

**PROVISIONAL\* WORK PROGRAMME 2007**

***COOPERATION***

**ANNEX 4**

***GENERAL ACTIVITIES***

***(European Commission C(2006) 6839)***

\* This provisional work programme is subject to formal confirmation following the entry into force of the 7<sup>th</sup> EC Framework Programme and the Specific Programme Cooperation

## Annex 4 General Activities

In this annex, the activities which are funded across the Programme are presented. These activities concern in particular the following:

### **Dissemination, knowledge transfer and broader engagement**

1. The CORDIS services

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

2. The horizontal ERA-NET scheme
3. Research organisations in the EU
4. Strengthened coordination with EUREKA
5. Scientific and technological cooperation activities carried out in COST

### **Risk-Sharing Finance Facility**

6. Contribution to the European Investment Bank (EIB)

#### **A4.1 THE CORDIS SERVICES**

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 for all thematic areas. This will be implemented by means of CORDIS, a portal for "Community Research and Development Information Service", and other sources of financing relating to dissemination, knowledge transfer and broader engagement, which will provide services to foster the dissemination of knowledge and the exploitation of research results. The costs for CORDIS activities, which are listed below, for 2007 will be a maximum of 7 million €<sup>1</sup>. The activities will be implemented through an administrative arrangement with the Office for Official Publications of the European Communities (OPOCE).

The description below is indicative. The precise content will be further negotiated and laid down in Service Level Agreement(s) to be agreed upon in the first quarter of 2007.

The CORDIS activities for the Framework Programmes will be:

- CORDIS Online (editorial, news, promotion)
  - Setting-up the Europa CORDIS site, focusing on all activities of the Framework Programmes.

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<sup>1</sup> To be taken from the Themes in the Co-operation Programme on a pro-rata basis.

- Editorial support (e.g. animation, coordination, guidance) to Information Providers from the various EU services funded by the Framework Programmes to populate and update the CORDIS information services.
- Editorial activities to inform on the implementation of the Framework Programmes, in particular the launch of the first calls for proposals.
- Daily production of CORDIS news (average of six per day) on events, information relating to the Framework Programmes (e.g. call for proposals).
- Editorial support (e.g. animation, coordination, guidance) toward national and regional contact points (cf. ERA links, ERAwatch, NCP – National contact points) of the Framework Programmes.
- Governance via editorial committees and advisory groups.
- Promotion and marketing activities of the CORDIS services in various conferences, exhibitions and official events focusing on R&D.
- Publications (CORDIS Focus, news and supplements)
  - Production of the CORDIS Focus bulletin:
    - CORDIS Focus News : monthly editions in six languages
    - CORDIS Focus Results supplement: 10 editions in one language
    - CORDIS Focus – Thematic supplement: 10 editions in appropriate number of languages (up to six) according to target audience
    - CORDIS Focus – SME supplement: two editions in six languages
  - Printing and dissemination to subscribers, including management of distribution list, user surveys (dissemination mainly using CORDIS electronic notification service, print on demand and cost recovery for additional copies).
  - Production of posters, flyers, and factsheets.
- Value added information services for the Framework Programmes
  - Corrective and evolutive maintenance of the core services offered as part of CORDIS for supporting the Framework Programmes:
    - Front end for the Framework Programme expert registration system
    - Front end to the Framework Programme call and management services
    - Front end to Framework Programme preparation of proposals and their submission
    - Front end to the National Contact Points located in the Member States, Associated Countries and Third Countries (where relevant)

- Web content management environment for empowerment of Information Providers
- News, News Express, Events, press releases, and CORDIS wire
- Online Forum
- RAPIDUS and electronic notification system
- Data warehouse containing public project data (contacts, project titles and abstracts, partners, public results, and acronyms) regularly fed from a unique data provider (eventually the FP7 common data warehouse)
- Archives
- RSS and web services for syndication with upstream and downstream partners
- Search engine, improvement of search strategies, display, accessibility and handling of results
- Improved ergonomics, accessibility (e.g. WAI compliance) and usability of the CORDIS website.
- EU Bookshop - CORDIS (Collection of EU funded R&D reports and publications)
  - Collection of R&D reports and publications; for FP7 this is subject to model grant agreement provisions.
  - Catalogue and production of bibliographical notices for each R&D report and publication.
  - Upload of resulting notices and publications in the EU Bookshop catalogue and repository.
  - Customise a Corporate EU Bookshop dedicated to R&D reports and publications.
  - Feeding R&D publication records into other electronic dissemination systems.
- Operational service (hosting, monitoring, user support)
  - Hosting the CORDIS website and all associated services, including telecommunication.
  - Monitoring (internal and external) of the CORDIS service to ensure availability, stability, performance and security in conformance with CORDIS SLA – Service Level Agreement.
  - Provide user support to end users, information providers and a first level help desk for the Framework Programmes.
  - Perform user satisfaction surveys.

- Provide statistics on usage, response time, availability, and updates, for each of the services hosted by CORDIS.
  
- Integration of Editorial and Framework Programme Back Office:
  - Encompassing all communication content, created by CORDIS, the DGs, their subcontractors and project coordinators
  - Allowing this editorial material to be promoted to other sites – both the Directorates General own sites and the Thematic Portals to be established on the Europa home page, including the SIR portal
  - Ensuring that all 'external' content (e.g. from a Directorate General's own subcontractor) is validated by EC staff before publication

The tentative timetable for calls for tenders is as follows :

- |   |                    |
|---|--------------------|
| - CORDIS Online (editorial, news, promotion)              | Last quarter 2007  |
| - Value added information services for FP7                | Last quarter 2007  |
| - Operational service (hosting, monitoring, user support) | Third quarter 2007 |

## A4.2 THE ERA-NET SCHEME

The objective of the ERA-NET scheme is to develop and strengthen the coordination of national and regional research programmes through two specific actions:

- 'ERA-NET actions' - which provide a framework for actors implementing public research programmes to coordinate 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;
- 'ERA-NET Plus actions'- *In a limited number of cases*, additional EU financial support can be provided to facilitate joint calls for proposals between national and/or regional programmes.

Under the ERA-NET scheme, national and regional authorities identify research programmes they wish to coordinate or open up mutually. The participants in these actions are therefore programme 'owners' (typically ministries or regional authorities defining research programmes) or programme 'managers' (such as research councils or other research funding agencies managing research programmes).

The networking and mutual opening of research programmes require a progressive approach. The ERA-NET scheme therefore has a long-term perspective and it is flexible in order to allow for the different ways in which public research funding is organised in different Member or Associated States.

### A4.2.1 Approach

As a result of the ERA-NET scheme, progress has been made in reducing fragmentation across the European Research Area (ERA) during FP6. Organisations from all Member and Associated Countries participate actively in the scheme:

- Some 70 ERA-NET actions have been funded (through Coordination Actions), involving hundreds of national research programmes<sup>2</sup>.
- These ERA-NET actions cover a wide range of research fields such as transport, energy, environment, industrial technologies, plant and human health, astrophysics and social sciences. In addition, several ERA-NET actions have been set up to address more horizontal topics such as international cooperation, SMEs, the promotion of gender balance in research and metrology. [For a full list of projects, see <http://cordis.europa.eu/coordination/projects.htm>].

During 2006, a series of focused workshops gathered representatives of ongoing ERA-NET actions and other stakeholders. Their reports were instrumental in drawing up this section of the Work Programme. A group of experts will summarise the main findings and recommendations of these reports in a report to be published by the end of 2006.

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<sup>2</sup> ERA-NET actions cover both national and regional research programmes. To avoid repetition, the term 'national research programme' will be used in this section to refer to both national and regional research programmes.

Under FP7, the ERA-NET scheme is continued and reinforced:

- New ERA-NET actions will be supported;
- Existing ERA-NET actions may re-apply to receive Commission support to extend and/or reinforce their integration.
- In a new module, called "ERA-NET Plus", the Commission will support the organisation of joint calls between national research programmes by "topping-up" joint trans-national funding with Community funding.

In contrast to FP6, the ERA-NET scheme is no longer a 'stand-alone' action in FP7. It is an implementation tool, which will be used mainly in the context of the Cooperation specific programme, but also in the Parts of the Capacities Programme<sup>3</sup>.

Where the actions are of a horizontal nature or are not directly linked to the Cooperation themes, they will be supported jointly across all of the themes.

#### **A4.2.2 Content of Calls 2007**

Proposals to set up ERA-NET actions may be submitted for any topic relevant to the objectives of the Framework Programme, provided the criteria to qualify as an ERA-NET action are met. This covers all themes under the Cooperation and Capacities programmes as well as actions of a horizontal nature, or those not directly linked to the Cooperation Themes.

Regarding ERA-NET Plus, calls for proposals in 2007 will be limited to activities or topics which are specified in the Cooperation Programme or in Parts of the Capacities Programme. In preparing the work programme update for 2008, the possibility for ERA-NET Plus calls to also address activities or topics which are of a horizontal nature or are not directly linked to any Theme under the Cooperation and Capacities programmes will be considered.

A single joint call for the ERA-NET scheme is foreseen. This includes two submission routes:

- one for proposals which refer to activities or topics defined for ERA-NETs / ERA-NET 'Plus' in this Work Programme (or in the Capacities Work Programme) at the level of its various themes;
- the other is for proposals which address questions of a horizontal nature, or are not directly linked to the Cooperation themes (excluding ERA-NET 'Plus' in this case).

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<sup>3</sup> Since both the Cooperation and the Capacities Specific Programmes foresee the use of ERA-NET / ERA-NET Plus, 'Cooperation themes' will be used in this Work Programme to cover themes in the Cooperation and Parts of the Capacities Specific Programmes.

**A4.2.2.1 Activity: ERA-NET actions** (Topic ERANET.2007.1)Eligibility / Funding Scheme

The aim of ERA-NET actions is to network research programmes carried out at national or regional level, with a view to their mutual opening and the development and implementation of joint activities

*"Research programmes carried out at national or regional level"* refers to entire research programmes, parts of such programmes or similar initiatives. Such programmes shall have all of the following characteristics:

- a) be strategically planned (i.e. be composed of a number of research projects focused on a defined subject area or set of problems, that are scheduled to run for a set period of time and that have a co-ordinated management); and
- b) be carried out at national or regional level; and
- c) either be financed or managed directly by national or regional public bodies, or by structures (e.g. agencies) closely related to, or mandated by, public authorities.

Activities under the ERA-NET scheme will be established by means of Coordination and Support Actions (CSA). In contrast to FP6, specific support actions to prepare for full ERA-NET actions will not be available. However, Cooperation Themes may call for specific supporting CSAs to prepare ERA-NET proposals for well defined topics.

The Community contribution shall take the form of a grant consisting of a reimbursement of the eligible costs related to the action.

The minimum number of participants in an ERA-NET consortium is three independent legal entities which finance or manage publicly funded national or regional programmes. *Each of these must established in a different Member State or Associated country.*

Eligible partners for ERA-NET actions are:

- Programme owners: typically national ministries/regional authorities responsible for defining, financing or managing research programmes carried out at national or regional level.
- Programme 'managers' (such as research councils or funding agencies) or other national or regional organisations that *implement* research programmes under the supervision of the programme owners.
- Programme owners (typically national ministries/regional authorities) which do not have a running or fully fledged research programme at the moment of submitting an ERA-NET proposal, but which are planning, and have committed, to set up such a programme, are also eligible if their participation is well justified and adds value to the overall programme coordination. As such, countries or regions which have less diverse research programmes (in particular new Member States and candidate associated countries) will find their involvement in the ERA-NET scheme greatly facilitated.



Please note that research organisations or universities which are not programme owners or managers are not eligible partners for ERA-NET actions.

In addition, other private legal entities (e.g. charities) which manage research programmes may participate if their participation is well justified and adds value to the overall programme coordination.

Participants are encouraged, as appropriate, to adopt a global approach in their proposals, involving also non-European research programmes in the activities undertaken by ERA-NET actions.

Sole participants (as referred to in Article 10 of the Rules for Participation) may be eligible if the above-mentioned specific criteria for eligible ERA-NET partners are respected. A sole participant shall explicitly indicate which of his 'members' forming a sole legal entity, is either a programme owner or programme manager in the proposed action and indicate for these members, the respective national/regional programmes which are at the disposal of the proposed ERA-NET action.

#### Technical content/scope

ERA-NET actions can cover the networking of national research programmes in all fields of science and technology, including multi- and trans-disciplinary fields of research.

The networking of programmes may involve several levels of cooperation and coordination, depending on the degree of maturity of the network. The use of the ERA-NET scheme should make this evolution possible and should adopt a step-by-step approach.

In this respect, a four step approach covering the following activities could be envisaged:

- (1) information exchange;
- (2) Definition and preparation of joint activities;
- (3) Implementation of joint activities;
- (4) Funding of joint trans-national research.

ERA-NET actions should be ambitious and should aim to reach level 4. They should result in concrete progress towards the opening up of, or cooperation between, the participating research programmes. The cooperation should be sustained, such that it will continue beyond the duration of the ERA-NET action itself. To ensure this:

- ERA-NETs launched under FP6 wishing to submit a new proposal under FP7 must include a strong coordination action, directly focusing on steps 3 and 4. As such, these proposals shall aim to broaden the partnership and/or deepen the coordination between the relevant national programmes in the concerned field. In particular, a global approach including non-European research programmes is encouraged.
- New ERA-NET actions, which address topics that were not covered in FP6, should address steps 1 to 3 as a minimum, but are encouraged to aim at the 'four step approach' described above.

### Activities funded

Activities eligible for funding correspond to the four steps identified in the *'technical content/scope'* section above. More specifically, these include:

#### (i) Information exchange

This step aims to gather information on the structure and programmes covered by each national research system. It could also improve communication, develop better reciprocal knowledge and promote trust-building among programme owners or managers in similar scientific and technological areas through a mutual learning process, and the systematic exchange of information and good practices.

#### (ii) Definition and preparation of joint activities

This key part of the action should analyse the information gathered in step 1 and identify the type of cooperation and the areas which will be addressed.

This step should aim to actively prepare and define activities under steps 3 and 4.

It should result in an **Action plan**, which sets out common strategic issues and prepares for a concrete implementation of joint activities.

#### (iii) Implementation of joint activities

Experience from FP6 has shown that much of the added value in co-ordinating national programmes is gained by trying to implement joint activities, even if in a pilot form.

ERA-NET actions are therefore encouraged to develop and implement, from an early stage in the project, common, joint, strategic activities such as:

- Clustering of nationally-funded research projects, to develop complementarities or mutual reinforcement of ongoing nationally-funded research programmes.
- Multinational project evaluation procedures (common evaluation criteria and methods of implementation). This could contribute in the long-term to the integration of evaluation practices across national research systems (covering proposal, project and programme evaluation).
- Schemes for joint training activities, such as co-supervised theses and international PhD schemes, to help support a wider cooperation in research.
- Schemes for the mutual opening of facilities or laboratories in one country for scientists from another.
- Converging schemes for programme monitoring and evaluation, including joint monitoring or evaluation.
- Schemes for personnel exchange, in the context of the above activities.
- Specific cooperation agreements or arrangements between participating programmes. These would prepare the ground for further trans-national research programmes and ensure that legal barriers are removed.

#### (iv) Funding of joint trans-national research

The strongest form of programme networking implies the funding and implementation of a joint programme of trans-national research projects or actions. This is likely to involve the setting-up of a common strategy, a joint work programme, common (mutually open) or joint calls for proposals or tenders, a common trans-national evaluation system and a common plan for dissemination of results or experiences. In such schemes, projects funded out of a common or joint call for proposals should involve at least two teams from two different countries.

In this step, other ways of implementing joint research actions could also be developed or explored. For example, a complex or very ambitious research agenda could be divided in various parts, which are each addressed through differentiated national calls. Results would then be shared.

#### Expected Impact

The ERA-NET scheme aims to reduce the fragmentation of the European Research Area by increasing coordination between national research programmes across the EU Member and Associated States.

ERA-NET actions allow Member States and Associated states to avoid overlap between their programmes and to develop expertise from mutual learning.

In general, ERA-NET actions should not cover very limited research areas. They should not overlap with other ongoing ERA-NET actions or create further fragmentation. Complementarities to, or coordination with FP7 activities should be ensured where possible.

ERA-NET actions will result in concrete co-operation between research programmes, such as their networking, their mutual opening and the development and implementation of joint programmes and activities.

The scheme will also enable national or regional systems to collectively take on tasks that they would not have been able to tackle independently.

ERA-NET actions are expected to have a lasting impact. The co-operation developed should provide reliable indications that it could continue beyond the Community funding.

Furthermore, it would be an advantage if the lessons learnt and knowledge gathered are disseminated in the European Research Area with a particular focus on new Member States.

In addition to the general impact described above, more specific expected benefits of ERA-NET actions include:

- Achieving critical mass, to ensure the better use of scarce resources;
- Joining forces to provide common answers to common research problems;
- Addressing global issues, common to many EU Member or Associated States;
- Addressing specific geographical issues common to a number of EU Member or Associated States;
- Developing common governance principles (e.g. with respect to ethics, good practices);

- Bring together national programmes which deal with cooperation with third countries, and enable them to speak with a 'single voice';
- Adopt a global approach, including non-European research programmes, to the activities covered by ERA-NET actions.

#### **A4.2.2.2 Activity : ERA-NET PLUS actions**

Under ERA-NET Plus actions, the Commission provides an incentive to the organisation of joint calls between national or regional research programmes by 'topping-up' joint trans-national funding with Community funding.

These actions require programme owners or programme managers from at least 5 different Member or Associated States to plan a single joint call with a clear financial commitment from the participating national or regional research programmes.

##### Technical content/scope

A joint call will be organised, common to ERA-NET and ERA-NET Plus actions.

In 2007, ERA-NET Plus proposals may be submitted only to the predefined topics for ERA-NET Plus in the Cooperation specific programme or in Parts of the Capacities Programme.

##### Funding Scheme

As for ERA-NET actions, ERA-NET Plus actions will be supported through Coordination and Support Actions.

The Community will top up the total of the national contributions to the joint call with additional funding for RTD activities. The Community contribution will be limited to a maximum of 1/3 of the total contributions to the joint call budget (i.e. if an action plans a joint call for 9 M€ national programmes must commit at least 6 M€ If the proposal is selected, the Commission will award up to 3 M€ to also cover eligible coordination costs). The combined national/regional and Community contributions to the joint calls have to exceed 5 M€

The Community will also financially support the activities linked to the preparation and the coordination of the joint call<sup>4</sup>. This support should be a limited part of the Commission grant mentioned above.

The Community contribution shall take the form of a grant, which will combine the reimbursement of eligible costs (covering the activities linked to the preparation and coordination of the joint call) with a flat rate (topping up the joint call budget). The total duration of a given ERA-NET Plus action and of the resulting projects should normally not exceed 5 years.

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<sup>4</sup> NB : No further supporting cost will be eligible once a "selection decision" has been taken by the consortium as a result of the joint call.

Specific Eligibility criteria for ERA-NET Plus actions

ERA-NET Plus proposals must meet the following eligibility criteria:

- a single joint call should be planned with a clear financial commitment from the participating national or regional programmes<sup>5</sup>;
- eligible participants are the same as for ERA-NET actions with the exception that, programme owners which do not have yet a running or fully fledged research programme at the moment of submitting a proposal, are not eligible for ERA-NET Plus actions. Furthermore, a consortium must include programme owners or programme managers from at least 5 different Member or Associated States;
- the same additional participants as for ERA-NET actions are eligible, beyond the number of 5 minimum programme owners or managers;
- the total planned budget of the joint call shall have a minimum financial volume of 5 million €
- a common peer review mechanism for evaluating the proposals submitted to the joint call shall be foreseen;
- each project financed out of the joint call shall be trans-national (i.e. minimum of two partners from different countries);
- a fixed common set of general evaluation/selection criteria (excellence, European added value, etc.) should be part of the common evaluation criteria of the joint call organised by the national programmes.

Detailed rules for participation in the funded trans-national projects shall be defined by the call organisers themselves (e.g. participating national programmes).

Special cases : ERA-NET Plus in the field of Metrology and Baltic sea research

The Commission will provide its financial support to EURAMET (the legal entity to be set up for the implementation of an ERA-NET Plus action in the field of Metrology) in order to bridge the gap between the "iMERA" ERA-NET project and a joint European research and development programme in the field of Metrology (the science of measurement) to be implemented on the basis of Article 169 of the Treaty.

The Commission will also provide a financial support to BONUS (Baltic Organisations Network for Funding Science EEIG - the legal entity to be set up for the implementation of the ERA-NET Plus action in the field of Baltic Sea Research) in order to bridge the gap between the "BONUS" ERA-NET project and a joint European programme in the field of Baltic Sea research to be implemented on the basis of Article 169 of the Treaty.

This support will be provided in the form of two Coordination and Support Actions to be implemented in accordance with Article 14a of the Rules for participation and dissemination of the Seventh Framework Programme:

- A Community grant to the ERA-NET Plus in the field of Metrology will be 21 million € to be committed in 2007. This financial support will be provided through a grant which will be paid on the basis of a grant agreement between the Commission and EURAMET (the legal

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<sup>5</sup> Proposals must demonstrate that national research programmes are committed to support the call. Selected proposals will have to provide evidence that a commitment has been made by the relevant research programmes.

entity to be set up for the implementation of ERA-NET Plus project in the field of Metrology).

- A Community grant to the ERA-NET Plus in the field of Baltic sea research will be 9 million € to be committed in 2007. This financial support will be provided through a grant which will be paid on the basis of a grant agreement between the Commission and BONUS (Baltic Organisations Network for Funding Science EEIG - the legal entity to be set up for the implementation of ERA-NET Plus project in the field of Baltic sea research).

These actions will be subject to the same eligibility and evaluation rules mentioned for ERA-NET Plus activities in this annex.

### Expected Impact

ERA-NET Plus actions aim to facilitate the launching of joint calls for proposals between EU Member or Associated states, based on its European added value. In special cases, they may also facilitate the transition of an ERA-NET towards an Article 169 initiative, where the criteria for the latter are met.

The EU added value will be a critical criterion to evaluate the impact of ERA-NET Plus actions and will depend on the area/topic covered by the research programmes participating in the joint call. Therefore the following criteria should help to identify the impact of ERA-NET Plus actions offering best prospects for sufficient European added value:

- **Relevance to EU objectives:** The field of the potential topic should be of major interest for the Community as a whole.
- **Framework Programme relevance:** As regards '**objective**': Demonstration that an ERA-NET Plus action in that topic shall allow the Community to reach one of its objectives: enhance coordination of national programmes. As regards "**content**": The field of the potential topic shall be covered by the Framework Programme both in terms of scientific content and of budget allocation.
- **Pre-existing basis:** The ERA-NET Plus action should build on a pre-existing basis or coordination experience between national programmes in the topic identified.
- **Critical mass:** ERA-NET Plus actions will enable national programmes to address together with the Community programmes research areas, that due to the nature of the field are better addressed jointly or fields which would/could not have been addressed independently.
- **Instrument relevance:** Demonstration that ERA-NET Plus is the most appropriate instrument to allow the achievement of the Framework Programme goals in terms of non Community programme coordination (i.e.: avoiding fragmentation, etc.). Demonstration that implementing an ERA-NET Plus action in a given field is more appropriate to coordination goals than other FP7 funding

ERA-NET Plus actions are expected, where appropriate, to facilitate the development of a more global approach to the topics addressed, involving also non European research programme.

ERA-NET Plus actions are expected to have a lasting impact. The co-operation developed should provide reliable indications that it could continue beyond the joint call supported by the Community funding.

#### **A4.2.3: Support for programme coordination and cooperation in the context of the European Research Area.**

The main objective of the ERA-NET scheme is to contribute, by both structuring effects and economies of scale, to the development and growth of the European Research Area (ERA). This further development of ERA is expected to greatly benefit from facilitating measures with and between relevant organisations, which are the natural interlocutors for the coordination and cooperation of non-Community research programmes. To meet this objective, a limited number of studies, conferences, workshops, etc. will be supported through relevant calls for proposals, or calls for tenders as required.

For 2007 the following calls for proposals and calls for tenders are foreseen:

##### **A4.2.3.1 Call for tenders for studies analysing the contribution to, and expected impact on, ERA resulting from the ERA-NET scheme**

#### **Expected impact**

To use the results and findings from the ERA-NET scheme and resulting activities (e.g. joint calls, joint exploitation of the achievements of projects eventually selected through the scheme) in defining new research policy objectives and intermediate performance targets for FP7.

#### **Scope**

Analyse the contribution of the ERA-NET scheme and resulting activities (e.g. joint calls) to the development and growth of the European Research Area, with a particular focus on:

- Developing common, trans-national research programmes.
- Developing common practices for the governance and the management of national/regional research programmes.
- Facilitating the mobility of EU researchers and programme managers across EU and associated countries.
- Designing common strategies for the exploitation of project-derived achievements and assistance to spin-offs.
- Moving the ERA towards integration and/or differentiation of research agendas
- Bringing European research closer to policy-makers across all organisational levels (local, regional, national, Community, international).

The call for tenders will define the objectives, and possibly entities admitted to tenders, in detail.

**Funding scheme:** Coordination and Support action (supporting) for the purchase of services and/or goods through a service contract implemented via calls for tender.

Tentative timetable: Launch of the call for tenders in the first quarter of 2007.

Number of contracts: 2

**Budget for A4.2.3.1:** 0.6 Million €

**A4.2.3.2 Call for proposals for well targeted conferences and other support actions reviewing the process of research programme integration (Topic ERANET.2007.2)****Expected impact**

The selected conferences and other support actions will provide an opportunity for the main public actors engaged in designing and deploying the broad structures and functions supporting the ERA to meet. This could include events focussing on progress reviews as well as those focusing on the creation of added value from inter-governmental cooperation in research via the coordination, cooperation and integration of national and/or regional programmes.

**Scope**

Support for conferences, seminars, coordination and cooperation activities and other support actions which aim to promote the roles of national and regional actors in building the ERA. Only events and actions designed to deliver clear and usable results to further support policy-making in the context of ERA may be considered. Proposals must be of a horizontal nature (i.e. cutting across several themes in the Cooperation Specific Programme or Parts of the Capacities Programme), or not directly linked to the themes.

**Funding scheme:** Coordination and Support Actions. The planned event should be at least 6 months after the closing date of the call in order to allow sufficient time to complete all procedures for the funding to be in place.

**Open in call:** FP7-ERANET- 2007- RTD

**Budget for A4.2.3.2:** 0.4 Million €



## CALL FICHE

**Call title: ERA-NET / ERA-NET PLUS Call 2007**

Call identifier: FP7-ERANET-2007-RTD

- Date of publication: 22 December 2006<sup>6</sup>
- Deadline: 31/7/07 at 17h00, Brussels local time<sup>7</sup>
- Indicative budget for 2007<sup>8</sup>:

An overall budget of up to 28.9M€(inclusive of theme-linked, horizontal or indirectly linked activities) is foreseen for the joint ERA-NET call. It will cover two types of activities/topics.

1. A total of 10.4 M€is foreseen for actions of a horizontal nature or not directly linked to cooperation themes, to be apportioned between ERA-NET (10.0 M€) earmarked for proposals of a horizontal nature or not directly linked to cooperation themes and for Conferences/Support Actions (0.4 M€).

*Table 1: Actions of a horizontal nature or not directly linked to cooperation themes*

Activity/ Area	Topics called	Funding Schemes and Budget
<b>A4.2.2.1</b> ERA-NET actions	Topic ERANET.2007.1 ERA-NET proposals <b>of a horizontal nature</b> (i.e. cutting across several themes in the Cooperation Specific Programme or Parts in Capacities), or not directly linked to Cooperation Themes.	Coordination and Support Actions (Coordinating)  10 M€
<b>A4.2.3.2</b> Conferences and other support actions	Topic ERANET.2007.2 Support actions reviewing the process of research programme integration being <b>of a horizontal nature</b> (i.e. cutting across several themes in the Cooperation Specific Programme or Parts in Capacities), or not directly linked to Cooperation Themes	Coordination and support actions (Supporting)  0.4 M€

2. A sum of up to 18.5M€is foreseen in this joint call for ERA-NET and ERA-NET Plus actions identified by cooperation themes in this workprogramme.

<sup>6</sup> The Directorate -General responsible for the call may publish it up to one month prior to or after the envisaged date of publication.

<sup>7</sup> At the time of the publication of the call, the Director-General responsible may delay this deadline by up to two months.

<sup>8</sup> Under the condition that the preliminary draft budget for 2007 is adopted without modifications by the budget authority.

Table2 – Overview of Activities and Topics mentioned in Cooperation Themes which are part of the FP7-ERANET-2007 –RTD joint call.

THEME/Activity	Topic identifier	TITLE	Budget (M€)
<b>COOPERATION SPECIFIC PROGRAMME</b>			
<b>1. HEALTH</b>			
1.2.4. Other major diseases	HEALTH-2007 2.4.1.13	ERA-NET for optimisation of use of Cancer Register	2
<b>2. FOOD, AGRICULTURE AND FISHERIES, AND BIOTECHNOLOGY</b>			
2.1.2. Sustainability of all production systems: Plant Health and Crop Protection	KBBE-2007 1.2.07	ERA-NET for Coordination of Agricultural Research in the Mediterranean	1
2.1.3. Optimised Animal Health, Production and Welfare	KBBE-2007 1.3.02	ERA-NET for Coordination of European research in the area of animal health	1
<b>4. NMP</b>			
4.1.5 Nanosciences and converging sciences	NMP-2007 4.1.1-5	ERA-NET-Plus project on basic research in nanosciences.	0 <sup>9</sup>
4.4.1 NMP – Integration of technologies for industrial applications	NMP-2007 4.0-7	ERA –NET on Construction	Up to 2.5
<b>5. ENERGY</b>			
5.7 Smart Energy Network	ENERGY-2007 7.3.3	Stepping up the cooperation of national and regional research activities on Smart Power Grids (ERA-NET).	0 <sup>9</sup>
5.10 Horizontal Programme Actions	ENERGY-2007 10.0.1	Optimise EU action through a better coordination of the international cooperation initiatives of the EU and Member States (ERA-NET).	
5.10 Horizontal Programme Actions	ENERGY-2007 10.0.3	Fostering coordination between national and European energy RTD strategies and programmes (ERA-NET).	
<b>6. ENVIRONMENT (Including Climate Change)</b>			
6.1.2 Environment and Health	ENV-2007 1.2.3.1	ERA-NET for environment and health	Up to 4
6.3.2. Protection, Conservation and enhancement in	ENV-2007 3.2.2.1	ERA-NET for the preservation of the tangible cultural heritage	

<sup>9</sup> An amount from the 2008 budget is expected to be added to this call for which a new financing decision to cover the budget for the year will be requested at the appropriate time

cultural heritage			
<b>7. TRANSPORT (Including Aeronautics)</b>			
7.2.6 Cross-cutting activities	SST-2007 6.7	ERA-NET Transport II, Surface transport	Up to 3
<b>8. SOCIO-ECONOMIC SCIENCES AND THE HUMANITIES</b>			
8.8. Strategic Activities	SSH-2007 8.6	A limited number of ERA-NET and ERA-NET Plus actions in all the Theme	5

- Evaluation procedure :
  - The general evaluation criteria and sub-criteria (including weights and thresholds) for the different funding schemes are set out in annex 2 to this work programme
  - The evaluation will follow a single stage procedure.
  - Proposals will not be evaluated anonymously.
  - Proposals may be evaluated remotely.
  
- Indicative evaluation and contractual timetable:
  - Evaluation in September 2007
  - Opening of negotiations in November 2007
  - Selections from January 2008
  - Contracts from February 2008
  
- Consortia agreements:
 

Consortia Agreements are recommended, particularly for ERANET Plus actions.

  - The forms of grant and maximum reimbursement rates which will be offered are specified in Annex 3 to the Cooperation work programme.
  - Particular requirements for participation, evaluation and implementation:
    - The minimum number of participating legal entities required, for all funding schemes, is set out in the Rules for Participation.
    - See parts on eligibility of participants in the description of the activity.
    - For the evaluation of ERA-NET and ERA-NET Plus proposals, the general criteria and thresholds applicable to Coordination and Support Actions given in Annex 2, are modified as follows:
      1. *Scientific and/or technological excellence - Quality of coordination (Threshold 4/5 instead of 3/5)*
        - The management should be supported by a suitable governance structure involving the participating organisations at an appropriate level.
      2. *Quality and efficiency of the implementation (Threshold 3/5)*

- In reference to the applicable work programme, does the proposed ERA-NET / ERA-NET Plus action pool the necessary resources between national programmes and the Community and does it represent the most appropriate type of public funding for this pre-defined area?

### 3. Potential impact (Threshold 3/5)

- The participants should be the key actors within their national or regional research systems.
- The ERA-NET activities should lay the foundations for a durable cooperation between the partners involved.
- Is there a clearly identified and agreed European added value through a variable geometry approach?

(end of call fiche)

For information purposes, Table 3 below provides an overview of calls for ERA-NET and ERA-NET Plus actions made by other Themes in Cooperation and some Parts in Capacities. Some of these may take advantage of the evaluation of the joint call foreseen in September 2007 to have a simultaneous evaluation.

Table 3 – Other Activities and Topics calling for ERA-NET and ERA-NET Plus actions<sup>10</sup>

THEME/Activity	Topic identifier	TITLE	Budget (M€)
<b>COOPERATION SPECIFIC PROGRAMME</b>			
<b>10. SECURITY</b> 10.7 : Security Research coordination	SEC-2007 7.0-04	Transparency and networking amongst Member States (ERA-NET).	3
<b>CAPACITIES SPECIFIC PROGRAMME</b>			<b>(M€)</b>
<b>1. INFRASTRUCTURE</b> 3. Accompanying Measures	INFRA-2007 3.1	ERA-NET supporting cooperation for Research Infrastructures in all S&T fields	10
<b>6. INTERNATIONAL COOPERATION</b> 3.1 ERA-NET in INCO	INCO-2007 ERA-NET	ERA-NET - Supporting the coordination of national policies and activities on international S&T cooperation	0 <sup>9</sup>

<sup>10</sup> Under the condition that the preliminary draft budget for 2007 is adopted without modifications by the budget authority.

<sup>9</sup> An amount from the 2008 budget is expected to be added to this call for which a new financing decision to cover the budget for the year will be requested at the appropriate time

3.2 ERA-NET Plus in INCO	INCO-2007 ERA-NET Plus	ERA-NET Plus - Supporting the coordination of national policies and activities on international S&T cooperation
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In addition, Coordination and Support Actions for the coordination of national and regional research programmes or initiatives are called for within 17 areas/objectives under the ICT Theme.

**A4.3: SUPPORT FOR COORDINATION AND COOPERATION WITH AND BETWEEN INTERGOVERNMENTAL AND OTHER HIGH-LEVEL SCIENTIFIC AND RESEARCH ORGANISATIONS IN THE EU, IN THE CONTEXT OF THE ERA.**

Intergovernmental organisations which perform and/or fund research (e.g. EIROforum and its Members<sup>11</sup>), cooperation initiatives (e.g. COST, EUREKA), other representative organisations involving networks or associations of academies or research organisations as well as professional societies<sup>12</sup>, are all crucial actors in EU research. The further development and growth of ERA will therefore require stimulation and intensification of coordination and cooperation initiatives with and between these relevant organisations. To meet this objective, support to activities, studies, conferences, workshops, etc. will be supported through relevant calls for proposals or calls for tender as required.

For 2007, the following calls for proposals and calls for tenders are foreseen:

**A4.3.1 Call for proposals for well targeted conferences and other support actions to support coordination and cooperation with and between intergovernmental and other high-level scientific and research organisations in the EU in the context of the ERA.**

**Call title: Coordination and Cooperation in context of ERA**

Call identifier: FP7- ERARESORG- 2007-1-RTD

- Date of publication: 22 December 2006<sup>13</sup>
- Deadline: 31/5/07 at 17h00, Brussels local time<sup>14</sup>
- Indicative budget for 2007<sup>15</sup>: 200.000,00 €
- Topics called:

Activity/ Area	Topics called	Funding Schemes
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<sup>11</sup> EIROforum is the partnership of Europe's seven largest intergovernmental research organisations (CERN, EFDA,EMBL, ESA, ESO, ESRF, ILL)

<sup>12</sup> Examples of such networks, associations or societies could be EuroHORCS, EARTO, Academia Europa, ALLEA, EARMA, etc.

<sup>13</sup> The Directorate -General responsible for the call may publish it up to one month prior to or after the envisaged date of publication.

<sup>14</sup> At the time of the publication of the call, the Director-General responsible may delay this deadline by up to two months.

<sup>15</sup> Under the condition that the preliminary draft budget for 2007 is adopted without modifications by the budget authority.

<b>A4.3.1</b> Support actions	Topic ERARES.2007.1 Support for conferences, seminars, coordination and cooperation activities and other support actions which have as objective to contribute to the realisation and further development of ERA.	Coordination and Support Actions (Supporting)
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- Evaluation procedure :
  - The evaluation criteria and sub-criteria (including weights and thresholds) for the different funding schemes are set out in annex 2 to this work programme; modifications are indicated further below in this chapter
  - The evaluation will follow a single stage procedure.
  - Proposals will not be evaluated anonymously.
  - Proposals may be evaluated remotely.
  
- Indicative evaluation and contractual timetable:
  - Evaluation in July 2007
  - Opening of negotiations in September 2007
  - Selections from November 2007
  - Contracts from January 2008
  
- Consortia agreements:
 

Consortia Agreements are not required
  
- The forms of grant which will be offered are specified in Annex 3 to the Cooperation work programme.
  
- Particular requirements for participation, evaluation and implementation:
  - See parts on eligibility of participants in the description of the activity under A4.3.1 in the work programme.
  
  - For the evaluation of proposals for these support activities the general criteria and thresholds applicable to Coordination and Support Actions given in Annex 2, are modified as such :
    1. *Scientific and/or technological excellence - Quality of coordination (Threshold 3/5)*
      - Contribution to the co-ordination of high quality research and the development of ERA
      - Quality and effectiveness of the support action mechanisms, and associated work plan
    2. *Quality and efficiency of the implementation and the management (Threshold 3/5)*
      - Appropriateness of the allocation and justification of the resources to be committed (budget, staff, equipment)

### 3. Potential impact (Threshold 3/5)

- The participants should be the actors at European level.
- The proposals should address structural and strategic issues related to research policy such as governance, research management, de-fragmentation of research at European level and other relevant cross-cutting issues and to foster actions to strengthen the ERA.
- The support activities should contribute to lay the foundations for a durable cooperation or coordination between the partners involved.
- Measures for spreading excellence, exploiting results, and dissemination of knowledge should be appropriate for the type of action envisaged.

The overall threshold has to be 10/15.

#### **A4 3.2 Call for tenders for studies to support coordination and cooperation with and between intergovernmental and other high-level scientific and research organisations in the EU, in the context of the ERA.**

##### **Expected impact**

Increase effectiveness and efficiency of cooperation and coordination at EU level, and between the above-mentioned organisations in the context of a reinforcement of the ERA.

##### **Scope**

These studies will be designed to allow the identification of areas in which cooperation with and between the above-mentioned organisations might be set up or improved; to identify gaps and bottlenecks in such collaborations; to develop methodologies of cooperation, etc.

The call for tenders will define the objectives, and possibly entities admitted to tenders, in detail.

**Funding scheme:** Coordination and Support action (supporting) for the purchase of services and/or goods through a service contract implemented via call for tenders.

Tentative timetable: Launch of the call for tenders in the first quarter of 2007

Number of contracts: 2

**Budget for A4.3.2 300.000 €**

**Overall budget for A4.3.1 and A4.3.2: 500.000 €**

#### **A4. 4 STRENGTHENED COORDINATION WITH EUREKA**

The Specific Cooperation Programme will support coordination activities aimed at increasing complementarities and synergy between EUREKA and the Framework Programme in areas of common interest. The Community is a member of EUREKA.

The following activities are foreseen:

- creating and strengthening synergies between the Framework Programme and EUREKA in order to carry out initiatives across the full spectrum of the research and innovation cycle in a complementary and/or cooperative manner;
- continuing the exchange of technical information, mainly in the stimulation of 'brokerage events', notably for the benefit of research and innovation in SMEs and the exchange of expertise in project and impact evaluation.

Funding from the Commission (by means of a Coordination and Support Action<sup>16</sup>) within this Specific Programme consists of about 2 million € for the duration of the Seventh Framework Programme, as a contribution to the budget of the EUREKA Secretariat.

#### **A4. 5 SCIENTIFIC AND TECHNOLOGICAL COOPERATION ACTIVITIES CARRIED OUT IN COST**

COST is a long-standing, bottom-up mechanism that facilitates coordination and exchanges between nationally funded scientists and research teams in a variety of research fields. During the Sixth Framework Programme, COST underwent significant reforms as a result of which it can now contribute cost-effectively to research coordination within the European Research Area.

The Community's funding<sup>17</sup> to COST under FP7 is specified in the Cooperation Specific Programme, of which a first instalment of 30 million € is foreseen in 2007. This financial support will be provided through a grant which will be paid on the basis of a grant agreement between the Commission and the European Science Foundation, the legal entity designated by COST as its implementing agent and communicated to the Commission by the General Secretariat of the Council.

Reinforced coordination among the activities of the European Science Foundation, COST and the Framework Programme will also be sought in areas of common interest. The partnership between the Commission and COST will be further developed.

#### **A4. 6 RISK-SHARING FINANCE FACILITY**

In accordance with Annex III of the Specific Programme, the Community will provide a contribution to the European Investment Bank (EIB). This contribution will contribute to the Community's objective to foster private sector investment in research, technological development and demonstration (RTD) as well as innovation through a Community contribution to a Risk-Sharing Finance Facility (RSFF), a financing instrument established by the European Investment Bank.

Private investment in research and innovation in Europe is below the level necessary to achieve the ambitions of the Lisbon agenda and the Barcelona objective. In addition to grants, other mechanisms are being increasingly used to leverage private investment by firms, to mobilise the financial markets and to diversify funding sources for European RTD actions.

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<sup>16</sup> A Coordination and Support Action will be implemented in accordance with Article 14a of the Rules for participation and dissemination of the Seventh Framework Programme.

<sup>17</sup> As Coordination and Support Action to be implemented in accordance with Article 14a of the Rules for participation and dissemination of the Seventh Framework Programme.



Improving access to loans for RTD actions requires public support to overcome market deficiencies for the financing of riskier European RTD actions.

#### **A4.6.1 Approach**

The Community will provide a contribution (Coordination and Support Action) to the EIB for RSFF. The Bank will be the sole beneficiary of this Community action. Pursuant to a decision by the EIB Board of Directors, endorsed by the Bank's Governors on 9 June 2006, the EC contribution will be matched by an equivalent amount from the EIB (up to EUR 1 billion). The Governors approved the immediate appropriation from the Bank's surplus of EUR 250 million for RSFF operations.

The level of the Community risk coverage for each operation shall depend on the financial risk evaluation carried out by the EIB. The level of total provisioning and capital allocation for the majority of RSFF operations is expected to fall within the range of 15%-25% of the nominal value of such operations. In no case shall the level of total provisioning and capital allocation amounts of the Community contribution exceed 50% of the nominal loan or guarantee value. There will be risk sharing under each operation, according to the methodology established in the Agreement to be concluded between the Commission and the EIB. The percentage of risk covered by the Community contribution for each operation will be variable and will depend, inter alia, on the risk grading of such operation as well as its maturity.

In accordance with this Work Programme part, the Commission and the EIB will conclude an Agreement, defining terms and conditions related to RSFF and, in particular, to the use of the Community contribution in RSFF, *the risk -sharing methodology, the indicative annual budget, the reporting conditions, the governance, the rules for establishment of network of financial intermediaries in all Member States and associated countries and its relating conditions.*

As the interest builds up and financing applications emerge, the EIB will launch the appraisal of potential projects according to its usual rules and criteria.

#### ***International Co-operation***

In accordance with the provisions of the Specific Programme, the EIB may only use the Community contribution to RSFF to cover risk of operations limited to those borrowers or beneficiaries of guarantees from legal entities from third countries other than Associated countries who participate in FP7 projects and whose costs are eligible for Community funding.

#### ***Dissemination actions***

Throughout 2007 the EIB will continue an intensive awareness raising campaign which has been launched with the Community financial assistance in 2006.

RSFF will involve development of financial engineering solutions adapted to the needs of European RTD actions. Such solutions will be implemented and tested by the EIB and its financing partners.

Case studies of such solutions, i.e. risk-sharing arrangements with financing partners and new products developed specifically for RSFF will be published on the EIB dedicated RSFF website.

A workshop for representatives of the banking sector in Member States and Associated countries will be held in the 2<sup>nd</sup> quarter of 2007 to disseminate such financial engineering solutions and seek other co-operation opportunities.

### ***Contacts with potential clients***

The launch of RSFF dedicated website and other awareness raising activities started in 2006 are expected to result in applications for financing from promoters of European RTD actions. In parallel, the EIB loan officers will launch contacts with highly research intensive companies explaining the existence of new financing options made possible by RSFF.

RSFF will be offered in all Member States and associated countries in order to ensure that all legal entities, irrespective of size (including SMEs and research organisations, including universities) in all Member States and associated countries, may benefit from this facility for the funding of their activities in eligible actions. This will entail the identification by the EIB of at least one financial intermediary partner in each Member state and Associated country. While there is no reason to anticipate in difficulty in this regard, the Member states and associated countries' attention is drawn to the fact that, in case of such difficulty arising (meaning, no financial intermediary partner interested to join EIB network for RSFF purpose), there will be a dependence on the best efforts of the Member States and Associated countries themselves to ensure that there is no consequential damage to the interests of participants in their countries.

### ***Addressing the financing needs of the Technology Platforms and Joint Technology Initiatives***

Having identified in 2006 the most dynamic and active Technology Platforms the Commission and the EIB will continue to follow their individual development and monitor the implementation of their strategic research agendas to search for financing needs which the Bank could address. In some cases customised products, individual or wholesale, will be developed, if necessary in co-operation with other financial institutions.

The Commission and the EIB will follow the development of Joint Technology Initiatives, advising the stakeholders on options available to optimize their financing packages. This may involve bridge financing as well as individual customised financing solutions, specifically adapted to the financing needs.

### ***Implementation arrangements for SMEs***

The EIB can only be directly involved in operations with financing requirements in excess of EUR 7.5 million. Smaller requests will be directed to financing partners established in Member States or Associated countries with whom the EIB has or will develop risk sharing arrangements, including Framework Facilities designed to provide intermediated financing, to smaller projects, notably those promoted by SMEs.

A Framework Facility is a line of credit advanced by the EIB to banks or other intermediary institutions which on-lend the proceeds to finance small and medium-size investments.

The deployment of Risk-Sharing Framework Facilities across the EU will be staged, involving, during an initial phase, a limited number of leading EIB partner banks, based in Member State or Associated countries representing a significant RSFF market potential and operating through important EU-wide networks. In a subsequent phase, a more wide-spread coverage of EU markets will be achieved by approaching, in a systematic manner, other financing partners throughout the EU, in view of setting up Risk-Sharing Framework Facilities covering respective markets.

Risk-Sharing Framework Facilities will be set up either through the introduction of risk sharing arrangements in existing credit lines or through new facilities or intermediaries. Alternative framework financing concepts could also be envisaged.

### **Governance**

RSFF will be managed by the EIB in accordance with its own rules and procedures, with due regard to terms and conditions of the Agreement between the Commission and the Bank. RSFF implementation and in particular the use of the Community Contribution will be supervised by a Steering Group, consisting of three representatives, at the Director level, from the Commission and the Bank respectively.

The Commission will closely monitor the effective use of the Community Contribution, including ex-post assessments of the successful features of the action, and regularly report to the programme committee. In addition, the Commission will include main findings in this respect to the annual report on research and technological development activities which it will send to the European Parliament and the Council pursuant to Article 173 TEC.

In addition, and in compliance with the mid-term evaluation referred to in Annex II of the Framework Programme, the Commission will provide at that time a report containing information on the participation per type of legal entities, the fulfillment of the FP7 selection criteria, the kind of projects supported and the demand for the instrument concerned, the duration of the authorisation procedure, the project results, and the funding distribution.

#### **A4.6.2 Selection of Projects for Financing and the Eligibility Criteria**

The EIB has been recognised as a beneficiary of the Community action in the Council and Parliament decision adopting the 7<sup>th</sup> Framework Programme.

In accordance with the principles established in the Specific Programme the EIB will use the Community contribution on a "first come, first served basis," as provisions and capital allocation within the Bank to cover part of the risks associated with its operations supporting eligible European RTD actions.

*The EC contribution to RSFF may only be used to support activities which can be classified as "fundamental research", "industrial research" or "experimental development" as defined in the Community Framework for State Aid for Research and Development and Innovation (to be adopted by the Commission). Prototypes and pilot projects, which are part of "experimental*

*development", may be eligible if they fulfil the conditions specified therein.* Innovation activities intended to prepare the commercial use of research results (such as training, technology management and transfer) are eligible if they are linked to and complementary to research, technological development and demonstration activities, the later constituting the bulk of any eligible European RTD action.

The Agreement with the Bank will comprise a list of investment costs consistent with the above mentioned definitions in the *Community Framework for State Aid for Research and Development and Innovation*.

The Agreement with the Bank will also comprise a list of exclusions from financing with support of the Community contribution, reflecting political agreement between the Commission; the Member States and the European Parliament as documented in the Seventh Framework Programme and the Specific Programme "Cooperation".

#### **A4.6.3 The Commission Right to Object to the Use of the Community Contribution**

The Commission has a right to express its opinion on each and every financial operation proposed by the EIB to its Board for decision under (Article 21 of the EIB Statute). Where the Commission delivers an unfavourable opinion, the EIB Board may not grant the loan or guarantee concerned, unless it votes unanimously in its favour, the Commission nominee abstaining. Should the Bank proceed with financing despite the Commission's negative opinion the Community contribution to RSFF may not be used.

In accordance with Rules of Participation, the Commission may object, in duly justified cases, the use of the *Community contribution* for provisioning and capital allocation against a loan *or a guarantee* proposed by the EIB. If such a case arises the Commission may conduct an independent, internal or external, review of such a case.

*All Themes of this Work Programme will contribute on a proportional basis, except the Socio-economic Sciences and the Humanities theme, which does not contribute to RSFF*

In compliance with Annex II to the 7<sup>th</sup> Framework Programme, the Community financial contribution to RSFF from the abovementioned contributing Themes of the Cooperation Programme will be of an amount of up to EUR 400 million until 2010.

This planning will be revised, and if appropriate, adapted each year, taking into account the evolution of demand for RSFF operations and the results of the evaluation of the Council and the European Parliament under the procedure described in Article 7(2) of the 7<sup>th</sup> Framework Programme on the basis of a report by the Commission containing information on the participation of SMEs and universities, the fulfilment of the FP7 selection criteria, the duration of the authorisation procedure, the project results, and the funding distribution. The Community financial contribution to RSFF from the Cooperation Programme may reach a maximum amount of EUR 800 million for 2007-2013.

Subject to necessary budgetary approvals, the first payment to the EIB will be made in the first quarter of 2007.

From 2009 on it is foreseen to proceed annually with an equal amount of commitment and payment of the Community contributions to RSFF, based on an the EIB's activity and forecast

report and its request for the amount of the contribution estimated necessary for the following year. Following mid-term evaluation, however, the payment may be made in (several) instalments to ensure the maximum match between funds paid to the EIB and used for provisions and capital allocation.

#### **A4.6.4 Community Contribution to RSFF in 2007 and 2008**

In order to send a strong signal of the Community commitment to RSFF in line with the mandate from the Council the Commission will commit, in 2007, an amount of EUR 160 million for the period 2007-2008.

#### **A4.6.5 Process for Recovering and Reallocating Unused Community Funds**

In order to mitigate the risk of accumulation of unused funds the multi-annual planning will be adjusted on the basis of reports including pipeline report (summary of information on projects considered for financing) and demand forecasts. Amounts committed but not paid to the EIB – i.e. not used for the operations of RSFF – will be reallocated to other activities of the contributing themes.

Notwithstanding the above and unless the Council adopting the 8<sup>th</sup> Framework programme decides otherwise the Commission will recover from the Bank any unused funds of the Community contribution (including interest and income) which on the 31 December 2013 have not been used or committed to be used or are required to cover eligible costs The mid-term evaluation will include an external assessment of the impact of the RSFF.

**A4.7 FINANCIAL OVERVIEW FOR GENERAL ACTIVITIES FOR 2007**

The following provides a financial overview for 2007 of the activities which are funded across the Cooperation Programme:

<b>Activity</b>	<b>Funding for 2007</b>
A4.1 CORDIS	7 Meuro
A4.2 ERA-NET scheme	41 Meuro <i>broken down as follows:</i>
A4.2.2.1 ERA NET Actions	10 Meuro
A4.2.2.2 ERA-NET Plus to named beneficiaries	21 Meuro (EURAMET) 9 Meuro (BONUS)
A4.2.3.1 Call for tender	0.6 Meuro
A4.2.3.2 Call for support actions	0.4 Meuro
A4.3 RESEARCH ORGANISATIONS/ A4.4 EUREKA	0.8 Meuro
A4.5 COST	30 Meuro
A4.6 RSFF	160 Meuro
<b>Total:</b>	<b>238,8 Meuro</b>