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COMMISSION OF THE EUROPEAN COMMUNITIES

Brussels,
COM(2005) 439 final/2
2005/0184 (CNS)

Amended proposal for a

COUNCIL DECISION

**concerning the Specific Programme to be carried out by means of direct actions by the
Joint Research Centre under the 7th Framework Programme of the European
Community for research, technological development and demonstration activities
(2007-2013)**

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

(presented by the Commission)

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by the Joint Research Centre under the 7th Framework Programme of the
European Community for research, technological development and
demonstration activities
(2007-2013)**

(Text with EEA relevance)

Article 3 is replaced as follows:

Article 3

In accordance with Annex II of the Framework Programme, the amount deemed necessary for the execution of the Specific Programme shall be EUR 1 751* million.

EUR 1 551 million in 2004 prices

LEGISLATIVE FINANCIAL STATEMENT

1. NAME OF THE PROPOSAL : SPECIFIC PROGRAMME OF RESEARCH, TECHNOLOGICAL DEVELOPMENT AND DEMONSTRATION TO BE CARRIED OUT BY MEANS OF DIRECT ACTIONS BY THE JOINT RESEARCH CENTRE UNDER THE 7TH FRAMEWORK PROGRAMME OF THE EUROPEAN COMMUNITY FOR RESEARCH, TECHNOLOGICAL DEVELOPMENT AND DEMONSTRATION ACTIVITIES (2007 TO 2013).

2. ABM / ABB FRAMEWORK

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

Direct Research

3. BUDGET LINES

3.1. Budget lines (operational lines and related technical and administrative assistance lines (ex- B..A lines)) including headings :

10 02 Directly financed research operating appropriations

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
10 01 05	Non-comp	Non-diff	YES	YES	YES	No [1a]
10 02	Non-comp	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)

Expenditure type	Section no.		2007	2008	2009	2010	2011	2012	2013	Total
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Operational expenditure¹

Commitment Appropriations (CA)	8.1	a	28,847	29,425	30,011	30,613	31,226	31,849	32,486	214,457
Payment Appropriations (PA)		b	11,539	24,751	29,573	30,164	30,768	31,383	56,279	214,457

Administrative expenditure within reference amount²

Technical & administrative assistance (NDA)	8.2.4	C	196,183	203,481	211,046	218,882	227,001	235,416	244,133	1.536,142
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TOTAL REFERENCE AMOUNT

Commitment Appropriations		a+c	225,030	232,906	241,057	249,495	258,227	267,265	276,619	1.750,599
Payment Appropriations		b+c	207,722	228,232	240,619	249,046	257,769	266,799	300,412	1.750,599

Administrative expenditure not included in reference amount³

Human resources and associated expenditure (NDA)	8.2.5	d								
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	225,030	232,906	241,057	249,495	258,227	267,265	276,619	1.750,599
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¹ Expenditure that does not fall under Chapter xx 01 of the Title xx concerned.

² Expenditure within article xx 01 05 of Title xx.

³ Expenditure within chapter xx 01 other than articles xx 01 05.

TOTAL PA including cost of Human Resources	b+ c+ d+ e	207,722	228,232	240,619	249,046	257,769	266,799	300,412	1.750,599
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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 (2007-2013) .
- Proposal will entail reprogramming of the relevant heading in the financial perspective.
- Proposal may require application of the provisions of the Interinstitutional Agreement⁴ (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 a supplementary funding of the framework programme through association agreements.

EUR million (to one decimal place)

Budget line	Revenue	Prior to action [Year n-1]	Situation following action					
			[Year n]	[n+1]	[n+2]	[n+3]	[n+4]	[n+5]

⁴ See points 19 and 24 of the Interinstitutional agreement.

	a) Revenue in absolute terms						
	b) Change in revenue	Δ					

(Please specify each revenue budget line involved, adding the appropriate number of rows to the table if there is an effect on more than one budget line.)

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	1.901	1.901	1.901	1.901	1.901	1.901	1.901

This figure includes officials and short term staff paid by the EC programme.

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

5. CHARACTERISTICS AND OBJECTIVES

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

To provide customer-driven scientific and technical support to the EU policy making process, ensuring support to the implementation and monitoring of existing policies and responding to new policy demands.

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

The JRC has focussed its resources to respond to the S/T challenges arising from the complex and multi-faceted aspects of EU policy related issues.

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

The focus of the work will be on the following policy themes, as indicated in the Annex.

1. Policy Theme 1: Prosperity in a knowledge intensive society
2. Policy Theme 2: Solidarity and the responsible management of resources
3. Policy Theme 3: Security and freedom

4. Policy theme 4: Europe as a world partner

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:

6. MONITORING AND EVALUATION

6.1. General

The JRC supports the annual and multi-annual (i.e. Research Framework Programme) cycles of planning, execution, monitoring and evaluation through an established set of key performance indicators and specific evaluation activities.

The JRC provides scientific and technological support to (mainly Commission) users through a Work Programme with roughly one hundred actions. The methodologies, indicators and criteria are applied across the entire set of actions and across internal JRC budget lines. As a consequence, an evaluation exercise typically covers a large number if not all budget lines of the JRC's Work Programme.

6.2. Monitoring system

On an annual basis following the Commission decision⁵ on the reorganisation of the Joint Research Centre and in line with obligations stemming from the Specific

⁵ OJ L 107, 30.4.1996, p. 12 - 96/282/Euratom

Programmes (nuclear and non-nuclear parts), the JRC Board of Governors implements the annual monitoring of the implementation of the JRC Work Programme with its observations on the JRC annual report. An appropriate link with the Annual Monitoring of Indirect Actions is ensured.

6.3. Evaluation

The JRC assesses the output and impact of its actions on an annual basis, using an ex-post methodology applied in a peer review process. The results of this assessment feed directly into the planning for the work programme of the following year. The indicators and criteria used in this periodic action review relate directly to the actions' outputs and the JRC's corporate Key Performance Indicators.

So far the JRC has carried out user satisfaction surveys every two years. The intention under the new Framework Programme is to phase-in a continuous user feedback collection system that will be linked to the annual reviews of actions.

In line with the Commission's rules and good practices concerning its evaluation activities, there will be a mid-term review 3 1/2 years after the start of the Research Framework Programme of seven years duration. This evaluation will be carried out by high-level external experts and it will draw upon the structured information collected in the annual review of the actions as well as on other sources, such as the user satisfaction surveys.

Finally, an ex-post evaluation will be carried out at the end of the seven year Framework Programme.

6.3.1. Ex-ante evaluation

While the JRC's work programme is updated annually, the research process develops over a longer time scale. Hence, the annual review of actions provides also a strong ex-ante evaluation component.

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

Past evaluations have shown specificities of JRC operations, which make it necessary to translate the basic internal Commission rules of evaluation (i.e. the assessment of results, effectiveness, efficiency, side-effects, sustainability etc.) into the specific JRC context. These specificities are that:

- (1) The JRC implements its Work Programme with roughly one hundred actions, which in turn support Commission policies
- (2) There are no standard cost-benefit models that could be applied to the operation and the evaluation of the JRC's activities.

- (3) The impact of the JRC's work is at the level of European policy makers; a better policy design, implementation and monitoring also benefits the European society at large.

It is also not enough for the JRC to measure its output as a scientific organisation, which is a challenge in itself. Combining the aspects of the scientific organisation and the character of a Commission services, the real challenge for the JRC is to measure the impact of its activities, first on the policy makers and then on the policies they devise.

Following the basic lessons emerging in the last Framework Programme, the JRC is designing its activities more and more in such a way that they can lead to a more meaningful evaluation. Furthermore, to assess the overall output of the JRC it is necessary to integrate the evaluation results of all individual actions. As a consequence, JRC evaluations are now complemented by a set of support activities providing structured information to support

- the annual planning, execution and evaluation cycle and related decision making, and
- the multi-annual mid-term and ex-post evaluations.
- As a consequence the JRC developed and implemented Periodic Action Reviews (PAR) analysing the output of its individual actions in 2003 and 2004. PAR has multiple objectives:
 - It evaluates JRC Actions according to a well defined methodology;
 - It supports work programme planning for the coming year;
 - It leads to a comprehensive data base supporting various reporting obligations;
 - It builds a semi-quantitative data base for the benefit of future JRC evaluations;
 - It allows deriving corporate level indicators from various lower levels including the Action level.

The PAR review mechanism runs on an annual basis and will be further developed in the current Specific Programme.

6.3.2. *Terms and frequency of future evaluation*

The periodic action review and the monitoring of the implementation of the Framework Programme will be carried out annually. The User Satisfaction Survey is presently carried out every two years. In the future a more continuous process might be phased in. The mid-term evaluation will be implemented 3 ½ years after the start of the Framework Programme 7. The ex-post evaluation at the end of FP7.

7. ANTI-FRAUD MEASURES

Appropriate measures should also be taken to prevent irregularities and fraud and the necessary steps shall 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 interests⁶, (EC, Euratom) 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 irregularities⁷ and Regulation (EC) No 1073/1999 of the European Parliament and of the Council concerning investigations conducted by the European Anti-Fraud Office (OLAF)⁸.

⁶ OJ L 312, 23.12.1995, p. 1.

⁷ OJ L 292, 15.11.1996, p. 2.

⁸ 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
	Total cost	Total cost	Total cost	Total cost	Total cost	Total cost	Total cost	Total cost
SUSTAINABLE GROWTH								
SUSTAINABLE MANAGEMENT AND PROTECTION OF NATURAL RESOURCES								
INTERNAL SECURITY								
EXTERNAL RESPONSIBILITY AND GLOBAL SECURITY								
TOTAL COST	225,030	232,906	241,057	249,495	258,227	267,265	276,619	1.750,599

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 (number of posts)						
		2007	2008	2009	2010	2011	2012	2013
Officials or temporary staff ⁹ (XX 01 01)	A*/AD							
	B*, C*/AST							
Staff financed ¹⁰ by art. XX 01 02								
Other statutory staff ¹¹ financed by art. XX 01 05	A*/AD	617	617	617	617	617	617	617
	B*, C*/AST	774	774	774	774	774	774	774
External staff		510	510	510	510	510	510	510
TOTAL		1.901	1.901	1.901	1.901	1.901	1.901	1.901

This information is "cost based" as some non scientific staff work for JRC nuclear and non-nuclear programmes.

8.2.2. Description of tasks deriving from the action

Tasks derive from the non-nuclear direct research specific 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 n

⁹ Cost of which is NOT covered by the reference amount.

¹⁰ Cost of which is NOT covered by the reference amount.

¹¹ Cost of which is included within the reference amount.

- 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)*

EUR million (to 3 decimal places)

Budget line (number and heading)	Year 2007	Year 2008	Year 2009	Year 2010	Year 2011	Year 2012	Year 2013	TOTAL
Statutory staff xx.01 05 01	119,305	123,481	127,803	132,276	136,906	141,697	146,657	928,125
External staff xx.01 05 02	27,694	28,575	29,485	30,425	31,396	32,400	33,436	213,411
Other administrative expenses xx.01 05 03	49,184	51,425	53,758	56,181	58,699	61,319	64,040	394,606
Total Technical and administrative assistance	196,183	203,481	211,046	218,882	227,001	235,416	244,133	1.536,142

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 each year according to the inflation foreseen and the average career evolution for staff

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	Year	Year	Year	Year	Year	Year	TOTAL
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	2007	2008	2009	2010	2011	2012	2013	
Officials and temporary staff (08 0101 and)								
Staff financed by Art XX 01 02 (auxiliary, END, contract staff, etc.)								
Total cost of Human Resources and associated costs (NOT in reference amount)								