Amended proposal for a

COUNCIL DECISION

concerning the Specific Programme to be carried out by means of direct actions by the Joint Research Centre implementing the 7th Framework Programme (2007-2011) of the European Atomic Energy Community (Euratom) for nuclear research and training activities

Adaptation following the agreement of 17 May 2006
on the Financial Framework 2007-2013

(presented by the Commission pursuant to Article 250(2) of the EC Treaty)
Amended proposal for a

COUNCIL DECISION

Concerning the Specific Programme to be carried out by means of direct actions by the Joint Research Centre implementing the 7th Framework Programme (2007-2011) of the European Atomic Energy Community (Euratom) for nuclear research and training activities

(Text with EEA relevance)

Article 3 is replaced as follows:

“Article 3

In accordance with Article 3 of the Framework Programme, the amount deemed necessary for the execution of the Specific Programme shall be EUR 517 million.”

---

* EUR 468 million in 2004 prices.
LEGISLATIVE FINANCIAL STATEMENT


2. ABM / ABB FRAMEWORK

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

Direct Research

3. BUDGET LINES

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

| 10 03 | Directly financed research operating appropriations |

3.2. Duration of the action and of the financial impact:

2007-2011

3.3. Budgetary characteristics (add rows if necessary):

<table>
<thead>
<tr>
<th>Budget line</th>
<th>Type of expenditure</th>
<th>New</th>
<th>EFTA contribution</th>
<th>Contributions from applicant countries</th>
<th>Heading in financial perspective</th>
</tr>
</thead>
<tbody>
<tr>
<td>10 01 05</td>
<td>Non-comp</td>
<td>Non-diff</td>
<td>YES</td>
<td>NO</td>
<td>YES</td>
</tr>
<tr>
<td>10 03</td>
<td>Non-comp</td>
<td>diff</td>
<td>YES</td>
<td>NO</td>
<td>YES</td>
</tr>
</tbody>
</table>
## 4. SUMMARY OF RESOURCES

### 4.1. Financial Resources

#### 4.1.1. Summary of commitment appropriations (CA) and payment appropriations (PA)

**EUR million (to 3 decimal places)**

<table>
<thead>
<tr>
<th>Expenditure type</th>
<th>Section no.</th>
<th>2007</th>
<th>2008</th>
<th>2009</th>
<th>2010</th>
<th>2011</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Operational expenditure</strong>¹</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Commitment Appropriations (CA)</td>
<td>8.1</td>
<td>a</td>
<td>8,818</td>
<td>8,994</td>
<td>9,175</td>
<td>9,358</td>
<td>9,382</td>
</tr>
<tr>
<td>Payment Appropriations (PA)</td>
<td>b</td>
<td>4,408</td>
<td>8,245</td>
<td>9,072</td>
<td>9,253</td>
<td>14,749</td>
<td>45,727</td>
</tr>
<tr>
<td><strong>Administrative expenditure within reference amount</strong>²</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Technical &amp; administrative assistance (NDA)</td>
<td>8.2.4</td>
<td>c</td>
<td>87,624</td>
<td>90,822</td>
<td>94,135</td>
<td>97,568</td>
<td>101,124</td>
</tr>
</tbody>
</table>

**TOTAL REFERENCE AMOUNT**

| Commitment Appropriations |     | a+c   | 96,442 | 99,816 | 103,310 | 106,926 | 110,506 | 517,000 |
| Payment Appropriations    |     | b+c   | 92,032 | 99,067 | 103,207 | 106,821 | 115,873 | 517,000 |

**Administrative expenditure not included in reference amount**³

| Human resources and associated expenditure (NDA) | 8.2.5 d |        |        |        |        |        |        |
| Administrative costs, other than human resources and associated costs, not included in reference amount (NDA) | 8.2.6 e |        |        |        |        |        |        |

**Total indicative financial cost of intervention**

| TOTAL CA including cost of Human Resources | a+c  | 96,442 | 99,816 | 103,310 | 106,926 | 110,506 | 517,000 |
|TOTAL PA including cost of Human Resources | b+c  | 92,032 | 99,067 | 103,207 | 106,821 | 115,873 | 517,000 |

¹ Expenditure that does not fall under Chapter xx 01 of the Title xx concerned.
² Expenditure within article xx 01 05 of Title xx.
³ Expenditure within chapter xx 01 other than articles xx 01 05.
Co-financing details

If the proposal involves co-financing by Member States, or other bodies (please specify which), an estimate of the level of this co-financing should be indicated in the table below (additional lines may be added if different bodies are foreseen for the provision of the co-financing):

<table>
<thead>
<tr>
<th>Co-financing body</th>
<th>Year</th>
<th>n</th>
<th>n + 1</th>
<th>n + 2</th>
<th>n + 3</th>
<th>n + 4</th>
<th>n + 5 and later</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>....................</td>
<td>f</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>TOTAL CA including co-financing</td>
<td>a+c +d+ e+f</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

4.1.2. **Compatibility with Financial Programming**

☑ Proposal is compatible with next financial programming (2007-2013).

☐ Proposal will entail reprogramming of the relevant heading in the financial perspective.

☐ Proposal may require application of the provisions of the Interinstitutional Agreement⁴ (i.e. flexibility instrument or revision of the financial perspective).

4.1.3. **Financial impact on Revenue**

☐ Proposal has no financial implications on revenue

☑ Proposal has financial impact – the effect on revenue is as follows:

Certain associated states may contribute to a supplementary funding of the framework programme through association agreements.

---

⁴ See points 19 and 24 of the Interinstitutional agreement.
EUR million (to one decimal place)

<table>
<thead>
<tr>
<th>Budget line</th>
<th>Revenue</th>
<th>Prior to action</th>
<th>Situation following action</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>[Year n-1]</td>
<td>[Year n]</td>
</tr>
<tr>
<td>a) Revenue in absolute terms</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>b) Change in revenue</td>
<td>$\Delta$</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

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

4.2. Human Resources FTE (including officials, temporary and external staff) – see detail under point 8.2.1.

<table>
<thead>
<tr>
<th>Annual requirements</th>
<th>2007</th>
<th>2008</th>
<th>2009</th>
<th>2010</th>
<th>2011</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total number of human resources</td>
<td>732</td>
<td>732</td>
<td>732</td>
<td>732</td>
<td>732</td>
</tr>
</tbody>
</table>

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

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

5. CHARACTERISTICS AND OBJECTIVES

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

The nuclear activities of the JRC aim at satisfying the R&D obligations of the Euratom Treaty and to provide customer driven scientific and technical support to the EU policy related to nuclear energy, ensuring support to the implementation and monitoring of existing policies while flexibly responding to new policy demands.

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

The nuclear activities of the JRC aim at satisfying the R&D obligations of the Euratom Treaty and supporting both Commission and Member States in the field of safeguards and non-proliferation, waste management, safety of nuclear installation and fuel cycle, radioactivity in the environment and radiation protection.
5.3. **Objectives, expected results and related indicators of the proposal in the context of the ABM framework**

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

1. Nuclear waste management, environmental impact and basic knowledge
2. Nuclear safety
3. Nuclear security

5.4. **Method of Implementation (indicative)**

Show below the method(s) chosen for the implementation of the action.

- **Centralised Management**
  - Directly by the Commission
  - Indirectly by delegation to:
    - Executive Agencies
    - Bodies set up by the Communities as referred to in art. 185 of the Financial Regulation
    - National public-sector bodies/bodies with public-service mission

- **Shared or decentralised management**
  - With Member states
  - With Third countries

- **Joint management with international organisations (please specify)**

Relevant comments:

6. **MONITORING AND EVALUATION**

6.1. **General**

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

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

On an annual basis following the Commission decision\(^5\) on the reorganisation of the Joint
Research Centre and in line with obligations stemming from the Specific Programmes (nuclear
and non-nuclear parts), the JRC Board of Governors implements the annual monitoring of the
implementation of the JRC Work Programme with its observations on the JRC annual report. An
appropriate link with the Annual Monitoring of Indirect Actions is ensured.

6.3. Evaluation

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

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

In line with the Commission’s rules and good practices concerning its evaluation activities, there
will be a mid-term review 3 ½ years after the start of the Research Framework Programme of
seven years duration. This evaluation will be carried out by high-level external experts and it will
draw upon the structured information collected in the annual review of the actions as well as on
other sources, such as the user satisfaction surveys.

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

6.3.1. Ex-ante evaluation

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

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

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

1. The JRC implements its Work Programme with roughly one hundred actions, which in
turn support Commission policies

2. There are no standard cost-benefit models that could be applied to the operation and the
evaluation of the JRC’s activities.

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

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

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

- the annual planning, execution and evaluation cycle and related decision making, and
- the multi-annual mid-term and ex-post evaluations.

As a consequence the JRC developed and implemented Periodic Action Reviews (PAR) analysing the output of its individual actions in 2003 and 2004. PAR has multiple objectives:

- It evaluates JRC Actions according to a well defined methodology;
- It supports work programme planning for the coming year;
- It leads to a comprehensive data base supporting various reporting obligations;
- It builds a semi-quantitative data base for the benefit of future JRC evaluations;
- It allows deriving corporate level indicators from various lower levels including the Action level.

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

6.3.3. Terms and frequency of future evaluation

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

8. DETAILS OF RESOURCES

8.1. Objectives of the proposal in terms of their financial cost

*Commitment appropriations in EUR million (to 3 decimal places)*

<table>
<thead>
<tr>
<th>(Headings of Objectives, actions and outputs should be provided)</th>
<th>Year 2007</th>
<th>Year 2008</th>
<th>Year 2009</th>
<th>Year 2010</th>
<th>Year 2011</th>
<th>Total cost</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total cost</td>
<td>96,442</td>
<td>99,816</td>
<td>103,310</td>
<td>106,926</td>
<td>110,506</td>
<td>517,000</td>
</tr>
</tbody>
</table>

NUCLEAR WASTE MANAGEMENT, ENVIRONMENTAL IMPACT & BASIC KNOWLEDGE

NUCLEAR SAFETY

NUCLEAR SECURITY

TOTAL COST
### 8.2. Administrative Expenditure

#### 8.2.1. Number and type of human resources

<table>
<thead>
<tr>
<th>Types of post</th>
<th>Staff to be assigned to management of the action using existing and/or additional resources (number of posts/FTEs)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>2007</td>
</tr>
<tr>
<td>Officials or temporary staff(^9) (XX 01 01)</td>
<td></td>
</tr>
<tr>
<td>A*/AD</td>
<td></td>
</tr>
<tr>
<td>B*, C*/AST</td>
<td></td>
</tr>
<tr>
<td>Staff financed(^10) by art. XX 01 02</td>
<td></td>
</tr>
<tr>
<td>Other statutory staff(^11) financed by art. XX 01 04/05</td>
<td></td>
</tr>
<tr>
<td>A*/AD</td>
<td>251</td>
</tr>
<tr>
<td>B*, C*/AST</td>
<td>315</td>
</tr>
<tr>
<td>External staff</td>
<td>166</td>
</tr>
<tr>
<td><strong>TOTAL</strong></td>
<td>732</td>
</tr>
</tbody>
</table>

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

#### 8.2.2. Description of tasks deriving from the action

Tasks derive from the non-nuclear direct research specific programme

---

\(^9\) Cost of which is NOT covered by the reference amount.
\(^10\) Cost of which is NOT covered by the reference amount.
\(^11\) Cost of which is included within the reference amount.
8.2.3. **Sources of human resources (statutory)**

*(When more than one source is stated, please indicate the number of posts originating from each of the sources)*

- ☑ Posts currently allocated to the management of the programme to be replaced or extended
- ☑ Posts pre-allocated within the APS/PDB exercise for year n
- ☐ Posts to be requested in the next APS/PDB procedure
- ☑ Posts to be redeployed using existing resources within the managing service (internal redeployment)
- ☐ Posts required for year n although not foreseen in the APS/PDB exercise of the year in question

8.2.4. **Other Administrative expenditure included in reference amount (XX 01 05 – Expenditure on administrative management)**

*EUR million (to 3 decimal places)*

<table>
<thead>
<tr>
<th>Budget line (number and heading)</th>
<th>Year 2007</th>
<th>Year 2008</th>
<th>Year 2009</th>
<th>Year 2010</th>
<th>Year 2011</th>
<th>TOTAL</th>
</tr>
</thead>
<tbody>
<tr>
<td>Statutory staff</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>xx.01 05 01</td>
<td>48,447</td>
<td>50,142</td>
<td>51,897</td>
<td>53,714</td>
<td>55,594</td>
<td>259,794</td>
</tr>
<tr>
<td>External staff</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>xx.01 05 02</td>
<td>9,044</td>
<td>9,320</td>
<td>9,605</td>
<td>9,899</td>
<td>10,202</td>
<td>48,070</td>
</tr>
<tr>
<td>Other administrative expenses</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>xx.01 05 03</td>
<td>30,133</td>
<td>31,360</td>
<td>32,633</td>
<td>33,955</td>
<td>35,328</td>
<td>163,409</td>
</tr>
<tr>
<td>Total Technical and administrative assistance</td>
<td>87,624</td>
<td>90,822</td>
<td>94,135</td>
<td>97,568</td>
<td>101,124</td>
<td>471,273</td>
</tr>
</tbody>
</table>
Calculation—Administrative expenditures

Have been calculated taking into account the following hypothesis:

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

8.2.5. Financial cost of human resources and associated costs not included in the reference amount

<table>
<thead>
<tr>
<th>Type of human resources</th>
<th>Year 2007</th>
<th>Year 2008</th>
<th>Year 2009</th>
<th>Year 2010</th>
<th>Year 2011</th>
<th>TOTAL</th>
</tr>
</thead>
<tbody>
<tr>
<td>Officials and temporary staff (08 0101 and )</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Staff financed by Art XX 01 02 (auxiliary, END, contract staff, etc.)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Total cost of Human Resources and associated costs (NOT in reference amount)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>