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COMMISSION OF THE EUROPEAN COMMUNITIES

Brussels,  
COM(2005) 119 final/2  
2005/0043 (COD)  
2005/0044 (CNS)

Amended proposal for a

**DECISION OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL**

**concerning the seventh framework programme of the European Community for research, technological development and demonstration activities (2007 to 2013)**

Amended proposal for a

**COUNCIL DECISION**

**concerning the seventh framework programme of the European Atomic Energy Community (Euratom) for nuclear research and training activities (2007 to 2011)**

**«Adaptation following the agreement, 17 May 2006, on the Financial Perspectives»**

(presented by the Commission)

Amended proposal for a

**DECISION OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL**

**concerning the seventh framework programme of the European Community for research, technological development and demonstration activities (2007 to 2013)**

*Article 4 is replaced with the following text:*

*Article 4*

**Maximum overall amount and shares assigned to each programme**

1. The maximum overall amount for Community financial participation in this seventh Framework Programme shall be EUR 50 521<sup>i</sup> million. That amount shall be distributed among the activities and actions referred to in paragraphs 2 to 6 of Article 2 as follows (in EUR million):

Cooperation	32 292 <sup>ii</sup>
Ideas	7 460 <sup>iii</sup>
People	4 727 <sup>iv</sup>
Capacities	4 291 <sup>v</sup>
Non-nuclear actions of the Joint Research Centre	1 751 <sup>vi</sup>
2. The indicative breakdown among the thematic areas of each activity referred to in paragraph 1 is set out in Annex II.
3. The detailed rules for Community financial participation in this Framework Programme are set out in Annex III.

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<sup>i</sup> EUR 44 492 million in 2004 prices  
<sup>i</sup> <sup>i</sup> EUR 28 480 million in 2004 prices  
<sup>i</sup> <sup>ii</sup> EUR 6 508 million in 2004 prices  
<sup>i</sup> <sup>v</sup> EUR 4 153 million in 2004 prices  
<sup>v</sup> EUR 3 798 million in 2004 prices  
<sup>v</sup> <sup>i</sup> EUR 1 551 million in 2004 prices

Annex II is replaced with the following text:

**ANNEX II: INDICATIVE BREAKDOWN AMONG PROGRAMMES**

**The indicative breakdown among programmes is as follows (in EUR million):**

<b>Cooperation</b> <sup>*,24</sup>	32 292
Health	5 984
Food, Agriculture and Biotechnology	1 935
Information and Communication Technologies	9 110
Nanosciences, Nanotechnologies, Materials and new Production Technologies	3 467
Energy	2 265
Environment (including Climate Change)	1 886
Transport (including Aeronautics)	4 180
Socio-economic Sciences and the Humanities	607
Security and Space	2 858
<b>Ideas</b>	7 460
<b>People</b>	4 727
<b>Capacities</b>	4 291
Research Infrastructures <sup>*</sup>	2 008
Research for the benefit of SMEs	1 266
Regions of Knowledge	126

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<sup>2</sup> <sup>4</sup> Including Joint Technology Initiatives (including financial plan, etc) and the part of the coordination and international cooperation activities to be funded within the themes

<sup>\*</sup> Including a contribution to the European Investment Bank for the constitution of the “Risk-Sharing Finance Facility” referred to in Annex III. The Council decisions adopting the contributing specific programmes shall establish (a) their contribution, and (b) the modalities under which the Commission shall decide on the reallocation of incomes generated by the Community contribution and of any of its leftovers during the lifetime of the seventh framework programme.

Research Potential	350
Science in Society	359
Activities of International Co-operation	182
<b>Non-nuclear actions of the Joint Research Centre</b>	<b>1 751</b>
<b>TOTAL</b>	<b>50 521</b>

## LEGISLATIVE FINANCIAL STATEMENT

### 1. NAME OF THE PROPOSAL :

Proposal for a Decision of the European Parliament and of the Council concerning the 7th framework programme of the European Community for research, technological development and demonstration activities (2007 to 2013) – Building the Europe of Knowledge

### 2. ABM / ABB FRAMEWORK

RESEARCH, ENTREPRISE, ENERGY AND TRANSPORT. INFORMATION SOCIETY. DIRECT RESEARCH and FISHERIES

### 3. BUDGET LINES

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

02 04 01 Security and Space Research; 06 06 01 Research related to energy; 06 06 02 Research related to transport (including aeronautics); 08 02 01 Cooperation — Health; 08 03 01 Cooperation — Food, Agriculture and Biotechnology; 08 04 01 Cooperation — Nanosciences, Nanotechnologies, Materials and new Production Technologies; 08 05 01 Cooperation — Energy; 08 06 01 Cooperation — Environment (including Climate Change); 08 07 01 Cooperation — Transport (including Aeronautics); 08 08 01 Cooperation — Socio-economic sciences and the humanities; 08 09 01 Cooperation – RSFF; 08 10 01 Ideas; 08 11 01 People; 08 12 01 Capacities — Research Infrastructures; 08 13 01 Capacities — Research for the benefit of SMEs; 08 14 01 Capacities — Regions of Knowledge; 08 15 01 Capacities — Research Potential; 08 16 01 Capacities — Science in Society; 08 17 01 Capacities — Activities of International Co-operation; 08 18 01 Capacities - Risk Sharing Finance Facility (EIB); 09 04 01 Support to Research Cooperation in the area of Information and Communication Technologies (ICT - Cooperation); 09 05 01 Capacities - Research Infrastructures; 10 02 01 Non nuclear actions of the Joint Research Centre (JRC)

#### 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 (*add rows if necessary*):

Budget line	Type of expenditure		New	EFTA contribution	Contributions from applicant countries	Heading in financial perspective
02, 06, 08, 09, and 10	Non-comp	Diff <sup>1</sup> /	YES	YES	YES	No [1a]

<sup>1</sup> Differentiated appropriations

XX.01	Non-comp	Non-diff <sup>2</sup>	YES	NO	NO	No [ 1a... ]
XX.01.04	Non-comp	Non-diff	YES	YES	YES	No [ 1a... ]
XX.01.05	Non-comp	Non-diff	YES	YES	YES	No [ 1a... ]

#### 4. SUMMARY OF RESOURCES

##### 4.1. Financial Resources

##### 4.1.1. Summary of commitment appropriations (CA) and payment appropriations (PA)

EUR million (to 3 decimal places) CURRENT PRICES

Expenditure type	Section no.		2007	2008	2009	2010	2011	2012	2013	Total
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##### Operational expenditure<sup>3</sup>

Commitment Appropriations (CA)	8.1	a	4.596,105	5.035,524	5.558,408	6.331,857	7.340,993	8.262,349	9.210,697	46.335,933
Payment Appropriations (PA)		b	570,307	3.397,369	5.112,938	6.021,809	6.908,063	7.329,601	16.995,846	46.335,933

##### Administrative expenditure within reference amount<sup>4</sup>

Technical & administrative assistance (NDA)	8.2.4	c	485,905	543,551	560,720	600,868	626,378	663,608	703,827	4.184,857
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##### TOTAL REFERENCE AMOUNT

Commitment Appropriations		a+c	5.082,010	5.579,075	6.119,128	6.932,725	7.967,371	8.925,957	9.914,524	50.520,790
Payment Appropriations		b+c	1.056,212	3.940,920	5.673,658	6.622,677	7.534,441	7.993,209	17.699,673	50.520,790

##### Administrative expenditure not included in reference amount<sup>5</sup>

Human resources and associated expenditure (NDA)	8.2.5 d									
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<sup>2</sup> Non-differentiated appropriations here after referred to as NDA

<sup>3</sup> Expenditure that does not fall under Chapter xx 01 of the Title xx concerned.

<sup>4</sup> Expenditure within article xx 01 05 of Title xx.

<sup>5</sup> Expenditure within chapter xx 01 other than articles xx 01 05.

Administrative costs, other than human resources and associated costs, not included in reference amount (NDA)	8.2.6 e									
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### Total indicative financial cost of intervention

<b>TOTAL CA including cost of Human Resources</b>	a+c +d +e	5.082,010	5.579,075	6.119,128	6.932,725	7.967,371	8.925,957	9.914,524	50.520,790
<b>TOTAL PA including cost of Human Resources</b>	b+c +d +e	1.056,212	3.940,920	5.673,658	6.622,677	7.534,441	7.993,209	17.699,673	50.520,790

### 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 +d+ e+f							

#### 4.1.2. Compatibility with Financial Programming

- Proposal is compatible with next financial programming (Interinstitutional agreement on the financial perspectives 2007-2013).
- Proposal will entail reprogramming of the relevant heading in the financial perspective.
- Proposal may require application of the provisions of the Interinstitutional Agreement<sup>6</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:

<sup>6</sup> See points 19 and 24 of the Interinstitutional agreement.



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

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.

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

<b>Annual requirements</b>	2007	2008	2009	2010	2011	2012	2013
Total number of human resources	4.436	4.629	4.659	4.937	5.039	5.288	5.538

It will be necessary to consider year by year the consequences for human resources of the phasing out of the 6<sup>th</sup> Framework Programme and the phasing in of the 7<sup>th</sup> Framework Programme.

**5. CHARACTERISTICS AND OBJECTIVES**

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

The 7<sup>th</sup> Framework Programme will be an integral part of EU efforts towards the European knowledge economy and society, together with other measures on education, training and innovation. FP7 will cover the main components of European research: cooperative research, basic research, human resources and research capacities. In addition, major efforts to simplify all Framework Programme procedures are being undertaken to make them more user-friendly.

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

Intervention at EU level is justified in the field of R&D policy. Some research activities are of such a scale that no single Member State can provide the necessary resources and expertise. EU projects allow research, technological development and demonstration to achieve the required ‘critical mass’, while lowering financial risks involved and leveraging private investment. EU-scale actions also play a key role in transferring skills and knowledge across frontiers, helping to foster excellence in R&D through enhancing capability, quality and EU-wide competition, and improving human capacity through training, mobility and career development. EU support can also contribute to a better integration of European R&D; encouraging the coordination of national policies, the EU-wide dissemination of results, and funding research for pan-European policy challenges.

An in-depth analysis is provided in the ‘Impact Assessment and Ex Ante Evaluation Report for the Commission proposals for the Council and European Parliament decisions on the 7<sup>th</sup> Framework Programme (EC and Euratom)’ (SEC(2005)430).

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

‘Reinvigorating’ the Lisbon agenda is a key goal of the EU and the European Commission. This implies, as a first priority, the full realisation of the knowledge society. The strategic objectives of the College, COM (2005) 12 final, have highlighted the importance of R&D as one of the key drivers of prosperity and growth. In particular this will mean the Union committing to invest 3% of GDP in research, with one third coming from the public sector.

The objectives set out in Annex I aim to support the Lisbon agenda through Community funded research activities.

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

Show below the method(s)<sup>7</sup> 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 (in part for some Marie Curie individual fellowships)

**Shared or decentralised management**

With Member states

With Third countries

**Joint management with international organisations (please specify)**

Relevant comments:

Externalisation is an important part of the management of this framework programme. It is, in addition, a progressive exercise. Within this context, the Ideas programme will be delegated to a dedicated executive agency (for which this work will be overseen by a scientific council). Other parts of the framework programme will progressively be given to

<sup>7</sup> If more than one method is indicated please provide additional details in the "Relevant comments" section of this point

an existing or new agency. These parts are expected to concern the People programme, as well as SME specific measures, in addition to the certain administrative parts of the Co-operation and Capacities programme. The scope of work undertaken by the agencies involved will be determined on the basis of on-going analyses. The management structure for actions deriving from Article 169 or Article 171 of the Treaty will be decided on a case-by-case basis and will be created by the decisions establishing the actions.

The detailed implementation of the individual grant schemes resulting from the co-funding of national mobility programmes will be passed to the relevant national or regional public-sector bodies or private bodies with a public service mission established in the Member States.

## **6. MONITORING AND EVALUATION**

### **6.1. Monitoring system**

Monitoring of implementation management would be ensured by operational senior management within the Commission on a continual basis with annual checks using a common set of management performance indicators. The annual results of this exercise will be used to inform senior management and an input to the multi-annual assessment exercise.

The requirements and systems for data collection regarding proposal evaluation and contract preparation are currently under review given the needs of providing a robust and simplified data set while imposing minimum burden on research programme participants.

### **6.2. Evaluation**

#### *6.2.1. Ex-ante evaluation*

In line with the Commission requirements, an ex ante evaluation of the FP7 legislative proposals has been undertaken. This evaluation is incorporated in the overall Impact Assessment report of the European Commission's proposals for the European Parliament and Council decisions on the 7<sup>th</sup> Framework Programme (EC and EURATOM).

#### *6.2.2. Measures taken following an intermediate/ex-post evaluation (lessons learned from similar experiences in the past)*

A Five Year Assessment of the implementation and achievements of Community research over the five preceding years was carried out between June-December 2004 by a panel of independent high level experts.

The results of the Five Year Assessment were made available on 10 February 2005 and communicated to the European Parliament, the Council, the European Economic and Social Committee and the Committee of the Regions.

A synthesis of the key findings of the Five Year Assessment report and how these have been integrated into the proposal was given in the original legislative proposal for the 7<sup>th</sup> Framework Programme.

### 6.2.3. *Terms and frequency of future evaluation*

Not later than 2010 the Commission shall carry out, with the assistance of external experts, an interim evaluation of FP7 and its specific programmes on the quality of the research activities underway and progress towards the objectives set.

Two years following the completion of this framework programme, the Commission shall have carried out an external evaluation by independent experts of its rationale, implementation and achievements. This would be supported by a coherent set of independent studies, the interim evaluation and other evaluation activities carried out over the life-time of the Framework Programme, as listed above. The report of this exercise would be presented to all interested stakeholders, including the Parliament and Council. Furthermore, this report could feed into future ex ante evaluation and impact assessments by the Commission.

An independent ex post programme evaluation would be undertaken 2 years after the end of FP6.

## 7. ANTI-FRAUD MEASURES

Measures will be taken to ensure that the same anti-fraud measures taken in FP6 will be brought forward and reinforced in FP7. These include measures such as financial collective responsibility, sanctions against overcharging, measures to ensure the effective recovery of amounts due to the Commission, and administrative and legal measures taken to ensure full compliance with the Financial Regulation.

## 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) Current prices<sup>8</sup>*

(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>9</sup> COOPERATION <sup>10</sup>		3.670,645		3.761,531		3.902,656		4.291,435		4.836,537		5.513,493		6.315,588		<b>32.291,885</b>
OPERATIONAL OBJECTIVE No.2 <sup>12</sup> IDEAS		300,322		549,876		810,395		1.136,863		1.335,048		1.623,971		1.703,607		<b>7.460,082</b>
OPERATIONAL OBJECTIVE No.3 <sup>12</sup> PEOPLE		454,399		494,450		526,171		561,422		777,433		933,540		979,768		<b>4.727,183</b>
OPERATIONAL OBJECTIVE No.4 <sup>12</sup> CAPACITIES <sup>11</sup>		431,614		540,312		638,849		693,510		760,126		587,688		638,942		<b>4.291,041</b>
OPERATIONAL OBJECTIVE No5 <sup>12</sup> JRC		225,030		232,906		241,057		249,495		258,227		267,265		276,619		<b>1.750,599</b>
<b>TOTAL COST</b>		<b>5.082,010</b>		<b>5.579,075</b>		<b>6.119,128</b>		<b>6.932,725</b>		<b>7.967,371</b>		<b>8.925,957</b>		<b>9.914,524</b>		<b>50.520,790</b>

The amount of up to 1 billion euro for the RSFF is to be matched by an equivalent amount from the EIB. The amount is indicative and will be made available progressively to the EIB taking account of the level of demand.

<sup>8</sup> The following amounts represent (cash prices) the heading 1 a) of the Financial Perspectives related to “Establishing a European research area, ...” not included the part related to Innovation.

<sup>9</sup> As described under Section 5.3

<sup>10</sup> Including 800 Mio € for RSFF (proportional contribution by all thematic priorities except socio-economic research)

<sup>11</sup> Including 200 Mio € for RSFF from Research infrastructure

## 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>12</sup> (XX 01 01)	A*/AD							
	B*, C*/AST							
Staff financed <sup>13</sup> by art. XX 01 02								
Other staff <sup>14</sup> financed by art. XX 01 05	A*/AD	1.587	1.614	1.616	1.644	1.654	1.661	1.680
	B*, C*/AST	1.420	1.440	1.440	1.459	1.466	1.470	1.484
External staff		1.429	1.575	1.603	1.834	1.919	2.157	2.374
<b>TOTAL</b>		<b>4.436</b>	<b>4.629</b>	<b>4.659</b>	<b>4.937</b>	<b>5.039</b>	<b>5.288</b>	<b>5.538</b>

### 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 2007
- Posts to be requested in the next APS/PDB procedure
- Posts to be redeployed using existing resources within the managing service (internal redeployment)

<sup>12</sup> Cost of which is NOT covered by the reference amount

<sup>13</sup> Cost of which is NOT covered by the reference amount

<sup>14</sup> Cost of which is included within the reference amount

- 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)*

*EUR million (to 3 decimal places) Current Prices*

Budget line (number and heading)	Year 2007	Year 2008	Year 2009	Year 2010	Year 2011	Year 2012	Year 2013	TOTAL
<b>Statutory staff</b> <b>xx.01 05 01</b>	286,515	317,890	326,339	340,499	351,402	361,876	375,498	<b>2.360,019</b>
<b>External staff</b> <b>xx.01 05 02</b>	74,049	85,400	89,209	104,255	111,699	128,170	143,774	<b>736,556</b>
<b>Other administrative expenses</b> <b>xx.01 05 03</b>	125,341	140,261	145,172	156,114	163,277	173,562	184,555	<b>1.088,282</b>
<b>Total Technical and administrative assistance</b>	<b>485,905</b>	<b>543,551</b>	<b>560,720</b>	<b>600,868</b>	<b>626,378</b>	<b>663,608</b>	<b>703,827</b>	<b>4.184,857</b>

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

*EUR million (to 3 decimal places) current prices*

Type of human resources	Year 2007	Year 2008	Year 2009	Year 2010	Year 2011	Year 2012	Year 2013	TOTAL
Officials and temporary staff (08 0101 and )								
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>								

Calculation– *Administrative expenditures*

*Have been calculated taking into account the following hypothesis for indirect actions:*

- for the part related to budget lines XX.01.05 2006 number of staff and related expenditures have been increased by 60 permanent posts and 85 temporary agents in 2007 for ITER

- the following assumptions in 2004 prices (with 2% inflation) :

. cost of official permanent staff and temporary agent : 108 000 €/year

. cost of external staff : 48 000 €/year

. cost of other administrative expenses : 35 % of staff cost

-figures for 2007 correspond to PDB 2007

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

EUR million (to 3 decimal places) current prices

	Year 2007	Year 2008	Year 2009	Year 2010	Year 2011	Year 2012 and 2013	TOTAL
XX 01 02 11 01 – Missions							
XX 01 02 11 02 – Meetings & Conferences							
XX 01 02 11 03 – Committees							
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)							
<b>Total Administrative expenditure, other than human resources and associated costs (NOT included in reference amount)</b>							



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

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.

Amended proposal for a

**COUNCIL DECISION**

**concerning the seventh framework programme of the European Atomic Energy Community (Euratom) for nuclear research and training activities (2007 to 2011)**

*Article 3 is replaced with the following text:*

*Article 3*

**Maximum overall amount and shares assigned to each programme**

1. The overall amount for the implementation of the seventh framework programme for the period 2007 to 2011 shall be EUR 2 751<sup>i</sup> million. That amount shall be distributed as follows (in EUR million):

(a)	Fusion energy research	1 947 <sup>ii</sup>
(b)	Nuclear Fission and radiation protection	287 <sup>iii</sup>
(c)	Nuclear Activities of the Joint Research Centre	517 <sup>iv</sup>
  
2. The detailed rules for Community financial participation in this Framework programme are set out in Annex II.

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<sup>i</sup> EUR 2 483 million in 2004 prices  
<sup>i</sup> <sup>i</sup> EUR 1 755 million in 2004 prices  
<sup>i</sup> <sup>ii</sup> EUR 260 million in 2004 prices  
<sup>i</sup> <sup>v</sup> EUR 468 million in 2004 prices

## LEGISLATIVE FINANCIAL STATEMENT

### 1. NAME OF THE PROPOSAL :

Proposal for a Council Decision concerning the 7th Framework Programme of the European Atomic Energy Community (Euratom) for nuclear research and training activities (2007 to 2011) – Building the Europe of Knowledge

### 2. ABM / ABB FRAMEWORK

Policy Area(s) concerned and associated Activity/Activities: RESEARCH and DIRECT RESEARCH

### 3. BUDGET LINES

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

08 19 01 Euratom - Fusion energy (RTD); 08 19 02 Euratom - Joint Undertaking ITER; 08 20 01 Euratom - Nuclear Fission and radiation protection; 10 03 01 Nuclear action of the Joint Research Centre (JRC)

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

2007-2011 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
<i>08 and 10</i>	Non-comp	Diff <sup>15/</sup>	YES	NO	YES	No [1a]
XX.01	Non-comp	Non-diff <sup>16</sup>	NO	NO	NO	No [ 1a... ]
XX.01.04	Non-comp	Non-diff	YES	NO	YES	No [ 1a... ]
XX.01.05	Non-comp	Non-diff	YES	NO	YES	No [ 1a... ]

<sup>15</sup> Differentiated appropriations

<sup>16</sup> Non-differentiated appropriations hereafter referred to as NDA.

## 4. SUMMARY OF RESOURCES

### 4.1. Financial Resources

#### 4.1.1. Summary of commitment appropriations (CA) and payment appropriations (PA)

EUR million (to 3 decimal places) current prices

Expenditure type	Section no.		2007	2008	2009	2010	2011	Total
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#### Operational expenditure<sup>17</sup>

Commitment Appropriations (CA)	8.1	a	271,700	335,654	437,318	447,191	457,285	1,949,148
Payment Appropriations (PA)		b	82,408	204,630	344,048	417,593	900,469	1,949,148

#### Administrative expenditure within reference amount<sup>18</sup>

Technical & administrative assistance (NDA)	8.2.4	c	132,493	160,332	165,036	169,886	174,888	802,635
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#### TOTAL REFERENCE AMOUNT

Commitment Appropriations		a+c	404,193	495,986	602,354	617,077	632,173	2,751,783
Payment Appropriations		b+c	214,901	364,962	509,084	587,479	1,075,357	2,751,783
Human resources and associated expenditure (NDA)	8.2.5d							
Administrative costs, other than human resources and associated costs, not included in reference amount (NDA)	8.2.6 e							

#### Total indicative financial cost of intervention

TOTAL CA including cost of Human Resources	a+c +d +e	404,193	495,986	602,354	617,077	632,173	2,751,783
TOTAL PA including cost of Human Resources	b+c +d +e	214,901	364,962	509,084	587,479	1,075,357	2,751,783

#### Co-financing details

EUR million (to 3 decimal places)

Co-financing body	Year n	n + 1	n + 2	n + 3	n + 4	n + 5 and later	Total
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<sup>17</sup> Expenditure that does not fall under Chapter xx 01 of the Title xx concerned.

<sup>18</sup> Expenditure within article xx 01 05 of Title xx.

	f							
TOTAL CA including co-financing	a+c +d+ e+f							

#### 4.1.2. Compatibility with Financial Programming

- Proposal is compatible with next financial programming (Interinstitutional agreement on the financial perspectives 2007-2013).
- Proposal will entail reprogramming of the relevant heading in the financial perspective.
- Proposal may require application of the provisions of the Interinstitutional Agreement<sup>19</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.

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.

***NB: All details and observations relating to the method of calculating the effect on revenue should be shown in a separate annex.***

#### 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
Total number of human resources	1.223	1.223	1.223	1.223	1.223

It will be necessary to consider year by year the consequences for human resources of the phasing out of the 6<sup>th</sup> Framework Programme and the phasing in of the 7<sup>th</sup> Framework Programme.

## 5. CHARACTERISTICS AND OBJECTIVES

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

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

The 7<sup>th</sup> Framework Programme will be an integral part of EU efforts towards the European knowledge economy and society, together with other measures on education, training and innovation. FP7 will cover the main components of European research: cooperative research, basic research, human resources and research capacities. In addition, major efforts have been made to simplify all Framework Programme procedures to make them more user-friendly.

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

Intervention at EU level is justified in the field of R&D policy. Some research activities are of such a scale that no single Member State can provide the necessary resources and expertise. EU projects can allow research to achieve the required 'critical mass', while lowering commercial risk and leveraging private investment. EU-scale actions also play a key role in transferring skills and knowledge across frontiers, helping to foster excellence in R&D through enhancing capability, quality and EU-wide competition, and improving human capacity through training, mobility and career development. EU support can also contribute to a better integration of European R&D; encouraging the coordination of national policies, the EU-wide dissemination of results, and funding research for pan-European policy challenges.

An in-depth analysis is provided in the 'Impact Assessment and Ex Ante Evaluation Report for the Commission proposals for the Council and European Parliament decisions on the 7<sup>th</sup> Framework Programme (EC and Euratom)' (SEC(2005)430).

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

'Reinvigorating' the Lisbon agenda is a key goal of the EU and the European Commission. This implies, as a first priority, the full realisation of the knowledge society. The strategic objectives of the College, COM (2005) 12 final, have highlighted the importance of R&D as one of the key drivers of prosperity and growth. In particular this will mean the Union committing to invest 3% of GDP in research, with one third coming from the public sector.

The objectives set out in Annex I aim to support the Lisbon agenda through Community funded research activities.

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

Show below the method(s)<sup>20</sup> 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

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<sup>20</sup> If more than one method is indicated please provide additional details in the "Relevant comments" section of this point.

- 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 European Joint Undertaking, based on the provisions of Articles 45-51, Title II of Chapter V of the Euratom Treaty, will be used for the creation of **ITER** (International Thermonuclear Experimental Reactor).

The executive agency model may be used for the provision of central implementation support services for the indirect actions Specific Programme, in line with the EC Specific Programmes.

## **6. MONITORING AND EVALUATION**

### **6.1. Monitoring system**

Monitoring of implementation management would be ensured by operational senior management within the Commission on a continual basis with annual checks using a common set of management performance indicators. The annual results of this exercise will be used to inform senior management and an input to the multi-annual assessment exercise.

The requirements and systems for data collection regarding proposal evaluation and contract preparation are currently under review given the needs of providing a robust and simplified data set while imposing minimum burden on research programme participants.

### **6.2. Evaluation**

#### *6.2.1. Ex-ante evaluation*

In line with the Commission requirements, an ex ante evaluation of the FP7 legislative proposals has been undertaken. This evaluation is incorporated in the overall Impact Assessment report of the European Commission's proposals for the European Parliament and Council decisions on the 7<sup>th</sup> Framework Programme (EC and EURATOM).

#### *6.2.2. Measures taken following an intermediate/ex-post evaluation (lessons learned from similar experiences in the past)*

A Five Year Assessment of the implementation and achievements of Community research over the five preceding years was carried out between June-December 2004 by a panel of independent high level experts.

The results of the Five Year Assessment were made available on 10 February 2005 and communicated to the European Parliament, the Council, the European Economic and Social Committee and the Committee of the Regions.

A synthesis of the key findings of the Five Year Assessment report and how these have been integrated into the proposal was given in the original legislative proposals for the 7<sup>th</sup> Framework Programme.

### *6.2.3. Terms and frequency of future evaluation*

Not later than 2010 the Commission shall carry out, with the assistance of external experts, an interim evaluation of FP7 and its specific programmes on the quality of the research activities underway and progress towards the objectives set.

Two years following the completion of this framework programme, the Commission shall have carried out an external evaluation by independent experts of its rationale, implementation and achievements. This would be supported by a coherent set of independent studies, the interim evaluation and other evaluation activities carried out over the life-time of the Framework Programme, as listed above. The report of this exercise would be presented to all interested stakeholders, including the Parliament and Council. Furthermore, this report could feed into future ex ante evaluation and impact assessments by the Commission.

An independent ex post programme evaluation would be undertaken 2 years after the end of FP6.

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

Measures will be taken to ensure that the same anti-fraud measures taken in FP6 will be brought forward and reinforced in FP7. These include measures such as financial collective responsibility, sanctions against overcharging, measures to ensure the effective recovery of amounts due to the Commission, and administrative and legal measures taken to ensure full compliance with the Financial Regulation.



## 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) Current prices<sup>7</sup>*

(Headings of Objectives, actions and outputs should be provided)	Year 2007		Year 2008		Year 2009		Year 2010		Year 2011		Year 2012 (indicative)		Year 2013 (indicative)		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>8</sup> (Fission and Fusion)  <b>EURATOM INDIRECT ACTIONS</b>		307,751		396,170		499,044		510,151		521,504		531,933		544,685		3.311,238
OPERATIONAL OBJECTIVE No.2 <sup>8</sup>  <b>EURATOM DIRECT ACTIONS-JRC</b>		96,442		99,816		103,310		106,926		110,669		114,543		118,551		750,257
<b>TOTAL COST</b>		404,193		495,986		602,354		617,077		632,173		646,476		663,236		4.061,495

<sup>7</sup> The Euratom programme covers the period 2007-2011. The figures for 2012 and 2013 are only for information.

<sup>8</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>9</sup> (XX 01 01)	A*/AD							
	B*, C*/AST							
Staff financed <sup>9</sup> by art. XX 01 02								
Other staff <sup>10</sup> financed by art. XX 01 05 and 08 01 04 40	A*/AD	491	491	491	491	491		
	B*, C*/AST	475	475	475	475	475		
External staff		257	257	257	257	257		
<b>TOTAL</b>		<b>1.223</b>	<b>1.223</b>	<b>1.223</b>	<b>1.223</b>	<b>1.223</b>		

***The EURATOM programme covers the period 2007-2011. The figures for 2012 are only for information***

### 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 2007
- Posts to be requested in the next APS/PDB procedure
- Posts to be redeployed using existing resources within the managing service (internal redeployment)

<sup>9</sup> Cost of which is NOT covered by the reference amount.

<sup>10</sup> Cost of which is included within the reference amount. Moreover during the period 2007-2010 the added staff is related to ITER

- 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)*

*EUR million (to 3 decimal places) Current Prices*

Budget line (number and heading)	Year 2007	Year 2008	Year 2009	Year 2010	Year 2011	TOTAL
<b>Statutory staff</b> <b>xx.01 05 01 and 08 01 04 40</b>	77,558	96,903	99,593	102,364	105,217	<b>481,635</b>
<b>External staff</b> <b>xx.01 05 02 and 08 01 04 40</b>	13,680	14,048	14,428	14,818	15,219	<b>72,193</b>
<b>Other administrative expenses</b> <b>xx.01 05 03 and 08 01 04 40</b>	41,255	49,381	51,015	52,704	54,452	<b>248,807</b>
<b>Total Technical and administrative assistance</b>	<b>132,493</b>	<b>160,332</b>	<b>165,036</b>	<b>169,886</b>	<b>174,888</b>	<b>802,635</b>

***The EURATOM programme covers the period 2007-2011.***

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

*EUR million (to 3 decimal places) current prices*

Type of human resources	Year 2007	Year 2008	Year 2009	Year 2010	Year 2011	TOTAL
Officials and temporary staff (08 0101 and )						
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>						

Calculation– ***Administrative expenditures***

*Have been calculated taking into account the following hypothesis for indirect actions:  
- for the part related to budget lines XX.01.05 2006 number of staff and related expenditures  
have been increased by 60 permanent posts and 85 temporary agents in 2007 for ITER*

- the following assumptions in 2004 prices (with 2% inflation) :

. cost of official permanent staff and temporary agent : 108 000 €/year

. cost of external staff : 48 000 €/year

. cost of other administrative expenses : 35 % of staff cost

-figures for 2007 correspond to PDB 2007.

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

Reference should be made to Point 8.2.1, if applicable

	Year 2007	Year 2008	Year 2009	Year 2010	Year 2011	TOTAL
XX 01 02 11 01 – Missions						
XX 01 02 11 02 – Meetings & Conferences						
XX 01 02 11 03 – Committees <sup>11</sup>						

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)						
<b>Total Administrative expenditure, other than human resources and associated costs (NOT included in reference amount)</b>						

**The EURATOM programme covers the period 2007-2011.**

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

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.

<sup>1</sup> <sup>1</sup> Specify the type of committee and the group to which it belongs