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)

THE EUROPEAN PARLIAMENT AND THE COUNCIL OF THE EUROPEAN UNION,
Having regard to the Treaty establishing the European Community, and in particular Article 166(1) thereof, Having regard to the proposal from the Commission, Having regard to the opinion of the European Economic and Social Committee, Having regard to the opinion of the Committee of the Regions, Acting in accordance with the procedure laid down in Article 251 of the Treaty,

Whereas:

(1) The Community has the objective of strengthening the scientific and technological bases of the Community industry and to assure a high level of competitiveness. To this end, the Community shall promote all the research activities deemed necessary, in particular by encouraging undertakings, including small and medium sized enterprises (“SMEs”), research centres and universities in their research and technological development activities.

(2) The central role of research in ensuring competitiveness and economic growth was recognised by the European Council of Lisbon which highlighted knowledge and

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<th>Texte of the European Commission</th>
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(1) Research and innovation play a growing role in the European Knowledge Society. Science fulfils a variety of needs and missions: a) a cultural function, the quest and production of knowledge; b) an economic function, the contribution to the production of innovations and wealth; c) a democratic function: the promotion of critical thought, the exploration of a variety of socio-technical futures, and the providing of rational basis for policies in the public interest. To fulfil these multiple functions, the Community shall promote all the research activities deemed necessary, in particular by encouraging undertakings, including small and medium sized enterprises (“SMEs”), research centres and universities, and non for profit Civil Society Organisations (“CSO”) in their research and technological development activities. |

Insert:

(2’) The central role of knowledge and immaterial goods in the production of economic, social and cultural wealth was
innovation as the heart of the economic progress, including growth of employment in Europe

(3) In line with the Lisbon strategy, the European Council of Barcelona set the target of raising European research efforts to 3% of EU GDP, two thirds of which should come from private investment.

(4) The European Parliament has repeatedly stressed the importance of research, technological development and the increased role of knowledge for economic growth, most recently in its guidelines for future EU policy to support research of March 2005.

(5) Taking into account the research needs of all Community policies and building upon wide-spread support from European industry, the scientific community, universities, and other interested circles, the Community should establish the scientific and technological objectives to be achieved under its seventh Framework Programme in the period 2007 to 2013.

(6) These objectives should build upon the achievements of the sixth Framework Programme towards the creation of the European Research Area and carry them further towards the development of a knowledge-based economy and society in Europe. Among these objectives the following are particularly important:

(7) Trans-national cooperation at every scale across the EU should be supported.

(8) The dynamism, creativity and excellence of European research at the frontier of knowledge should be enhanced.

(9) The human potential in research and technology in Europe should be strengthened quantitatively and qualitatively.

recognised by the European Council of Lisbon. In the Knowledge Society, innovation and knowledge production, far from flowing top-down, are widely distributed throughout society and are growingly achieved by bottom-up processes (SME’s, users, NGO’s, etc.). It is an aim of the Community to mobilize and strengthen all these research and innovation capacities.

(4) The European Parliament has repeatedly stressed the importance of research, technological development and the increased role of knowledge for economic growth and social and environmental well-being, most recently in its guidelines for future EU policy to support research of March 2005.

(5) Taking into account the research needs of all Community policies and building upon wide-spread support from European industry, the scientific community, universities, CSOs and other interested circles, the Community should establish the scientific and technological objectives to be achieved under its seventh Framework Programme in the period 2007 to 2013.
The research and innovation capacities throughout Europe should be enhanced and their optimal use should be ensured.

In order to realise these objectives it is necessary to promote 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 individual researchers ("People"), and support of research capacities ("Capacities")

Under “Cooperation”, support should be provided to trans-national co-operation at every scale across the European Union and beyond, in a number of thematic areas corresponding to major fields of the progress of knowledge and technology, where research should be supported and strengthened to address European social, economic, environmental and industrial challenges and serve public goods.

Under “Ideas”, activities should be implemented by a European Research Council ("ERC"), which should enjoy a high degree of autonomy.

Under “People”, individuals should be stimulated to enter into the researcher’s profession, European researchers should be encouraged to stay in Europe, researchers from the entire world should be attracted to Europe and Europe should be made more attractive to the best researchers.

Under “Capacities”, the use and development of research infrastructures should be optimised; innovative capacities of SMEs and non for profit CSOs and their ability to benefit from research should be strengthened; the development of regional research-driven clusters should be supported; the research potential in the EU’s convergence and outermost regions should be unlocked;
science and society should be brought closer together for the harmonious integration of science and technology in European society; and horizontal actions and measures in support of international co-operation should be undertaken.

(16) The Joint Research Centre should contribute to the attainment of the objectives set out above by carrying out direct actions and by providing customer-driven support for the implementation of EU policies.

(17) The seventh Framework Programme complements 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 those on structural funds, agriculture, education, training, competitiveness and innovation, industry, employment and environment.

(18) Innovation and SME-related activities supported under this Framework Programme should be complementary to those undertaken under the framework programme for Competitiveness and Innovation.

(19) Given the widely supported enlarged scope of the Framework Programme actions, the leverage effect of funding in national and private investments, the need to enable the Community to meet new science and technology challenges, the vital role the Community intervention plays in making the European research system more efficient and effective, the contribution of a larger seventh Framework Programme to the reinvigoration of the Lisbon strategy, there is a pressing need to double the EU research budget.

(20) Taking into account the mid-term review of the use of new instruments under the sixth Framework Programme and the Five Year Assessment of the Framework Programme, a new approach has been defined which should allow the political objectives of EU research policy to be unlocked; science and society should be brought closer together for the democratic governance and harmonious integration of science and technology in European society; and horizontal actions and measures in support of international co-operation should be undertaken.
reached more easily, more efficiently and in a more flexible way. To this end, a smaller set of simpler “funding schemes” should be used, alone or in combination, with more flexibility and freedom, to support the different actions.

(21) Since the objective of the actions to be taken in accordance with Article 163 of the Treaty in contributing towards the creation of a knowledge-based society and economy in Europe cannot be sufficiently achieved by the Member States and can therefore be better achieved at Community level, the Community may adopt measures, in accordance with the principle of subsidiarity as set out in Article 5 of the Treaty. In accordance with the principle of proportionality, as set out in that Article, this seventh Framework Programme does not go beyond what is necessary in order to achieve those objectives.

(22) Implementation of the seventh 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.

(23) The Community has concluded a number of international agreements in the field of research and efforts should be made to strengthen international research cooperation with a view to further integrating the Community into the world-wide research community.

(24) The seventh Framework Programme should contribute towards promoting sustainable development and environmental protection.

(25) Research activities supported by this Framework Programme should respect fundamental ethical principles, including those reflected in the Charter of Fundamental
Rights of the European Union. The opinions of the European Group on Ethics in Science and New Technologies are and will be taken into account.

(26) Under the seventh Framework Programme due regard will be paid to the role of women in science and research with a view to further enhancing their active role in research.

Add paragraph:

Under the seventh Framework programme due regard will be paid to the role of science in the public interest: pluralist public expertise, research responding to non-for-profit interests and social demands expressed by CSOs, activities enhancing research and expertise capacities of CSOs (scientific third sector).

(27) This act establishes a financial framework for the entire duration of the programme which is to be the principal point of reference for the budgetary authority, within the meaning of point […] of the Interinstitutional Agreement of […] between the European Parliament, the Council and the Commission on budgetary discipline and improvement of the budgetary procedure.

(28) 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 Regulations (EC, Euratom) No 2988/95 of 18 December 1995 on the protection of the European Communities financial interests8, (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 irregularities9 and Regulation (EC) No 1073/1999 of the European Parliament and of the Council concerning investigations conducted by the European Anti-Fraud Office (OLAF)10.

(29) It is important to ensure sound financial
management of the seventh framework programme and its implementation in the most effective and user-friendly manner possible, as well as ease of access for all participants. It is necessary to ensure 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; and with the requirements of simplification and better regulation

Have decided as follows:

Article 1

Establishment of the Framework Programme The Framework Programme for Community activities in the area of research and technological development, including demonstration activities, hereinafter the “seventh Framework Programme” is hereby established for the period from 1 January 2007 to 31 December 2013

Article 2 Objectives and activities

(1) The seventh Framework Programme shall support the activities set out in paragraphs 2 to 5. The objectives and the broad lines of those activities are set out in Annex I

(2) Cooperation: supporting the whole range of research actions carried out in transnational cooperation in the following thematic areas:

(a) Health;
(b) Food, Agriculture and Biotechnology;
(c) Information and Communication Technologies;
(d) Nanosciences, Nanotechnologies, Materials and new Production Technologies;
(e) Energy;
(f) Environment (including Climate Change);
(g) Transport (including Aeronautics);
(h) Socio-economic Sciences and Humanities;
(i) Security and Space

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(f) Environment (including Climate Change);
(g) Transport (including Aeronautics);
(h) Socio-economic Sciences and Humanities;
(i) Peace research and conflict prevention
(3) Ideas: supporting “investigator-driven” research carried out across all fields by individual teams in competition at the European level

(4) People: strengthening, quantitatively and qualitatively, the human potential in research and technology in Europe

(5) Capacities: supporting key aspects of European research and innovation capacities such as research infrastructures; regional research driven clusters; the development of a full research potential in the Community’s convergence and outermost regions; research for the benefit of small and medium sized enterprises (SMEs); “Science in Society” issues; horizontal activities of international cooperation

(6) The seventh Framework Programme shall also support the non-nuclear direct scientific and technical actions carried out by the Joint Research Centre (JRC) as defined in Annex I

Article 3
The seventh Framework Programme shall be implemented through specific programmes. These programmes shall establish precise objectives and the detailed rules for implementation.

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 72726 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 44432 Ideas 11862 People 7129 Capacities 7486 Non-nuclear actions of the Joint Research Centre 1817 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

Article 5
Protection of the Communities’ financial interests For the Community actions financed under this Decision, Regulation (EC, Euratom) No 2988/95 and Regulation (EC, Euratom) No 2185/96 shall apply to any infringement of a provision of Community law, including infringements of a contractual obligation stipulated on the basis of the programme, resulting from an act or omission by an economic operator, which has, or would have, the effect of prejudicing the general budget of the European Communities or budgets managed by them, by an unjustified item of expenditure.

Article 6
All the research activities carried out under the seventh Framework Programme shall be carried out in compliance with fundamental ethical principles.

Article 7
Monitoring, assessment and review 1. Not later than 2010, the Commission shall carry out, with the assistance of external experts, an interim evaluation of this Framework Programme and its specific programmes on the quality of the research activities under way and progress towards the objectives set. 2. Two years following the completion of this Framework Programme, the Commission shall carry out an external evaluation by independent experts of its rationale, implementation and achievements. The Commission shall communicate the conclusions thereof, accompanied by its observations, to the European Parliament, the Council, the European Economic and Social Committee and the Committee of the Regions.
Annexe 1

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

The seventh Framework Programme will be carried out to pursue the general objectives described in Article 163 of the Treaty in contributing towards the creation of a knowledge-based society, building on a European Research Area. It shall strengthen excellence in scientific and technological research through the following four programmes: cooperation, ideas, people and capacities

1 COOPERATION

In this part of the 7th Framework Programme, support will be provided to trans-national cooperation at every scale across the European Union and beyond, in a number of thematic areas corresponding to major fields of the progress of knowledge and technology, where research must be supported and strengthened to address European social, economic, environmental and industrial challenges.

The overarching aim is to contribute to sustainable development.

The nine themes determined for EU action are the following:

1. Health;
2. Food and Agriculture and Biotechnology;
3. Information and Communication Technologies;
4. Nanosciences, Nanotechnologies, Materials and new Production Technologies;
5. Energy;
6. Environment (including Climate Change);
7. Transport (including Aeronautics);
8. Socio-economic Sciences and the Humanities;
9. Security and Space

These themes are broadly defined at relatively high level, such that they can adapt...
to evolving needs and opportunities that may arise during the lifetime of the 7th Framework Programme. For each of them, a series of activities have been identified which indicate the broad lines envisaged for Community support. These have been identified on the basis of their contribution to EU objectives, including the transition to a knowledge society, the relevant European research potential and the added value of EU level intervention for these subjects.

Special attention will be paid to priority scientific areas which cut across themes, such as marine sciences and technologies. Pluridisciplinarity will be encouraged by joint cross-thematic approaches to research and technology subjects relevant to more than one theme.

In the case of subjects of industrial relevance in particular, the topics have been identified relying, among other sources, on the work of different “European Technology Platforms” set up in fields where Europe’s competitiveness, economic growth and welfare depend on important research and technological progress in the medium to long term. European Technology Platforms bring together stakeholders, under industrial leadership, to define and implement a Strategic Research Agenda. This Framework Programme will contribute to the realisation of these Strategic Research Agendas where these present true European added value.

Add:

In complementation to the existing "European Technology platforms”, the European Commission will set up a “European Social Innovation Platform” which brings together under NGO leadership non for profit civil society organisations (NGOs, unions, associations, etc.), research institutions and regulatory authorities at the European level in order to define a research agenda on and help emerge participatory research projects with socially high innovation quality.
The nine themes also include research needed to underpin the formulation, implementation and assessment of EU policies, such as in the areas of health, safety, consumer protection, energy, the environment, development aid, fisheries, maritime affairs, agriculture, animal welfare, transport, education and training, employment, social affairs, cohesion, and justice and home affairs, along with pre-normative and co-normative research relevant to improving the quality of standards and their implementation.

Under each theme, beside these activities, the possibility will be ensured to address two types of opportunities and needs in an open and flexible way:

- **Emerging needs**: through specific support for spontaneous research proposals aiming at identifying or further exploring, in a given field and/or at the intersection of several disciplines, new scientific and technological opportunities, in particular linked with a potential for significant breakthroughs;

- **Unforeseen policy needs**: to respond in a flexible way to new policy needs that arise during the course of the Framework Programme, such as unforeseen developments or events requiring a quick reaction like, the new epidemics, emerging concerns in food safety or natural disaster response.

In order to strengthen the diffusion and use of the output of EU research, the dissemination of knowledge and transfer of results, including to policy makers, will be supported in all thematic areas, including through the funding of networking initiatives, seminars and events, assistance by external experts and information and electronic services in particular CORDIS

Actions to support innovation will be taken under the Competitiveness and Innovation Programme. Support will also be provided to initiatives aiming at engaging the dialogue on scientific issues and research results with a

Unforeseen policy needs: to respond in a flexible way to new policy needs that arise during the course of the Framework Programme, such as unforeseen developments or events requiring a quick reaction like, the rise of oil prices and the depletion of natural resources, the new epidemics, emerging concerns in food safety or natural disaster response.

In order to strengthen the diffusion and use of the output of EU research, the dissemination of knowledge and transfer of results, including to policy makers and CSOs, will be supported in all thematic areas, including through the funding of networking initiatives, seminars and events, assistance by external experts and information and electronic services in particular CORDIS

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broad public beyond the research community, and in the field of scientific communication and education. Ethical principles and gender aspects will be taken into account.

Across all these themes, support to transnational cooperation will be implemented through:

• Collaborative research;
• Joint Technology Initiatives;
• Co-ordination of research programmes;
• International Co-operation

**Collaborative research** Collaborative research will constitute the bulk and the core of EU research funding. The objective is to establish, in the major fields of advancement of knowledge, excellent research projects and networks able to attract researchers and investments from Europe and the entire world. This will be achieved by supporting collaborative research through a range of funding schemes: Collaborative projects, Networks of Excellence, Co-ordination/support actions (see Annex III)

**Joint Technology Initiatives** In a limited number of cases, the scope of a RTD objective and the scale of the resources involved justify setting up long term public private partnerships in the form of Joint Technology Initiatives. These initiatives, mainly resulting from the work of European Technology Platforms and covering one or a small number of selected aspects of research in their field, will combine private sector investment and national and European public funding, including grant funding from the Research Framework Programme and loan finance from the European Investment Bank. Joint Technology Initiatives may be decided on the basis of Article 171 of the Treaty (this may include the creation of a joint undertaking) or on the basis of the Specific Programme Decisions in accordance with Article 166 of the Treaty. Potential Joint Technology Initiatives will be identified on the basis of a series of criteria including: – Added value of European-level intervention

– The degree and clarity of definition of the democratic governance of scientific and technological choices, the development of projects with non for profit civil society actors (co-production of knowledge), engaging the dialogue on scientific issues and research results with a broad public beyond the research community, and in the field of scientific communication and education. Ethical principles and gender aspects will be taken into account.
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<th>Objective to be pursued</th>
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<td>– Strength of the financial and resource commitment from industry</td>
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<td>– Scale of the impact on industrial competitiveness and growth</td>
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<td>– Importance of the contribution to broader policy objectives</td>
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<td>– Capacity to attract additional national support and leverage current or future industry funding</td>
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<td>– Inability of existing instruments to achieve the objective</td>
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Particular attention will be paid to the overall coherence and coordination between Joint Technology Initiatives and national programmes and projects in the same fields.

**Co-ordination of non-Community research programmes**

The action undertaken in this field will make use of two main tools: the ERA-NET scheme and the participation of the Community in jointly implemented national research programmes (Treaty Article 169). The action may cover subjects not directly linked to the nine themes in as far as they have a sufficient EU added value. The action will also be used to enhance the complementary and synergy between the Framework Programme and activities carried out in the framework of intergovernmental structures such as EUREKA and COST.

The ERA-NET scheme will develop and strengthen the coordination of national and regional research activities by: – Providing a framework for actors implementing public research programmes to step up the coordination of their activities. This will include support for new ERA-NETs as well as for the broadening and deepening of the scope of existing ERA-NETs, e.g. by extending their partnership, as well as opening mutually their programmes; – Providing additional EU financial support to those participants that create a common fund for the purpose of joint calls for proposals between their respective national and regional programmes (“ERA-NET PLUS”).
The participation of the Community in national research programmes jointly implemented on the basis of Article 169 is especially relevant to European co-operation on a large scale in “variable geometry” between Member States sharing common needs and/or interests. Such Article 169 initiatives will be launched in areas to be identified in close association with the Member States, including the possible cooperation with intergovernmental programmes, on the basis of a series of criteria:

- Relevance to EU objectives
- The clear definition of the objective to be pursued and its relevance to the objectives of this Framework Programme
- Presence of a pre-existing basis (national research programmes existing or envisaged)
- European added value
- Critical mass, with regard to the size and the number of programmes involved, the similarity of activities they cover
- Efficiency of Article 169 as the most appropriate means for achieving the objectives.

**International co-operation**

International cooperation actions under this part of the Framework Programme will be:

- The opening of all activities carried out in the thematic areas to researchers and research institutions from all third countries, with a strong effort to encourage them to seize this opportunity
- Specific co-operation actions in each thematic area dedicated to third countries in the case of mutual interest in co-operating on particular topics. Closely associated with the bilateral co-operation agreements or multilateral dialogues between the EU and these countries or groups of countries, these actions will serve as privileged tools for implementing the co-operation between the EU and these countries. Such actions are, in particular: actions aiming at reinforcing the research capacities of candidate countries as well as neighbourhood countries; cooperative activities targeted at developing and emerging countries, focusing on their

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<th>Criteria</th>
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<td>Relevance to EU objectives</td>
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<td>Clear definition of objective and relevance</td>
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<td>Presence of pre-existing basis</td>
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<td>European added value</td>
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<td>Efficiency of Article 169</td>
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particular needs in fields such as health, agriculture, fisheries and environment, and implemented in financial conditions adapted to their capacities. This part of the Framework Programme covers the international co-operation actions in each thematic area and across themes. They will be implemented in coordination with those under the “People” and the “Capacities” part of the Framework Programme.