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- (4) The Framework Programme should complement the activities carried out in the Member States as well as other Community actions that are necessary for the overall strategic effort for the implementation of the Lisbon objectives, alongside in particular those on structural funds, agriculture, education, training, culture, competitiveness and innovation, industry, health, consumer protection, employment, energy, transport and environment.
  - (5) Innovation and SME-related activities supported under this Framework Programme should be complementary to those undertaken under the Framework Programme for Competitiveness and Innovation which will contribute to closing the gap between research and innovation, and promote all forms of innovation.
  - (6) Implementation of the Framework Programme may give rise to supplementary programmes involving the participation of certain Member States only, the participation of the Community in programmes undertaken by several Member States, or the setting up of joint undertakings or other arrangements within the meaning of Articles 168, 169 and 171 of the Treaty.

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- (7) The international dimension is a fundamental component of human resources in research and development in Europe. As provided for under Article 170 of the Treaty, this specific programme is open to the participation of countries having concluded the necessary agreements to this effect, and is also open on the project level, and on the basis of mutual benefit, to the participation of entities from third countries and of international organisations for scientific cooperation. Moreover, all actions, as well as dedicated actions in this specific programme are open to participation of individual researchers from third countries.
- (8) Research activities carried out within this programme should respect fundamental ethical principles, including those which are reflected in the Charter of Fundamental Rights of the European Union.
- (9) The implementation of the Framework Programme should contribute towards promoting sustainable development.
- (10) Sound financial management of the Framework Programme and its implementation should be ensured in the most effective and user-friendly manner possible, while ensuring legal certainty and the accessibility of the programme for all participants, in compliance with Council Regulation (EC, Euratom) No 1605/2002 of 25 June 2002 on the Financial Regulation applicable to the general budget of the European Communities<sup>1</sup> and Commission Regulation (EC, Euratom) 2342/2002<sup>2</sup> laying down detailed rules for the implementation of that Financial Regulation and any future amendments.

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<sup>1</sup> OJ L 248, 16.9.2002, p. 1.

<sup>2</sup> OJ L 357, 31.12.2002, p. 1. Regulation as amended by Commission Regulation (EC, Euratom) No 1261/2005 (OJ L 201, 2.8.2005, p. 3).

- (11) Appropriate measures – proportionate to the European Communities' financial interests - should be taken to monitor both the effectiveness of the financial support granted and the effectiveness of the utilisation of these funds in order to prevent irregularities and fraud and the necessary steps should be taken to recover funds lost, wrongly paid or incorrectly used in accordance with Council Regulation (EC, Euratom) No 2988/95 of 18 December 1995 on the protection of the European Communities' financial interests<sup>1</sup>, Council Regulation (Euratom, EC) No 2185/96 of 11 November 1996 concerning on-the-spot checks and inspections carried out by the Commission in order to protect the European Communities' financial interests against fraud and other irregularities<sup>2</sup> and Regulation (EC) No 1073/1999 of the European Parliament and of the Council concerning investigations conducted by the European Anti-Fraud Office (OLAF)<sup>3</sup>.
- (12) The measures necessary for the implementation of this Decision are essentially management measures, and should therefore be adopted by the management procedure provided for in Article 4 of Council Decision 1999/468/EC of 28 June 1999, laying down the procedures for the exercise of implementing powers conferred on the Commission<sup>4</sup>. On the other hand research involving the use of human embryos and human embryonic stem cells raises specific ethical issues, as described in Article 4 of this Decision. Therefore, measures for the financing of such projects should be adopted by the regulatory procedure provided for in Article 5 of Decision 1999/468/EC.

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<sup>1</sup> OJ L 312, 23.12.1995, p. 1.

<sup>2</sup> OJ L 292, 15.11.1996, p. 2.

<sup>3</sup> OJ L 136, 31.5.1999, p. 1.

<sup>4</sup> OJ L 184, 17.7.1999, p. 23. Decision as amended by Decision 2006/512/EC (OJ L 200, 22.7.2006, p. 11).

- (13) In the implementation of this programme adequate attention needs to be paid to gender mainstreaming, as well as to, inter alia, the working conditions, transparency of recruitment processes, and career development as regards the researchers recruited on projects and programmes funded under the actions of this programme, for which the Commission Recommendation of 11 March 2005 on the European Charter for Researchers and on a Code of Conduct for the Recruitment of Researchers offers a reference framework, while respecting its voluntary nature.
- (14) This programme aims at creating a genuine European labour market for researchers as a further development and implementation of the integrated strategy on human resources in research and development in Europe on the basis of the "Mobility Strategy for the ERA"<sup>1</sup> and the "Researchers in the ERA: one profession, multiple careers"<sup>2</sup>, and takes into account the Council conclusions on human resources in R&D of 18 April 2005.
- (15) The "People" programme aims to increase the human R & D potential in Europe in terms of both quality and quantity, including by recognising the 'profession' of researcher with a view to maintaining the excellence in basic research and the organic development of technological research, and encouraging European researchers' mobility from, to and throughout Europe. Moreover, it should help to provide the right conditions in order to attract the best foreign researchers to carry out research in Europe,

HAS ADOPTED THIS DECISION:

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<sup>1</sup> Communication from the Commission "A Mobility Strategy for the European Research Area" – COM(2001) 331, 20.6.2001 and Council Resolution 2001/C367/01.

<sup>2</sup> Communication from the Commission "Researchers in the European Research Area: one profession, multiple careers" – COM(2003) 436, 18.7.2003 – and Council Resolution 2003/C282/01.

### *Article 1*

The Specific Programme "People" for Community activities in the area of research and technological development, including demonstration activities, hereinafter the "Specific Programme", is hereby adopted for the period from 1 January 2007 to 31 December 2013.

### *Article 2*

The Specific Programme shall support the activities for "People", stimulating people to enter into the profession of researcher, strengthening, quantitatively and qualitatively, the human potential in research and technology in Europe including as regards the potential of women. The activities supporting training and career development of researchers, referred to as "Marie Curie Actions", shall focus on the key aspects of skills and career development and strengthened links with national systems.

The objectives and the broad lines of those activities are set out in Annex.

### *Article 3*

The amount deemed necessary for the execution of the specific programme shall be EUR 4 750 million, of which less than 6 % shall be for the Commission's administrative expenditure.

*Article 4*

1. All research activities carried out under the Specific Programme shall be carried out in compliance with fundamental ethical principles.
2. The following fields of research shall not be financed under this programme:
  - research activity aiming at human cloning for reproductive purposes,
  - research activity intended to modify the genetic heritage of human beings which could make such changes heritable<sup>1</sup>,
  - research activities intended to create human embryos solely for the purpose of research or for the purpose of stem cell procurement, including by means of somatic cell nuclear transfer.
3. Research on human stem cells, both adult and embryonic, may be financed, depending both on the contents of the scientific proposal and the legal framework of the Member State(s) involved.

Any application for financing for research on human embryonic stem cells shall include, as appropriate, details of licensing and control measures that will be taken by the competent authorities of the Member States as well as details of the ethical approval(s) that will be provided.

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<sup>1</sup> Research relating to cancer treatment of the gonads may be financed.

As regards the derivation of human embryonic stem cells, institutions, organisations and researchers shall be subject to strict licensing and control in accordance with the legal framework of the Member State(s) involved.

4. The fields of research set out above shall be reviewed for the second phase of this programme (2010-2013) in the light of scientific advances.

#### *Article 5*

1. The specific programme shall be implemented by means of the funding schemes established in Annex III to the Framework Programme.
2. The rules for participation and dissemination shall apply to this specific programme.

#### *Article 6*

1. The Commission shall draw up a work programme for the implementation of the specific programme, setting out in greater detail the objectives and activities set out in Annex, the funding scheme to be used for the actions on which proposals are invited, and the timetable for implementation.

2. The work programme shall take account of relevant research, research training and career development activities carried out by the Member States, associated countries and European and international organisations, and the achievement of European added value as well as the impact on industrial competitiveness and the relevance for other Community policies. It shall be updated where appropriate.
3. Proposals for indirect actions under the funding schemes shall be evaluated and projects selected considering the criteria set out in Article 15(1b) of the rules for participation and dissemination.
4. The work programme may identify:
  - (a) organisations that receive subscriptions in the form of a membership fee;
  - (b) support actions for the activities of specific legal entities.

#### *Article 7*

1. The Commission shall be responsible for the implementation of the specific programme.
2. The management procedure laid down in Article 8(2) shall apply for the adoption of the following measures:
  - (a) the work programme referred to in Article 6 including the funding schemes to be used, the content of the calls for proposals as well as the evaluation and selection criteria to be applied;



- (b) the approval of the funding of activities referred to in Article 2, where the estimated amount of the Community contribution under this programme is equal to or more than EUR 0,6 million;
  - (c) the drawing up of the terms of reference for the evaluations provided for in Articles 7(2) and 7(3) of the Framework Programme.
3. The regulatory procedure laid down in Article 8(3) shall apply for the approval of the funding of activities involving the use of human embryos and human embryonic stem cells.

#### *Article 8*

1. The Commission shall be assisted by a Committee
2. Where reference is made to this paragraph, Articles 4 and 7 of Decision 1999/468/EC shall apply.

The period laid down in Article 4(3) of Decision 1999/468/EC shall be set at two months.

3. Where reference is made to this paragraph, Articles 5 and 7 of Decision 1999/468/EC shall apply.

The period laid down in Article 5(6) of Decision 1999/468/EC shall be set at two months.

4. The Commission shall regularly inform the Committee of the overall progress of the implementation of the Specific Programme, and shall provide it with timely information on all RTD actions proposed or funded under this programme as specified in Annex II.

5. The Committee shall adopt its rules of procedure.

*Article 9*

The Commission shall arrange for the independent monitoring, assessment and review provided for in Article 7 of the Framework Programme Decision to be conducted concerning the activities carried out in the fields covered by the Specific Programme.

*Article 10*

This Decision shall enter into force on the third day following its publication in the Official Journal of the European Union.

This Decision is addressed to the Member States.

Done at Brussels, 19 December 2006.

*For the Council*

*The President*

**J. KORKEAOJA**

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**ANNEX I****SCIENTIFIC AND TECHNOLOGICAL OBJECTIVES,  
BROAD LINES OF THE THEMES AND ACTIVITIES****Introduction**

One of the main competitive edges in science and technology is the quantity and quality of its human resources. As a prerequisite for increasing Europe's capacity and performance in research and technological development and for consolidating and further developing the European Research Area, the overall strategic aim of this programme is to make Europe more attractive to researchers. This shall be done by pursuing a considerable structuring effect throughout Europe on the organisation, performance and quality of research training, on the active career development of researchers, on knowledge-sharing through researchers between sectors and research organisations, on increasing partnership between industry and academia, and on strong participation by women and early-stage researchers in research and development.

The programme will be implemented by systematic investments in people, mainly through a coherent set of "Marie Curie Actions", particularly taking into account the European added-value in terms of their structuring effect on the European Research Area. Building on the experience with the "Marie Curie Actions" under previous Framework Programmes, these actions address researchers in terms of their skills and competence development at all stages of their careers, from initial research training specifically intended for young people, to career development and life-long training in the public and private sector. Mobility, both trans-national and intersectoral, is fundamental to this programme. Increasing the mobility of researchers and strengthening the resources of those institutions which attract researchers internationally will encourage centres of excellence around the European Union. Recognition of experiences acquired in different sectors and countries, and adequate working conditions are also key elements throughout the "Marie Curie Actions". Special measures to encourage early-stage researchers and support early stages of scientific career, as well as measures to reduce the "brain drain", such as reintegration grants, will be introduced.

The "Marie Curie Actions" are open to all domains of research and technological development addressed under the Treaty. Research fields are chosen freely by the applicants. Nevertheless the possibility is retained to target certain activities under the programme, for example regarding scientific disciplines and technological areas, participating regions, types of research organisations and researcher population, in order to respond to the evolution of Europe's requirements in the area of research training, mobility, career development and knowledge sharing. To ensure training and mobility within new research and technology areas, appropriate coordination with other parts of the Framework Programme will be ensured, including the possibility for joint calls.

A strong participation by enterprises, including SMEs, is considered a crucial added value for this programme. The enhancement of industry-academia cooperation in terms of research training, career development and knowledge sharing, taking into account the protection of intellectual property rights, is encouraged throughout the "Marie Curie Actions", while a dedicated action is addressing industry-academia pathways and partnerships, with special attention being given to SMEs.

The international dimension, as a fundamental component of human resources in research and development in Europe, will be addressed in terms of career development without discrimination, as well as of strengthening and enriching international cooperation through researchers and attracting research talent to Europe. The international dimension will be incorporated throughout the "Marie Curie Actions" and in addition will be subject to self-standing actions.

Due account will be taken of the principles of sustainable development and gender equality. The programme aims to ensure gender mainstreaming by encouraging equal opportunities in all "Marie Curie Actions" and by benchmarking gender participation (a target of at least 40 % participation by women). In addition, the actions will be designed to assist researchers to get established on a more stable career path and to ensure that researchers can achieve an appropriate work/life balance, taking into account their family situation, and to contribute to facilitate resuming a research career after a break. Furthermore, considerations of the ethical, social, legal and wider cultural aspects of the research to be undertaken and its potential applications, as well as socio-economic impacts of scientific and technological development and foresight, will be addressed under this specific programme where relevant.

In order to fully exploit Europe's potential for becoming more attractive to researchers, the "Marie Curie Actions" will create concrete synergies with other actions both within the framework of the Community research policy, as well as within actions under other Community policies, e.g. on education, cohesion and employment. Such synergies will also be sought with actions at regional, national and international level. Actions on linking science education to careers, and research and coordination actions on new methods in science education are foreseen under the Science in Society part of the "Capacities" programme<sup>1</sup>.

### **Ethical aspects**

During the implementation of this specific programme and in the research activities arising from it, fundamental ethical principles are to be respected. These include, inter alia, the principles reflected in the Charter of Fundamental Rights of the EU, including the following: protection of human dignity and human life, protection of personal data and privacy, as well as animals and the environment in accordance with Community law and the latest versions of relevant international conventions, guidelines and codes of conduct, e.g. the Helsinki Declaration, the Convention of the Council of Europe on Human Rights and Bio-medicine signed in Oviedo on 4 April 1997 and its Additional Protocols, the UN Convention on the Rights of the Child, the Universal Declaration on the human genome and human rights adopted by UNESCO, UN Biological and Toxin Weapons Convention (BTWC), International Treaty on Plant Genetic Resources for Food and Agriculture, and the relevant World Health Organisation (WHO) resolutions.

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<sup>1</sup> With a view to facilitating the implementation of the programme, for each meeting of the programme committee as defined in the agenda, the Commission will reimburse, in accordance with its established guidelines, the expenses of one representative per Member State, as well as one expert/adviser per Member State for those agenda items where a Member State requires specific expertise.

Account will also be taken of the Opinions of the European Group of Advisers on the Ethical Implications of Bio-technology (1991-1997) and the Opinions of the European Group on Ethics in Science and New Technologies (as from 1998).

In compliance with the principle of subsidiarity and the diversity of approaches existing in Europe, participants in research projects must conform to current legislation, regulations and ethical rules in the countries where the research will be carried out. In any case, national provisions apply and no research forbidden in any given Member State or other country will be supported by Community funding to be carried out in that Member State or country.

Where appropriate, those carrying out research projects must seek the approval of the relevant national or local ethics committees prior to the start of the RTD activities. An ethical review will also be implemented systematically by the Commission for proposals dealing with ethically sensitive issues or where ethical aspects have not been adequately addressed. In specific cases an ethical review may take place during the implementation of a project.

No funding will be granted for research activities that are prohibited in all the Member States.

The Protocol on protection and welfare of animals annexed to the Treaty requires the Community to pay full regard to the welfare requirements of animals in formulating and implementing Community policies including research. Council Directive 86/609/EEC of 24 November 1986 on the approximation of laws, regulations and administrative provisions of the Member States regarding the protection of animals used for experimental and other scientific purposes<sup>1</sup> requires that all experiments be designed to avoid distress and unnecessary pain and suffering to the experimental animals; use the minimum number of animals; involve animals with the lowest degree of neurophysiological sensitivity; and cause the least pain, suffering, distress or lasting harm. Altering the genetic heritage of animals and cloning of animals may be considered only if the aims are ethically justified and the conditions are such that the animals' welfare is guaranteed and the principles of bio-diversity are respected.

During the implementation of this programme, scientific advances and national and international provisions will be regularly monitored by the Commission so as to take account of any developments.

Research on ethics related to scientific and technological developments will be carried out in the "Science in Society" part of the "Capacities" Specific Programme.

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<sup>1</sup> OJ L 358, 18.12.1986, p. 1. Directive as amended by Directive 2003/65/EC of the European Parliament and of the Council (OJ L 230, 16.9.2003, p. 32).



**Activities**

The following "Marie Curie Actions" will be supported:

– **Initial training of researchers**

This action supports the initial training of researchers, typically directed at the first four years (or full-time equivalent) of their careers, plus up to one additional year if necessary for the completion of the initial training. Through a trans-national networking mechanism, aimed at structuring a substantial share of the high-quality initial research training capacity throughout Member States and associated countries in both public and private sectors, the action aims to improve researchers' career perspectives in both sectors, thereby also enhancing the attraction of young people to research careers.

The action will be implemented through support to competitively selected networks of complementary organisations from different countries engaged in research training. In this frame support is foreseen for the best early-stage researchers to join established research teams. The networks will be built on a joint research training programme, responding to well identified training needs in defined scientific or technological areas, with appropriate references to interdisciplinary and newly emerging supra-disciplinary fields. These training programmes will address in particular the development and broadening of the research competences of the early stage researchers. Training will be primarily focused on scientific and technological knowledge through research on individual projects, complemented by training modules addressing other relevant skills and competences, e.g. in the field of management and financing of research projects and programmes, intellectual property rights and other exploitation methods of research results, entrepreneurship, ethical aspects, communication and societal outreach.

The joint research training programme should be coherent in terms of quality standards, with due provision for supervision and mentoring arrangements. The joint training programme should exploit complementary competences of the participants in the network, including from enterprises, as well as other synergies. It shall require the mutual recognition of the quality of the training and, if possible, of diplomas and other certificates awarded. Particular attention will be paid to the problems concerning the long-term employment of researchers.

Direct or indirect involvement of organisations from different sectors is considered essential in this action, including (lead-) participation by private enterprises in appropriate fields. A single research organisation or twinning participations are eligible under this action, if it is clearly demonstrated that the necessary elements of the research training programme are effectively addressed in cooperation with a wider set of partners, without these being formally part of the network.

Community support under this action would comprise:

- the recruitment of early-stage researchers to be trained;
- the possibility for setting up academic chairs in higher education institutions or equivalent positions in other research organisations and enterprises for experienced researchers, with a view to transferring new knowledge and strengthening supervision of the early-stage researchers trained in a network;
- networking and the organisation of short training events (conferences, summer schools and specialised training courses), open to both trainees of the network and to researchers from outside the network.

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– **Life-long training and career development**

This action targets experienced researchers at different stages of their careers, by enhancing their individual competence diversification in terms of acquisition of multi- or interdisciplinary skills or the undertaking of inter-sectoral experiences. The aim is to support researchers in attaining and/or strengthening a leading independent position, e.g. principal investigator, professor or other senior position in education or enterprise. The action will also assist researchers to resume a career in research after a break or to (re)integrate researchers into a research career in Member States and associated countries, including in their country of origin, after a mobility experience.

Researchers addressed under this action should have at least four years of full-time or equivalent research experience or a doctorate; as the action is directed at life-long training and career development, it is however expected that the researchers will typically have a more senior profile in terms of experience.

This action will be implemented through:

- (i) support for individual trans-national intra-European fellowships awarded directly at Community level, to the best or most promising researchers from Member States and associated countries, based on an application made by the researchers in conjunction with the host organisations;

- (ii) co-funding of regional, national or international programmes in the field of research training and career development where this fulfils the criteria of European added value, transparency and openness, targeting a competitive selection of existing or new regional, national and international funding programmes that focus on the objectives set for this action, based on individual-driven mobility. These programmes are to apply an open, merit-based competition for the applying researchers, founded on international peer-review, without limitations regarding their origin and/or destination. These programmes are expected to offer adequate working conditions for the final beneficiaries.

Applicants for the co-funding modality would be key actors in capacity building of human resources in research on their respective territories. They would typically be organisations falling in one of the following categories:

- official public bodies responsible for funding and managing fellowship programmes, e.g. ministries, state committees for research, research academies or agencies;
- other public or private bodies, including large research organisations, that finance and manage fellowship programmes either with an official mandate or recognised by public authorities, such as agencies established by governments under private law with a public service mission, charities, etc.;
- bodies at international level that run comparable schemes at European level as part of their mission.

For the co-funding modality, the Community will primarily contribute to the financing of fellowships complying with the requirements and aims of this action, notably in terms of trans-national mobility. International competition between researchers will remain central in order to ensure highest quality of research under this activity.

Both implementation modes will be run in parallel from the beginning, with the co-funding mode initially on a controlled scale allowing for the necessary experience to be gained. In the course of the Framework Programme an impact assessment of the two modes will determine the implementation modalities for the remainder of the programme.

– **Industry-academia partnerships and pathways**

This action seeks to open and foster dynamic pathways between public research organisations and private commercial enterprises, including in particular SMEs, as well as traditional manufacturing industries. Activities will be based on longer term cooperation programmes with a view to increasing intersectoral mobility and increasing the transfer and sharing of knowledge (including project management, IPR management and product development) as well as promoting mutual understanding of the different cultural settings and skill requirements of both sectors.

The action will be implemented in a flexible way, inter alia based on good practices on industry-academia partnership throughout the EU, through cooperation programmes between organisations from both sectors from at least two different Member States or associated States, with support for human resources interactions within that framework. Community support will take one or more of the following forms:

- staff secondments between both sectors within the partnership, with a view of reinforcing the intersectoral cooperation;
- temporary hosting in both sectors of experienced researchers recruited from outside the partnership;
- networking and the organisation of workshops and conferences enhancing the inter-sectoral experience and knowledge exchange, in order to reach a larger number of staff members from both sectors;
- as an SME specific measure a contribution to small equipment related to their participation in the cooperation.

– **The international dimension**

Recognising the international dimension as a fundamental component of human resources in R&D in Europe, this dimension is addressed through dedicated actions both in terms of career development of European researchers and in terms of strengthening international cooperation through researchers.

The career development of researchers from Member States and associated countries will be supported through:

- (i) outgoing international fellowships, with mandatory return, for experienced researchers within the framework of life-long training and competence diversification, to acquire new skills and knowledge;
- (ii) return and international reintegration grants for experienced researchers after an international experience. Under this action the networking of researchers from Member States and associated countries abroad will also be supported with a view to keep them actively informed about and involved in developments in the European Research Area.

The international cooperation through researchers will be supported through:

- (i) incoming international fellowships in order to attract highly qualified third-country researchers to Member States and associated countries, for knowledge enhancement for Europe and to build up high-level connections. Researchers from developing countries or from countries with emerging economies may benefit from support for a return phase. Networking of third-country researchers in Member States and associated countries, with a view to structuring and developing their contacts with their regions of origin, will also be supported;



(ii) partnerships between several research organisations in Europe and one or more organisations in:

- countries covered by the European Neighbourhood Policy;
- countries with which the Community has an S&T Agreement.

On the basis of joint programmes Community support will be provided for short exchanges of early-stage and experienced researchers, for the organisation of mutually beneficial conferences and other events, as well as for the development of a systematic exchange of good practices with a direct bearing on issues regarding human resources in research and development.

These actions will be implemented in line with the international activities under the "Cooperation" and "Capacities" Programmes.

– **Specific actions**

In support of the creation of a genuine European labour market for researchers, a coherent set of accompanying actions is to be implemented, with a view to removing obstacles to mobility and to enhancing the career perspectives of researchers in Europe. These actions will aim, in particular, at raising stakeholders and general public awareness, including through "Marie Curie" awards, at stimulating and supporting action at Member State level and at complementing Community actions. The specific actions will also include incentive measures for public institutions that promote mobility, quality and profile of researchers, where these activities fulfil the criteria of European added-value, openness and transparency.

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**ANNEX II**

Information to be provided by the Commission in accordance with Article 8(5)

1. Information on actions, enabling the monitoring of the entire lifetime of each proposal, covering in particular:
  - submitted proposals,
  - evaluation results for each proposal,
  - grant agreements,
  - completed actions.
2. Information on the outcome of each call and implementation of actions, covering in particular:
  - results of each call,

- outcome of negotiations on grant agreements,
- implementation of actions, including payment data and outcome of actions.

3. Information on programme implementation, including relevant information at the level of the Framework Programme, the Specific Programme and each activity.

This information (in particular, on proposals, their evaluation and grant agreements) should be provided in a uniform structured electronically-readable and treatable format accessible through an IT-based information and reporting system which readily enables data analysis.

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