     | No [1a...]                       |
| XX.01.05               | Non-comp            | Non-diff               | YES | YES               | YES                                    | No [1a...]                       |

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<sup>20</sup> Differentiated appropriations.

<sup>21</sup> Non-differentiated appropriations here after referred to as NDA.

## 4. SUMMARY OF RESOURCES

### 4.1. Financial Resources

#### 4.1.1. Summary of commitment appropriations (CA) and payment appropriations (PA)<sup>22</sup>

EUR million (to 3 decimal places)

| Expenditure type  | Secti<br>on<br>no. |       | 2007      | 2008      | 2009      | 2010       | 2011       | 2012       | 2013                     | Total      |
|---|--------------------|-------|-----------|-----------|-----------|------------|------------|------------|--------------------------|------------|
| <b>Operational expenditure<sup>23</sup></b>   |                    |       |           |           |           |            |            |            |                          |            |
| Commitment Appropriations (CA)  | 8.1                | a     | 4.955,289 | 6.450,321 | 7.929,201 | 9.553,215  | 11.203,503 | 12.811,940 | 14.568,946               | 67.472,416 |
| Payment Appropriations (PA)   |                    | b     | 1.982,116 | 4.066,715 | 6.097,835 | 7.985,639  | 9.578,238  | 11.189,390 | 26.572,482 <sup>24</sup> | 67.472,416 |
| <b>Administrative expenditure within reference amount<sup>25</sup></b>  |                    |       |           |           |           |            |            |            |                          |            |
| Technical & administrative assistance (NDA)   | 8.2.4              | C     | 706,648   | 720,781   | 735,196   | 749,900    | 764,898    | 780,196    | 795,800                  | 5.253,418  |
| <b>TOTAL REFERENCE AMOUNT</b>   |                    |       |           |           |           |            |            |            |                          |            |
| <b>Commitment Appropriations</b>  |                    | a + c | 5.661,937 | 7.171,102 | 8.664,398 | 10.303,115 | 11.968,401 | 13.592,136 | 15.364,746               | 72.725,834 |
| <b>Payment Appropriations</b>   |                    | b + c | 2.688,764 | 4.787,496 | 6.833,031 | 8.735,539  | 10.343,136 | 11.969,586 | 27.368,282 <sup>26</sup> | 72.725,834 |
| <b>Administrative expenditure <u>not</u> included in reference amount<sup>27</sup></b>                        |                    |       |           |           |           |            |            |            |                          |            |
| Human resources and associated expenditure (NDA)  | 8.2.5 d            |       | 11,633    | 11,866    | 12,103    | 12,345     | 12,592     | 12,844     | 13,101                   | 86,483     |
| Administrative costs, other than human resources and associated costs, not included in reference amount (NDA) | 8.2.6 e            |       | 0,807     | 0,824     | 0,840     | 0,857      | 0,874      | 0,891      | 0,909                    | 6,002      |

<sup>22</sup> These figures refer to the expenditure for the entire EC Framework Programme - see COM(2005) 119.

<sup>23</sup> Expenditure that does not fall under Chapter xx 01 of the Title xx concerned.

<sup>24</sup> Payment appropriations refers to 2013 and following years.

<sup>25</sup> Expenditure within article xx 01 05 of Title xx.

<sup>26</sup> Payment appropriations refers to 2013 and following years.

<sup>27</sup> Expenditure within chapter xx 01 other than articles xx 01 05.

### Total indicative financial cost of intervention

|   |                 |           |           |           |            |            |            |            |            |
|---|-----------------|-----------|-----------|-----------|------------|------------|------------|------------|------------|
| <b>TOTAL CA including cost of Human Resources</b> | a+c<br>+d<br>+e | 5.674,377 | 7.183,791 | 8.677,340 | 10.316,316 | 11.981,867 | 13.605,871 | 15.378,756 | 72.818,319 |
| <b>TOTAL PA including cost of Human Resources</b> | b+c<br>+d<br>+e | 2.701,204 | 4.800,186 | 6.845,974 | 8.748,741  | 10.356,602 | 11.983,321 | 27.382,292 | 72.818,319 |

### Co-financing details

If the proposal involves co-financing by Member States, or other bodies (please specify which), an estimate of the level of this co-financing should be indicated in the table below (additional lines may be added if different bodies are foreseen for the provision of the co-financing):

*EUR million (to 3 decimal places)*

| Co-financing body               |                   | Year n | n + 1 | n + 2 | n + 3 | n + 4 | n + 5 and later | Total |
|---------------------------------|-------------------|--------|-------|-------|-------|-------|-----------------|-------|
|                                 | f                 |        |       |       |       |       |                 |       |
| TOTAL CA including co-financing | a+c<br>+d+<br>e+f |        |       |       |       |       |                 |       |

#### 4.1.2. Compatibility with Financial Programming

Proposal is compatible with next financial programming (Commission's February 2004 Communication on the financial perspectives 2007-2013 COM (2004) 101).

Proposal will entail reprogramming of the relevant heading in the financial perspective.

Proposal may require application of the provisions of the Interinstitutional Agreement<sup>28</sup> (i.e. flexibility instrument or revision of the financial perspective).

#### 4.1.3. Financial impact on Revenue

Proposal has no financial implications on revenue

Proposal has financial impact – the effect on revenue is as follows:

Certain Associated States may contribute to the funding of the framework programmes.

<sup>28</sup> See points 19 and 24 of the Interinstitutional agreement.

In accordance with Article 161 of the Financial Regulation, the Joint Research Centre may benefit from revenue from various types of competitive activities and from other services provided for outside bodies.

In accordance with Article 18 of the Financial Regulation, certain revenue may be used to finance specific items.

EUR million (to one decimal place)

| Budget line | Revenue                             | Prior to action<br>[Year n-1] | Situation following action |       |       |       |       |       |  |
|-------------|-------------------------------------|-------------------------------|----------------------------|-------|-------|-------|-------|-------|--|
|             |                                     |                               | [Year n]                   | [n+1] | [n+2] | [n+3] | [n+4] | [n+5] |  |
|             | <i>a) Revenue in absolute terms</i> |                               |                            |       |       |       |       |       |  |
|             | <i>b) Change in revenue</i>         | $\Delta$                      |                            |       |       |       |       |       |  |

**4.2. Human Resources FTE (including officials, temporary and external staff) – see detail under point 8.2.1.**

| Annual requirements                           | 2007  | 2008  | 2009  | 2010  | 2011  | 2012  | 2013  |
|---|-------|-------|-------|-------|-------|-------|-------|
| Total number of human resources <sup>29</sup> | 1.848 | 1.848 | 1.848 | 1.848 | 1.848 | 1.848 | 1.848 |

**5. CHARACTERISTICS AND OBJECTIVES**

**5.1. Need to be met in the short or long term**

Europe needs to become more attractive to researchers, in order to increase Europe's capacity and performance in research and technological development and to consolidate and further develop the European Research Area. Against the background of growing competition at world level, the development of an open and competitive European labour market for researchers with diversified, attractive career prospects is needed.

**5.2. Value-added of Community involvement and coherence of the proposal with other financial instruments and possible synergy**

The value added of the support provided in this Specific Programme is the promotion of mobility, both trans-national and intersectoral, the structuring effect throughout the EU on the organisation, performance and quality of research training, on the active career

<sup>29</sup> Figures indicated in the table refer only to the staff financed by the establishment plan for all indirect actions under the responsibility of DGs RTD, INFSO, TREN, ENTR and FISH. Therefore these figures do not comprise the posts of the establishment plan from the operating budget and the posts from the JRC's establishment plan - see documents COM(2005) 439 & 445.

development of researchers, and on knowledge sharing through researchers between sectors and research organisations, and on a strong participation of women.

### **5.3. Objectives, expected results and related indicators of the proposal in the context of the ABM framework**

The overall objective is the strengthening, quantitatively and qualitatively, of the human potential in research and technological development in Europe, by stimulating people to enter into the researcher's profession, encouraging European researchers to stay in Europe, and attracting researchers from the entire world, making Europe more attractive to the best researchers. The objectives include the sharing of knowledge through researchers between countries, sectors, organisations and disciplines, as well as a strong participation of women in research and technological development. The objectives will be pursued by systematic investments in people, mainly through a coherent set of "Marie Curie Actions", addressing researchers in terms of their skills and competence development at all stages of their careers, from initial research training to their career development and life long training. Mobility, both in its trans-national and intersectoral dimension, recognition of experiences acquired in different sectors and countries, and adequate working conditions are key elements throughout the "Marie Curie Actions".

The more detailed objectives of each action are set out in Annex I to the legislative proposal.

**Performance indicators** will be developed at three levels:

- Quantitative and qualitative indicators to show the level of compliance with regard to human resources and career development R&D, as well as with regard to achieving structuring impact in these domains.
- Management indicators to monitor performance internally and support senior management decision making. These could include level of budget execution, time to contract and time to payment.
- Outcome (impact) indicators to assess the overall effectiveness against high level objectives. These could include assessment at the aggregate Framework Programme level (e.g. impact on the achievement of the Lisbon, Goeteborg, Barcelona and other objectives) and assessment at the SP level (e.g. contribution made to the EU S&T and economic performance).

### **5.4. Method of Implementation (indicative)**

Show below the method(s) chosen for the implementation of the action.

Centralised Management

Directly by the Commission

Indirectly by delegation to:

Executive Agencies

Bodies set up by the Communities as referred to in art. 185 of the Financial Regulation

National public-sector bodies/bodies with public-service mission

*Shared or decentralised management*



- With Member states
- With Third countries
- ***Joint management with international organisations (please specify)***

Relevant comments:

The commission proposes a centralised management of this programme, both directly by the Commission and indirectly by delegation to an Executive Agency.

For the part of the action “Life-long training and career development” implemented through the co-funding modality for regional, national or international programmes in the field of research training and career development, for policy reasons the Commission will retain in full the implementation of the action. The Commission shall also retain direct management of some specific actions.

Much of the other actions is characterised by activities which generate a large number of small operations but where the link between the detailed follow-up of the actual projects funded and the development of S&T policy is not direct or does not exist. Management of these activities will be entrusted to an Executive Agency which will manage the calls and the reception of proposals, adopt the instruments of budget implementation, award contracts and grants, deal with individual project-level management and payments and gather, analyse and transmit to the Commission all the information needed to guide the implementation of the programme. The Commission will retain the policy oversight, work programme, supervision of the evaluation process and the selection (funding decision) of the proposals. The feedback into the work programme, future programmes and other policy initiatives will be ensured by the Commission through monitoring and review at the project portfolio or sub-programme level. The continued possibility to sub-contract specific tasks to private companies (e.g. for the development, operation and support of IT tools) will not be ruled out.

## **6. MONITORING AND EVALUATION**

Monitoring and evaluation aspects are set out in the Legislative Financial Statement of the proposal of the 7<sup>th</sup> Framework Programme, COM(2005) 119 final.

## **7. ANTI-FRAUD MEASURES**

Appropriate measures should also be taken to prevent irregularities and fraud and the necessary steps should be taken to recover funds lost, wrongly paid or incorrectly used in accordance with Council Regulation (EC, Euratom) No 1605/2002 of 25 June 2002 on the Financial Regulation applicable to the general budget of the European Communities<sup>30</sup>, Commission Regulation (EC, Euratom) No 2342/2002 of 23 December 2002 laying down detailed rules for the implementation of Council Regulation 1605/2002<sup>31</sup>, Council Regulations (EC, Euratom) No 2988/95 of 18 December 1995 on the protection of the European Communities financial interests<sup>32</sup>, (EC, Euratom) No

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<sup>30</sup> OJ L 248, 16.9.2002, p. 1.

<sup>31</sup> OJ L 357, 31.12.2002, p. 1.

<sup>32</sup> OJ L 312, 23.12.1995, p. 1.

2185/96 of 11 November 1996 concerning on-the-spot checks and inspections carried out by the Commission in order to protect the European Communities' financial interests against fraud and other irregularities<sup>33</sup> and Regulation (EC) No 1073/1999 of the European Parliament and of the Council concerning investigations conducted by the European Anti-Fraud Office (OLAF)<sup>34</sup>.

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<sup>33</sup> OJ L 292, 15.11.1996, p. 2.

<sup>34</sup> OJ L 136, 31.5.1999, p. 1.

## 8. DETAILS OF RESOURCES

### 8.1. Objectives of the proposal in terms of their financial cost

*Commitment appropriations in EUR million (to 3 decimal places)*

| (Headings of Objectives, actions and outputs should be provided) | Year 2007   |            | Year 2008   |            | Year 2009   |            | Year 2010   |            | Year 2011   |            | Year 2012   |            | Year 2013   |            | TOTAL       |            |
|--|-------------|------------|-------------|------------|-------------|------------|-------------|------------|-------------|------------|-------------|------------|-------------|------------|-------------|------------|
|  | No. outputs | Total cost | No. outputs | Total cost | No. outputs | Total cost | No. outputs | Total cost | No. outputs | Total cost | No. outputs | Total cost | No. outputs | Total cost | No. outputs | Total cost |
| OPERATIONAL OBJECTIVE No.1 <sup>35</sup>                         |             | 545,376    |             | 696,400    |             | 845,795    |             | 1.009,786  |             | 1.176,426  |             | 1.338,861  |             | 1.515,952  |             | 7.128,596  |
| TOTAL COST   |             | 545,376    |             | 696,400    |             | 845,795    |             | 1.009,786  |             | 1.176,426  |             | 1.338,861  |             | 1.515,952  |             | 7.128,596  |

<sup>35</sup> As described under Section 5.3.

## 8.2. Administrative Expenditure

### 8.2.1. Number and type of human resources

| Types of post   |            | Staff to be assigned to management of the action using existing and/or additional resources ( <b>number of posts/FTEs</b> ) |           |           |           |           |           |           |
|---|------------|---|-----------|-----------|-----------|-----------|-----------|-----------|
|   |            | Year 2007   | Year 2008 | Year 2009 | Year 2010 | Year 2011 | Year 2012 | Year 2013 |
| Officials or temporary staff <sup>36</sup> (XX 01 01) | A*/AD      |   |           |           |           |           |           |           |
|   | B*, C*/AST |   |           |           |           |           |           |           |
| Staff financed <sup>37</sup> by art. XX 01 02         |            |   |           |           |           |           |           |           |
| Other staff <sup>38</sup> financed by art. XX 01 05   | A*/AD      |   |           |           |           |           |           |           |
|   | B*, C*/AST |   |           |           |           |           |           |           |
| <b>TOTAL</b> <sup>39</sup>                            |            | 1.848   | 1.848     | 1.848     | 1.848     | 1.848     | 1.848     | 1.848     |

<sup>36</sup> Cost of which is NOT covered by the reference amount.

<sup>37</sup> Cost of which is NOT covered by the reference amount.

<sup>38</sup> Cost of which is included within the reference amount.

<sup>39</sup> Figures indicated in the table refer only to the staff financed by the establishment plan for all indirect actions under the responsibility of DGs RTD, INFSO, TREN, ENTR and FISH. Therefore these figures do not comprise the posts of the establishment plan from the operating budget and the posts from the JRC's establishment plan - see documents COM(2005) 439 & 445.

8.2.2. *Description of tasks deriving from the action*

Implementation of the Framework Programme

8.2.3. *Sources of human resources (statutory)*

*(When more than one source is stated, please indicate the number of posts originating from each of the sources)*

- Posts currently allocated to the management of the programme to be replaced or extended
- Posts pre-allocated within the APS/PDB exercise for year 2006
- Posts to be requested in the next APS/PDB procedure
- Posts to be redeployed using existing resources within the managing service (internal redeployment)
- Posts required for year n although not foreseen in the APS/PDB exercise of the year  
in question

8.2.4. *Other Administrative expenditure included in reference amount (XX 01 05 – Expenditure on administrative management)*<sup>40</sup>

EUR million (to 3 decimal places)

| Budget line<br>(number and heading)                  | Year<br>2007 | Year<br>2008 | Year<br>2009 | Year<br>2010 | Year<br>2011 | Year<br>2012 | Year<br>2013 | TOTAL     |
|--|--------------|--------------|--------------|--------------|--------------|--------------|--------------|-----------|
| <b>Statutory staff</b>                               |              |              |              |              |              |              |              |           |
| xx.01 05 01  | 304,222      | 310,306      | 316,513      | 322,843      | 329,300      | 335,886      | 342,603      | 2.261,673 |
| <b>External staff</b>                                |              |              |              |              |              |              |              |           |
| xx.01 05 02  | 205,478      | 209,587      | 213,779      | 218,055      | 222,415      | 226,863      | 231,401      | 1.527,577 |
| <b>Other administrative expenses</b>                 |              |              |              |              |              |              |              |           |
| xx.01 05 03  | 196,948      | 200,888      | 204,904      | 209,002      | 213,183      | 217,447      | 221,796      | 1.464,167 |
| <b>Total Technical and administrative assistance</b> | 706,648      | 720,781      | 735,196      | 749,900      | 764,898      | 780,196      | 795,800      | 5.253,418 |

8.2.5. *Financial cost of human resources and associated costs not included in the reference amount*

EUR million (to 3 decimal places)

| Type of human resources   | Year<br>2007 | Year<br>2008 | Year<br>2009 | Year<br>2010 | Year<br>2011 | Year<br>2012 | Year<br>2013 | TOTAL  |
|---|--------------|--------------|--------------|--------------|--------------|--------------|--------------|--------|
| Officials and temporary staff (08 0101 and )  | 11,633       | 11,866       | 12,103       | 12,345       | 12,592       | 12,844       | 13,101       | 86,483 |
| Staff financed by Art XX 01 02 (auxiliary, END, contract staff, etc.)               |              |              |              |              |              |              |              |        |
| <b>Total cost of Human Resources and associated costs (NOT in reference amount)</b> | 11,633       | 11,866       | 12,103       | 12,345       | 12,592       | 12,844       | 13,101       | 86,483 |

<sup>40</sup> These figures refer to the expenditure for the entire EC Framework Programme - see COM(2005) 119.

Calculation– *Administrative expenditures*

*Have been calculated taking into account the following hypothesis:*

- *the number of official staff on the ex part A of the budget remains at 2006 level,*
- *expenditures increased by the 2% each year according to the inflation foreseen such as indicated in Fiche 1 REV (working document of commission services related to the financial perspectives),*
- *the assumption of 108 000 € for each official staff, and 70.000 € for the external staff (2004 prices)*

Calculation– *Staff financed under art. XX 01 02*

*Reference should be made to Point 8.2.1, if applicable*

8.2.6 Other administrative expenditure not included in reference amount<sup>41</sup>

*EUR million (to 3 decimal places)*

|   | Year<br>2007 | Year<br>2008 | Year<br>2009 | Year<br>2010 | Year<br>2011 | Year<br>2012<br>and<br>2013 | TOTAL        |
|---|--------------|--------------|--------------|--------------|--------------|-----------------------------|--------------|
| XX 01 02 11 01 – Missions   | <b>0,320</b> | <b>0,326</b> | <b>0,333</b> | <b>0,339</b> | <b>0,346</b> | <b>0,713</b>                | <b>2,376</b> |
| XX 01 02 11 02 – Meetings & Conferences   | <b>0,010</b> | <b>0,010</b> | <b>0,011</b> | <b>0,011</b> | <b>0,011</b> | <b>0,023</b>                | <b>0,076</b> |
| XX 01 02 11 03 – Committees <sup>42</sup>   | <b>0,478</b> | <b>0,487</b> | <b>0,497</b> | <b>0,507</b> | <b>0,517</b> | <b>1,065</b>                | <b>3,550</b> |
| XX 01 02 11 04 – Studies & consultations  |              |              |              |              |              |                             |              |
| XX 01 02 11 05 - Information systems  |              |              |              |              |              |                             |              |
| <b>2 Total Other Management Expenditure (XX 01 02 11)</b>   |              |              |              |              |              |                             |              |
| <b>3 Other expenditure of an administrative nature</b> (specify including reference to budget line) |              |              |              |              |              |                             |              |

<sup>41</sup> These figures refer to the expenditure for the entire EC Framework Programme - see COM(2005) 119.

<sup>42</sup> EURAB committee.

|   |              |              |              |              |              |              |              |
|---|--------------|--------------|--------------|--------------|--------------|--------------|--------------|
| <b>Total Administrative expenditure, other than human resources and associated costs (NOT included in reference amount)</b> | <b>0,807</b> | <b>0,824</b> | <b>0,840</b> | <b>0,857</b> | <b>0,874</b> | <b>1,801</b> | <b>6,002</b> |
|---|--------------|--------------|--------------|--------------|--------------|--------------|--------------|

Calculation - *Other administrative expenditure not included in reference amount*

These figures are estimated on the basis of the 2006 DG RTD requests increased of the 2% for the yearly foreseen inflation. (Fiche 1 REV)

The needs for human and administrative resources shall be covered within the allocation granted to the managing DG in the framework of the annual allocation procedure. The allocation of posts should take into account an eventual reallocation of posts between departments on the basis of the new financial perspectives.