

Basic information	
<p>2005/0185(CNS)</p> <p>CNS - Consultation procedure Decision</p>	Procedure completed
<p>Research RTD, 7th EC Framework Programme 2007-2013: trans-national Cooperation specific programme on policy-defined themes</p> <p>Repealed by 2011/0402(CNS)</p> <p>Subject</p> <p>3.50.02.01 EC, EU framework programme 3.50.20 Scientific and technological cooperation and agreements</p>	

Key players				
European Parliament	Committee responsible		Rapporteur	Appointed
	ITRE Industry, Research and Energy		RIERA MADURELL Teresa (PSE)	05/10/2005
	Committee for opinion		Rapporteur for opinion	Appointed
	BUDG Budgets		XENOGIANNAKOPOULOU Marilisa (PSE)	20/09/2004
	ECON Economic and Monetary Affairs		The committee decided not to give an opinion.	
	EMPL Employment and Social Affairs		The committee decided not to give an opinion.	
	ENVI Environment, Public Health and Food Safety		The committee decided not to give an opinion.	
	TRAN Transport and Tourism		KOHLÍČEK Jaromír (GUE/NGL)	10/10/2005
	AGRI Agriculture and Rural Development		PIEPER Markus (PPE-DE)	23/11/2005
	CULT Culture and Education		BERLINGUER Giovanni (PSE)	07/10/2005
Council of the	Council configuration		Meetings	Date

European Union	Employment, Social Policy, Health and Consumer Affairs	2733	2006-06-01
	Competitiveness (Internal Market, Industry, Research and Space)	2715	2006-03-13
	Competitiveness (Internal Market, Industry, Research and Space)	2731	2006-05-29
	Agriculture and Fisheries	2774	2006-12-19
European Commission	Commission DG	Commissioner	
	Research and Innovation	POTOČNIK Janez	

Key events			
Date	Event	Reference	Summary
21/09/2005	Legislative proposal published	COM(2005)0440 	Summary
17/11/2005	Committee referral announced in Parliament		
13/03/2006	Debate in Council		
29/05/2006	Debate in Council		
01/06/2006	Resolution/conclusions adopted by Council		
10/10/2006	Vote in committee		
26/10/2006	Committee report tabled for plenary, 1st reading/single reading	A6-0379/2006	
29/11/2006	Debate in Parliament		
30/11/2006	Decision by Parliament	T6-0521/2006	Summary
30/11/2006	Results of vote in Parliament		
19/12/2006	Act adopted by Council after consultation of Parliament		
19/12/2006	End of procedure in Parliament		
30/12/2006	Final act published in Official Journal		

Technical information	
Procedure reference	2005/0185(CNS)
Procedure type	CNS - Consultation procedure
Procedure subtype	Legislation
Legislative instrument	Decision
Amendments and repeals	Repealed by 2011/0402(CNS)
Legal basis	EC Treaty (after Amsterdam) EC 166
Stage reached in procedure	Procedure completed
Committee dossier	ITRE/6/30536

Documentation gateway

European Parliament

Document type	Committee	Reference	Date	Summary
Committee opinion	AGRI	PE365.080	23/02/2006	
Committee opinion	TRAN	PE367.652	28/02/2006	
Committee opinion	CULT	PE367.924	21/03/2006	
Amendments tabled in committee		PE374.083	14/06/2006	
Amendments tabled in committee		PE374.414	15/06/2006	
Committee opinion	BUDG	PE374.072	22/06/2006	
Committee draft report		PE368.072	16/10/2006	
Committee report tabled for plenary, 1st reading/single reading		A6-0379/2006	26/10/2006	
Text adopted by Parliament, 1st reading/single reading		T6-0521/2006	30/11/2006	Summary

European Commission

Document type	Reference	Date	Summary
Legislative proposal	COM(2005)0440 	21/09/2005	Summary
Supplementary legislative basic document	COM(2005)0440/2 	24/05/2006	Summary
Document attached to the procedure	COM(2006)0239 	24/05/2006	Summary
Commission response to text adopted in plenary	SP(2007)0054	11/01/2007	
Follow-up document	COM(2011)0052 	09/02/2011	Summary
Follow-up document	COM(2014)0686 	30/10/2014	Summary
Follow-up document	SWD(2014)0335 	30/10/2014	Summary

Additional information

Source	Document	Date
European Commission	EUR-Lex	

Final act

Research RTD, 7th EC Framework Programme 2007-2013: trans-national Cooperation specific programme on policy-defined themes

2005/0185(CNS) - 21/09/2005 - Legislative proposal

PURPOSE: To establish a specific programme entitled "Co-operation" within the context of the EU's 7th research framework programme.

PROPOSED ACT: Council Decisions

CONTENT: The European Commission is presenting five "specific programmes" in follow up to the approval of the 7th Framework Programme in April 2005. The first relates directly to actions funded under the Joint Research Centre. The other four are entitled: Co-operation, Ideas, Peoples and Capacity. The one under discussion here is the Co-operation specific programme.

Background:

The restructuring of the RT&D framework programmes is a bid by the European Commission to help the EU achieve its goal of becoming the most competitive knowledge-based economy in the world by 2010 and to help the EU realise its ambition of devoting 3% of GDP to RT&D by the same date. The specific programmes identified by the Commission have been designed to address major weaknesses in the level, quality and impact of European research. Their creation represents a further consolidation of the European Research Area by offering financial support to the free movement of ideas, knowledge and researchers. The re-structuring of the programmes includes a number of core innovations, including, for example, allowing researchers (under some actions) to identify topics for future funding. Other advances include the setting up of a Risk-Sharing Facility to improve access to EIB loans for large scale European actions and the establishment of a European Research Council. The Commission is also looking to overhaul the management methods of the framework programme by introducing improved efficiency drives through the externalisation of administrative tasks to an executive agency, seeking a clearer presentation of evaluation criteria, guaranteeing transparent work programmes and streamlining procedures for approving projects.

Specific programme – Co-operation:

The Co-operation programme has been designed to offer leadership in key scientific and technological fields. It does so by supporting co-operation between universities, industry, research centres and public authorities at a European as well as global level. Within this context, the Co-operation programme will provide trans-national collaboration and assistance at every level of the research phase. In short, the over-arching aim of the specific programme is to promote research at the highest level of excellence through the exchange of ideas and research. There will be a strong accent on ethical considerations including the protection of human dignity and life, protection of personal data and privacy and environmental considerations in line with Community law.

Nine themes have been chosen to support this heading. They are: health, food, agriculture and bio-technology, information and communication technology, nano-sciences, nano-technologies, materials and new production technologies, energy, environment, transport, socio-economic sciences and humanities, security and space. The precise objective and approach of the nine themes are outlined in the Annexes. Pluri-disciplinary and cross-thematic research, including joint calls, will be encouraged. In order to make them industrially relevant, the Commission is setting up "European Technology Platforms", which will act as agents revising and updating emerging sciences. On the matter of emerging needs, the Commission is hoping that through specific support for research proposal, it will be able to help facilitate a more efficient system of targeted funding.

Within this context, the Commission is proposing the introduction of 'bottom-up' applications of presenting research proposals, whereby researchers, who have identified exciting research topics, can present them directly to the Commission for funding. These will be grouped under either 'adventure' or 'insight' actions. Another action, classified as 'pathfinder', allows the Commission to consider initiatives which focus on specific, highly challenging objectives in emerging scientific fields. In addition the Commission is offering the possibility of altering the annual work programme in cases where an unforeseen policy need has been identified – such as a sudden epidemic or an unexpected food scare.

A further key feature of the Co-operation programme is the successful application of knowledge transfer. It is widely recognised that translating successful research into either an economic or societal gain can be frustratingly slow. If the EU is serious in its bid to become a more dynamic and knowledge-based economy than the successful transfer of knowledge is considered crucial to the achievement of this objective. The Commission is therefore introducing a number of measures to help facilitate and encourage the dissemination of European research. This will be implemented in each thematic area by integrating and disseminating knowledge transfer actions within projects through, for example, financing schemes. Other proposed measures include offering dissemination actions, which actively seek to disseminate results from past, present and future research projects.

A further scheme being presented under the Co-operation programme is the Joint Technology Initiative. The Joint Technology Initiative responds to the need for long term public private partnership in certain fields of large-scale and on-going research activities. The research referred to here typically involves a small number of highly selective research fields. The European Investment Bank will be involved in offering loan finance. Funding for JTI will be decided on the basis of separate proposals and will be selected on the basis of a few key criteria. The initiatives must be able to prove that they offer added value for Europe as a whole, prove they have the support of industry, offer industrial competitive advantages, contribute to broader policy objectives and show national support. Scientific areas, which have already been identified as JTI compatible, include, *inter alia*, global environment monitoring, nano-electronics and embedded computing systems.

The co-ordination of non-Community research programmes is also listed as a key objective of the Co-operation programme. In this case the action makes use of two main tools, namely ERA-NET and the participation of the Community in jointly implemented national research programmes. Existing ERA-NET research from the 6th framework programme will be allowed to submit follow-up proposal or to broaden the consortia to new participants. In addition, the scheme will be opened to public bodies planning a research programme but which is not yet in operation. The action seeks to enhance synergies between the EU's framework programme and inter-governmental structures such as EUREKA.

Lastly, the Co-operation specific programme will offer international co-operation in order to promote European competitiveness and to address specific problems faced by third world countries. International co-operation will be implemented according to each of the nine thematic fields of research. It will work by opening up all activities carried out in the thematic area and will co-ordinate with the other specific actions foreseen by the 7th framework programme – specifically under the heading “People” and “Capacities”.

For further information concerning the financial implications of this measure, please refer to the financial statement.

Research RTD, 7th EC Framework Programme 2007-2013: trans-national Cooperation specific programme on policy-defined themes

2005/0185(CNS) - 09/02/2011

The Commission presents its response to the report of the expert group(<http://ec.europa.eu/research/evaluations>) on the interim evaluation of FP7 (Seventh Framework Programme for Research) established by Decision No 1982/2006/EC and to the report by the IEG on the interim evaluation of the Risk-Sharing Finance Facility. The report was submitted on 12 November 2010. This Communication responds to the recommendations in these evaluations by outlining which actions the Commission intends to take or has already taken, but also indicating where no obvious or immediate solution exists. It is clear that a number of the issues raised, in particular regarding the design and content of the Framework Programmes and financial rules which govern their implementation, cannot be addressed by the Commission alone, but will need the engagement of a wider group of actors including the Member States, the Council and the European Parliament working together.

The report provides a detailed assessment of the implementation of FP7 so far and presents 10 recommendations for improvements:

Advance the European Research Area and Innovation Union objectives: the Commission states that future EU research programmes must provide a clearer focus on the major research items for science, technological leadership and industrial competitiveness and focus on the large societal challenges. Such an approach needs to be developed within the framework of the European Research Area, identifying areas of common or convergent interest, while ensuring better alignment of research capacities. The Innovation Union sets out how the [Europe 2020](#) objectives of smart, sustainable and inclusive growth can be achieved through a strategic and integrated approach to research and innovation. The [Green Paper on a Common Strategic Framework for EU Research and Innovation funding](#) will launch a wide public debate on the key issues to be taken into account in future programmes.

Develop and implement high quality research infrastructures: the Commission recognises that infrastructure funding will be improved through better alignment of the FP, with funding from the European Investment Bank and Structural Funds. Following the Europe 2020 Strategy a work package on innovation could be included in all research infrastructure projects thereby favouring greater involvement of industry. The work programme 2012 will better highlight the possibility for researchers from third countries to benefit from access to European research infrastructures. The development of e-Infrastructures will connect researchers, instruments, data and computation resources throughout Europe, creating a seamless "online ERA". As an integral part of the Digital Agenda flagship initiative, this work will continue in the second half of FP7.

Maintain, at least, the level of funding: the Europe 2020 strategy acknowledges that research and innovation are the key engines of societal progress and economic prosperity. a common strategic framework will ensure a more efficient use of the EU's research and innovation funding by enhancing its EU added value, making it more results oriented, and by leveraging other public and private sources of funding.

Encourage participation from a broad spectrum of small and large enterprises, universities and research and technology organisations through a well-articulated innovation strategy: the Commission agrees with the recommendation which is convergent with the orientations provided in the Communication on Innovation Union within the context of the Europe 2020 Strategy. While Innovation Union commitments will only be fully implemented in the next generation of spending programmes, the Commission is already investing significant effort in enhancing the innovation impact of the current Framework Programme. This will be achieved in the remaining FP7 work programmes, including through funding for projects which take research results closer to market (e.g. demonstration projects) and additional emphasis on innovation impacts in evaluating proposals. In addition, further funding will be provided for both SME specific projects and topics which are attractive to SMEs or organisations that are 'new comers' to FP7.

Achieve a quantum leap with simplification: the Commission has acknowledged the need for further simplification, and refers to the Communication on simplifying the implementation of the FPs presenting a set of short term and longer term options.

The mix of funding measures in FP7 and successor programmes should strike a different balance between bottom-up and top-down approaches to research: significant parts of FP7 already provide bottom-up approaches to research. These include the Marie Curie Actions for researcher training and mobility and the European Research Council (ERC) for curiosity-driven research. Also noteworthy is the Future and Emerging Technology (FET) scheme which, through top-down thematic calls combined with bottom-up open calls is supporting multidisciplinary exploratory research in ICT. The **move towards more bottom-up funding** is set to continue, with the Commission proposal for further open, challenge-driven calls for proposals in the final years of FP7. Beyond this, the Innovation Union has committed to strengthen the role of the ERC and the issue of bottom-up versus top-down approaches will feature strongly in the orientation debate on the next FP.

Consider a moratorium on new instruments until the existing ones have been sufficiently developed and adequately evaluated: the Commission will examine the current portfolio of instruments to identify areas for simplification, possible redundancy and potential gaps. Novel approaches such as prizes or innovative procurement schemes should also be considered. This work will be supported in a number of ways including discussions within the European Research Area Committee (ERAC) and the forthcoming 'Communication on Partnerships'. The resulting ideas will be reflected in the proposals for the next FP.

Take further steps to increase female participation in FP7: the Commission attaches great importance to this issue although notes, since the FP is only a small part of total European research activity, the limits to what it can achieve on its own. Real progress necessitates a common approach actively supported by funding agencies and researchers across the European Research Area. In this context, the Commission accepts the challenge of taking a leading role. Further to the current activities - notably the 40% target; monitoring, awareness and promotion activities; and successes under the Marie Curie Actions - a series of additional activities are proposed. The Commission will launch new analyses with the support of Member States and research institutions to identify, by end 2011, the cultural and situational factors which help shape female researcher participation, as well as measures to overcome these.

Build connections between the FP and Structural Funds in order to pave the way for increased participation from Member States that are under-represented: a specific example of progress already being made is the Synergies Expert Group (SEG), set up to find synergies between FP7, the Structural Funds and the Competitiveness and Innovation Framework Programme. The Europe 2020 flagship initiatives on Innovation Union and the Digital Agenda have significant implications for achieving a better alignment of EU policies and activities, including research, innovation and cohesion funding.

Carry out a review based upon a thorough analysis of the current strategy towards international cooperation: the Commission will carry out a major review of its strategy for international collaboration. This will examine how to build critical mass and specialisation, in areas of European need and comparative advantage.

RSFF: as a positive interim evaluation of the RSFF is a prerequisite for the release of the second tranche of EUR 500 million of FP7 funding to the RSFF for the period from 2011 to 2013, the Commission notes that this release is strongly recommended by both the RSFF IEG and the FP7 Interim Evaluation Expert Group. By voting the EU Budget 2011, the Council and the European Parliament have already provided their agreement on principle to the release of the second tranche (budget of EUR 250 million for 2011). The Commission however invites them to provide a more formal answer later in 2011, on the whole period (2011-2013), if they deemed it appropriate.

The Commission fully endorses the recommendations of the IEG to address the needs of currently underrepresented groups in RSFF (i.e. SMEs, universities/research organisations and research infrastructures). Technical negotiations between the Commission and the EIB are already taking place on finding concrete solutions and new approaches on how to achieve these objectives, including in particular changes of risk-sharing, portfolio approaches, increase of risk levels, and introduction of equity funding. This work will lead to an amendment of the EC/EIB agreement on RSFF implementation already in the first half of 2011.

Research RTD, 7th EC Framework Programme 2007-2013: trans-national Cooperation specific programme on policy-defined themes

2005/0185(CNS) - 19/12/2006 - Final act

PURPOSE: to adopt the Specific Programme "**Co-operation**" under the 7th Framework Programme.

LEGISLATIVE ACT: Council Decision 2006/971/EC concerning the Specific Programme "Co-operation" implementing the Seventh Framework Programme of the European Community for research, technological development and demonstration activities (2007-2013).

CONTENT: the adoption of the Specific Programme "Co-operation" stems from Council Decision 1982/2006/EC concerning the Seventh Framework Programme (2007-2013). See: [COD/2005/0043](#). The new 7th Framework Programme is centred on four research pillars: : Co-operation; Ideas; People; and Capacity.

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Nine themes have been chosen to support this heading. They are:

- 1) health;
- 2) food, agriculture and bio-technology;
- 3) information and communication technology;
- 4) nano-sciences, nano-technologies, materials and new production technologies;
- 5) energy;
- 6) environment (including climate change);

- 7) transport (including Aeronautics);
- 8) socio-economic sciences and humanities;
- 9) space; and
- 10) security.

Pluri-disciplinary and cross-thematic research, including joint calls, will be encouraged. Special attention will be given to projects that cut across themes such as marine sciences and technologies. In order to make projects as industrially relevant as possible, the Commission is setting up "European Technology Platforms", which will act as agents revising and updating emerging sciences.

Within this context, 'bottom-up' applications for presenting research proposals have been approved, whereby researchers, who have identified exciting research topics, can present them directly to the Commission for funding. These will be grouped under either 'Adventure' or 'Insight' actions. Another action, classified as 'Pathfinder', allows the Commission to consider initiatives which focus on specific, highly challenging objectives in emerging scientific fields. In addition the Commission is offering the possibility of altering the annual work programme in cases where an unforeseen policy need has been identified – such as a sudden epidemic or an unexpected food scare.

A further key feature of the Co-operation programme is the successful application of knowledge transfer. A number of measures have therefore been introduced to help facilitate and encourage the dissemination of European research. This will be implemented in each thematic area by integrating and disseminating knowledge transfer actions within projects through, for example, financing schemes. Other measures include offering dissemination actions, which actively seek to disseminate results from past, present and future research projects.

The role of SMEs in furthering the strengthening of a European Research Area has been recognised and particular attention is given to their needs under the Co-operation Specific Programme. SME participation will be facilitated across the entire thematic areas through improved financial and administrative procedures and enhanced flexibility in terms of choosing what financial scheme is most appropriate to a given need.

Collaborative research will form the bulk as well as the core of Community research funding. The main objective being to establish excellent research projects and networks capable of attracting the brightest researchers and investment to Europe.

A further scheme being presented under the Co-operation programme is the Joint Technology Initiative. The Joint Technology Initiative responds to the need for long term public private partnership in certain fields of large-scale and on-going research activities. The research referred to typically involves a small number of highly selective research fields. The European Investment Bank will be involved in offering loan finance. Funding for JTI will be decided on the basis of separate proposals and will be selected on the basis of a few key criteria. The initiatives must be able to prove that they offer added value for Europe as a whole, prove they have the support of industry, offer industrial competitive advantages, contribute to broader policy objectives and show national support. Scientific areas, which have already been identified as JTI compatible, include, *inter alia*, global environment monitoring, nano-electronics and embedded computing systems.

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On a final point there will be a strong accent on ethical considerations including the protection of human dignity and life, protection of personal data and privacy and environmental considerations, in line with Community law.

ENTRY INTO FORCE: 2 January 2007.

Research RTD, 7th EC Framework Programme 2007-2013: trans-national Cooperation specific programme on policy-defined themes

2005/0185(CNS) - 30/11/2006 - Text adopted by Parliament, 1st reading/single reading

The European Parliament adopted a resolution based on the report drafted by Teresa **RIERA MADURELL** (PES, Spain) on the proposal for the Specific Programme "Cooperation" implementing the Seventh Framework Programme (2007-2013).

The following amendments were adopted in plenary:

- actions under the programme should be made as effective as possible by enhancing complementarity and synergy with other Community programmes and actions, in particular those on structural funds, agriculture, education, training, culture, competitiveness and innovation, industry, health, consumer protection, employment, energy, transport, environment and the information society;

- special consideration should be given to multidisciplinary and interdisciplinarity;
- the Programme should focus in particular on the transfer of knowledge, results and technologies from the public research sector to businesses, particularly SMEs, and on mechanisms to ensure that business needs are passed on to research teams in an effective and coordinated manner;
- it should take due account of the important role played by regions in implementing the European Research Area;
- the Programme should contribute to the grant to the European Investment Bank for the constitution of a "Risk-Sharing Finance Facility" in order to improve access to EIB loans. Similarly, it should provide an equal amount of financial support with a view to covering the risks arising from SME involvement in projects, sparing them the need to provide bank guarantees. Given the importance to EU competitiveness of SME development, particular attention will be paid to helping high-tech SMEs to get access to research, in accordance with Article 169 of the Treaty (the EUREKA and "EUROSTARS" programmes);
- research activities must confirm the civic and humanistic value of research, with due regard for ethical and cultural diversity;
- despite the interconnections between space and security, these two subjects must be treated as two separate and well-defined priorities;
- the Commission shall take all necessary steps to verify that the actions financed are carried out effectively and in compliance with the provisions of Regulation 1605/2002;
- the overall administrative expenditure of the Specific Programme, including internal and management expenditure for the executive agency which it is proposed to set up, should be proportional to the activities undertaken under the Specific Programme and is subject to the decision of the budgetary and legislative authorities. Budget appropriations shall be used in accordance with the principle of sound financial management, namely in accordance with the principles of economy, efficiency and effectiveness, as well as the principle of proportionality;
- as with all the specific programmes, Parliament inserted a new clause stating that the Commission shall provide prior information to the budgetary authority whenever it intends to depart from the breakdown of expenditure stated in the remarks in and annex to the annual budget;
- the work programme will specify the criteria on which proposals for indirect actions under the funding schemes shall be evaluated and projects selected, while recognising the compatibility of the participation of researchers and groups in national and European programmes simultaneously;
- 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 the programme;
- Parliament makes it clear that the primary purpose of research should be to increase knowledge. The overarching aim is to contribute to an increase in knowledge and also to sustainable development within the context of promoting research at the highest level of excellence. Research is a fundamental instrument for encouraging social inclusion, active citizenship and participation, economic growth, competitiveness, health and quality of life;
- in the case of university-industry partnerships, the Commission will undertake to disseminate the results of basic and applied research, where these are of public interest and directed to the common good;
- special attention will be paid to enhancing cohesion between EU Member State and regions in the sphere of science and technology, with particular reference to measures to reduce the technology gap between various areas by selective boosting of the technological capacities of undertakings at all levels. To this end, Framework Programme activities will be coordinated with the action lines of other Community policies, particularly regional policy and competitiveness and innovation policy;
- tourism-related technologies, green engineering and chemistry, and environmental health are included under pluridisciplinary and cross-thematic research;
- the work programme will specify the activities that are to be subject to special coordination with those coming under other specific programmes and will establish the mechanisms required in order for such coordination to be effective;
- Parliament defined "Foresight actions" as identifying at an early stage developments and trends with significant prospective applications;
- international cooperation must create the basis for research activities and capacities in the developing countries and to consolidate and strengthen the bodies responsible: universities and public and private centres for the training of researchers;
- the programme must support the mobility of third country scientists to ensure that they have the best conditions enabling them to work in and with Europe and facilitating their subsequent return home.

Research RTD, 7th EC Framework Programme 2007-2013: trans-national Cooperation specific programme on policy-defined themes

2005/0185(CNS) - 24/05/2006 - Supplementary legislative basic document

On 21 September 2005, the Commission presented a proposal for a Council Decision concerning the specific programme "Cooperation" implementing the seventh Framework Programme (2007-2013) of the European Community for research, technological development and demonstration activities.

The overall financial amount initially proposed by the Commission amounted to **EUR 44 332,173**.

The Commission subsequently adapted the budgetary aspects of these proposals following the Interinstitutional Agreement of 17 May 2006 on the Financial Framework 2007-2013.

The new overall amount is set at **EUR 32 292 million**, of which less than 6% shall be for the Commission's administrative expenditure.

Please refer to the financial statement for more details.

Research RTD, 7th EC Framework Programme 2007-2013: trans-national Cooperation specific programme on policy-defined themes

2005/0185(CNS) - 24/05/2006

Package of legislative proposals following the Interinstitutional Agreement on budgetary discipline and sound financial management

The conclusion on 17 May 2006 by the Commission, the Council and the European Parliament of the agreement on the 2007-2013 financial framework (Interinstitutional Agreement on budgetary discipline and sound financial management – please refer to procedure ACI/2004/2099) marks a real success for Europe, providing a stable financial framework for the political priorities of the enlarged Union for the next seven years. It is now up to the institutions and Member States to ensure that the financial resources available are used and implemented as well as possible. Action at European level must contribute true added value to that taken at national, regional or local level and must have an optimum impact on each European player. The Commission is ready to play a full role in all these areas.

The agreement marks a decisive step forward towards the ultimate objective of providing the Union with operational programmes by the beginning of 2007. Work must now be continued on each legislative act. To this end, the Commission intends to continue to provide momentum and act as a facilitator, as it has been doing since the start of the negotiations.

As part of the negotiations on the 2007-2013 financial framework, in October 2005 the European Parliament, the Council and the Commission adopted a joint declaration in which they undertook to continue work on the legislative proposals currently being discussed and then, once the interinstitutional agreement had been adopted and on the basis of amended proposals by the Commission, to reach agreement on each of these proposals. Thus, in accordance with Article 250(2) of the EC Treaty and in order to facilitate this phase for each legislative act, the Commission has adopted a total of 30 proposals, 26 of which are amended and 4 new.

The **proposals amended as a result of the IIA** are as follows:

Programmes concerning the external policy of the Union and development cooperation:

- Ø COD/2004/0219 (European Neighbourhood and Partnership Instrument)
- Ø COD/2004/0220 (development co-operation and economic co-operation instrument)

Solidarity and Management of Migration Flows Programme(JHA):

- Ø COD/2005/0046 (European Refugee Fund)
- Ø COD/2005/0047 (External borders fund, 2007-2013)
- Ø COD/2005/0049 (European Return Fund)

Fundamental Rights and Justice Programme (JHA):

- Ø COD/2005/0037/A(DAPHNE)
- Ø COD/2005/0037/B (drugs prevention and information)

RDT Framework Programme and specific programmes :

- Ø COD/2005/0043 (RDT Framework Programme)
- Ø CNS/2005/0044(Nuclear Research Programme)
- Ø CNS/2005/0184 (Joint Research Centre - JRC)
- Ø CNS/2005/0185 (Transnational cooperation specific programme)
- Ø CNS/2005/0186 (Specific programme Ideas, frontier research)
- Ø CNS/2005/0187(Specific programme supporting researchers)
- Ø CNS/2005/0188 (RDT Capacities specific programme)
- Ø CNS/2005/0189 (specific programme direct actions by the Joint Research Centre JRC)

Ø CNS/2005/0190 (fusion energy, nuclear fission and radiation protection specific programme)

Employment and social cohesion Programme: COD/2004/0158

- Programmes in the fields of youth and education:
 - Ø COD/2004/0152 (Youth)
 - Ø COD/2004/0153 (Education – lifelong learning)
- Consumer Protection and Public Health Framework programme:
 - Ø COD/2005/0042/A (Public health)
 - Ø COD/2005/0042/B (Consumers)
- Programme in the fields of energy, environment and transport :
 - Ø COD/2004/0218 (LIFE+)
 - Ø COD/2004/0154 (TransEuropean networks in the areas of energy and transport)
 - Ø CNS/2004/0221 (Decommissioning of the Bohunice nuclear plant)
- GALILEO (radio-navigation by satellite): COD/2004/0156

In terms of **new proposals**, the Commission has already submitted three in the area of agriculture and rural development policy and fisheries and aquaculture policy:

- Ø CNS/2006/0081 (fisheries and aquaculture)
- Ø CNS/2006/0082 (rural development)
- Ø CNS/2006/0083 (common agricultural policy).

Certain legislative acts do not form part of this package of measures, in particular those on which political agreement has been reached since 17 May. For these measures, the Commission has played a full part in helping to bring about agreement between the arms of the legislative authority. The same applies to the acts for which conclusion of the interinstitutional agreement does not modify the Commission's original proposal. For all the others, which are included in the package presented, the changes proposed by the Commission take account of the content of the interinstitutional agreement adopted, either in a simplified form, where the financial resources allocated to each programme must be adapted, or in a more detailed form where the structure or even the content of the act must be revised. It should also be noted that four of the amended proposals contain amendments already voted on by the European Parliament at first reading and that one proposal has been divided into two amended proposals in response to a request by the Council and the European Parliament, although Parliament has not yet proceeded to a first reading of this proposal.

Based on these amended proposals, the Commission calls on the European Parliament and the Council to continue their discussions of these proposals and conclude them as soon as possible in order to ensure that all the legal instruments are available in time for the effective launch of the programmes in January 2007.

Research RTD, 7th EC Framework Programme 2007-2013: trans-national Cooperation specific programme on policy-defined themes

2005/0185(CNS) - 30/10/2014

This Staff Working Document (SWD) constitutes an Annex to the report of the Commission to the European Parliament and the Council on financial instruments supported by the general budget according to Article 140(8) of the [Financial Regulation](#) as at 31 December 2013. It provides specific information on individual financial instruments, their progress made in implementation and their environment in which they operate.

Financial instruments are a proven way to achieve EU policy objectives. They use EU funds to support economically viable projects and attract very significant volumes of public and private financing. By injecting money into the real economy, financial instruments contribute to the achievement of the EU policy objectives enshrined in the Europe 2020 Strategy, notably in terms of employment, innovation, climate change and energy sustainability, education and social inclusion.

The report gives detailed information on each financial instrument.

The InnovFin Large Projects, InnovFin MidCap Growth Finance and InnovFin MidCap Guarantee

The report notes that there is evidence that larger, established R&I-intensive firms have problems in accessing debt finance to fund innovation projects.

To address R&I financing needs, which can hardly be met at the national level, the Commission has set up the Risk-Sharing Finance Facility (2007-2013) and its successor InnovFin Large Projects, InnovFin MidCap Growth Finance and InnovFin MidCap Guarantee under [Horizon 2020](#).

The InnovFin Large Projects, InnovFin MidCap Growth Finance and InnovFin MidCap Guarantee aim to improve access to risk finance for R&I projects emanating from large firms and medium and large midcaps, universities and research institutes, R&I infrastructures (including innovation-enabling infrastructures), public-private partnerships, and special-purpose vehicles or projects (including those promoting first-of-a-kind, commercial-scale industrial demonstration projects).

The successor financial instrument (2014-2020) continues and refines the Risk-Sharing Finance Facility (RSFF) under FP7, and offers loans and hybrid or mezzanine finance.

InnovFin Large Projects, InnovFin MidCap Growth Finance and InnovFin MidCap Guarantee will contribute to achieving the policy objectives of Horizon 2020 by improving access to loan finance for a range of target groups such as innovative companies, research institutions, public-private-partnerships and research infrastructures investing in research and innovation across the societal challenges of Horizon 2020.

Research RTD, 7th EC Framework Programme 2007-2013: trans-national Cooperation specific programme on policy-defined themes

2005/0185(CNS) - 30/10/2014

This report from the Commission concerns financial instruments supported by the general budget according to Article 140(8) of the Financial Regulation as at 31 December 2013.

The report focuses on all centrally-managed Financial Instruments for internal and external Union policies supported by the general budget according to Article 140(8) of the [Financial Regulation](#) as of 31 December 2013.

To recall, financial instruments, including loans or guarantees with greater risk capacity, represent a smart way to finance the real economy, and boost growth and employment. They can achieve financial leverage (multiplying scarce budgetary resources by attracting private and public funds to support EU policy objectives), policy leverage (incentivising entrusted entities and financial intermediaries to pursue EU policy objectives through alignment of interest), and institutional leverage (benefiting from the expertise of the actors involved in the implementation chain).

This report is the **first to be prepared under the new requirements of the Financial Regulation**. It is intended to **provide an informative overview of how the taxpayer's money has been used** and of the progress made in the implementation of the Financial Instruments as of 31 December 2013.

The report is complemented by a Commission Staff Working Document which provides specific information on individual financial instruments, their progress made in implementation and their environment in which they operate.

The report highlights that **important outcomes have been achieved through the use of Financial Instruments in the years 2007-2013**, and they will play an even more significant role in the 2014-2020 Multi-annual Financial Framework (MFF). The budgetary authorities have expressed their **political commitment and increased the necessary resources**. Furthermore, the Financial Regulation has been extended with a dedicated chapter, setting up the appropriate regulatory framework for Financial Instruments' design, management and reporting.

The main conclusions of the report are:

(1) **The implementation of the 2007-2013** centrally-managed financial instruments has been instrumental in helping to **alleviate financial market failures and leverage the positive effects of EU-wide actions**. For example, in the 2007-2013 period, the main EU-level financial instruments dedicated to SME support (CIP-GIF, CIP-SMEG 07 and RSI) and micro-SME support (EPMF) with an overall contribution (EU commitments) of more than EUR 1.6 billion, mobilised lending of nearly EUR 17.9 billion and also supported equity investments of about EUR 2.8 billion, thus enhancing access to finance for more than 336 000 SMEs.

(2) **The achieved leverage** is equal to 5 for Equity Instruments, and ranges from 4.8 to 31 for Guarantee instruments, from 10 to 259 for Risk-sharing instruments, from 1.54 to 158 for Dedicated Investment Vehicles, from 5 to 7 for Financial Instruments in the Enlargement Countries, from 5 to 27.6 for Financial Instruments in Neighbourhood Countries and Countries covered by the Development Cooperation Instrument.

With the experience gained in the course of implementation during the 2007-2013 period, and in the context of programme evaluations and audits, several lessons have been learned on how to further improve the design and management of financial instruments:

- best practices have been capitalised on the design and the management of the new generation of financial instruments;
- further, Financial Instruments will now cover **all main types of final recipients over the full funding cycle** and will include offer of both pro- and counter-cyclical instruments to respond flexibly to market needs, based on demand-driven implementation;
- effectiveness and efficiency have been enhanced through fewer instruments with larger volumes, ensuring critical mass in full consistency with State aid rules;
- alignment of interest with entrusted entities and financial intermediaries will be further achieved through fees and incentives, and risk sharing.

Since 2013 is the last year of commitment for the 2007-2013 programming period for a number of instruments, a final evaluation assessing the extent to which objectives have been achieved has not been finalised. More qualitative and in-depth feedback on the attainment of objectives will be available within one year and will be duly reported upon.