

# Procedure file

Basic information		
CNS - Consultation procedure Decision	<a href="#">2005/0188(CNS)</a>	Procedure completed
Research RTD, 7th EC Framework Programme 2007-2013: Capacities specific programme for European research and innovation		
Repealed by <a href="#">2011/0402(CNS)</a>		
Subject 3.50.02.01 EC, EU framework programme 3.50.04 Innovation		

Key players				
European Parliament	Committee responsible	Rapporteur	Appointed	
	<b>ITRE</b> Industry, Research and Energy		05/10/2005	
		ALDE <a href="#">PRODI Vittorio</a>		
	Committee for opinion	Rapporteur for opinion	Appointed	
	<b>BUDG</b> Budgets		20/09/2004	
		PSE <a href="#">XENOGIANNAKOPOULOU Marilisa</a>		
	<b>EMPL</b> Employment and Social Affairs	The committee decided not to give an opinion.		
	<b>CULT</b> Culture and Education		07/10/2005	
		PSE <a href="#">BERLINGUER Giovanni</a>		
Council of the European Union	Council configuration	Meeting	Date	
	<a href="#">Agriculture and Fisheries</a>	<a href="#">2774</a>	19/12/2006	
	<a href="#">Competitiveness (Internal Market, Industry, Research and Space)</a>	<a href="#">2731</a>	29/05/2006	
European Commission	Commission DG	Commissioner		
	<a href="#">Research and Innovation</a>	POTOČNIK Janez		

Key events			
21/09/2005	Legislative proposal published	<a href="#">COM(2005)0443</a>	Summary
17/11/2005	Committee referral announced in Parliament		
29/05/2006	Debate in Council	<a href="#">2731</a>	
	Vote in committee		

10/10/2006			
23/10/2006	Committee report tabled for plenary, 1st reading/single reading	<a href="#">A6-0371/2006</a>	
29/11/2006	Debate in Parliament		
30/11/2006	Results of vote in Parliament		
30/11/2006	Decision by Parliament	<a href="#">T6-0520/2006</a>	Summary
19/12/2006	Act adopted by Council after consultation of Parliament		
19/12/2006	End of procedure in Parliament		
30/12/2006	Final act published in Official Journal		

### Technical information

Procedure reference	2005/0188(CNS)
Procedure type	CNS - Consultation procedure
Procedure subtype	Legislation
Legislative instrument	Decision
	Repealed by <a href="#">2011/0402(CNS)</a>
Legal basis	EC Treaty (after Amsterdam) EC 166
Stage reached in procedure	Procedure completed
Committee dossier	ITRE/6/30663

### Documentation gateway

Legislative proposal		<a href="#">COM(2005)0443</a>	21/09/2005	EC	Summary
Committee opinion	<b>CULT</b>	<a href="#">PE367.927</a>	21/03/2006	EP	
Committee draft report		<a href="#">PE368.077</a>	31/03/2006	EP	
Supplementary legislative basic document		<a href="#">COM(2005)0443/2</a>	24/05/2006	EC	Summary
Document attached to the procedure		<a href="#">COM(2006)0239</a>	24/05/2006	EC	Summary
Amendments tabled in committee		<a href="#">PE374.088</a>	13/06/2006	EP	
Committee opinion	<b>BUDG</b>	<a href="#">PE374.074</a>	23/06/2006	EP	
Committee report tabled for plenary, 1st reading/single reading		<a href="#">A6-0371/2006</a>	23/10/2006	EP	
Text adopted by Parliament, 1st reading/single reading		<a href="#">T6-0520/2006</a>	30/11/2006	EP	Summary
Commission response to text adopted in plenary		<a href="#">SP(2007)0054</a>	11/01/2007	EC	
Follow-up document		<a href="#">COM(2011)0052</a>	09/02/2011	EC	Summary
Follow-up document		<a href="#">COM(2014)0686</a>	30/10/2014	EC	Summary
Follow-up document		SWD(2014)0335	30/10/2014	EC	Summary

## Additional information

European Commission

[EUR-Lex](#)

## Final act

[Decision 2006/974](#)  
[OJ L 400 30.12.2006, p. 0298](#) Summary

# Research RTD, 7th EC Framework Programme 2007-2013: Capacities specific programme for European research and innovation

**PURPOSE:** To establish a specific programme entitled 'Capacities' within the context of the EU's 7<sup>th</sup> research framework programme.

**PROPOSED ACT:** Council Decision

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

**Background:**

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

**Specific programme 'Capacities':**

The purpose of the Capacities specific programme is to ensure the optimal use of Europe's research capabilities. By this it means that the programme will offer a unique role in facilitating and supporting the existing EU's research infrastructures. A specific programme designed to buttress and strengthen existing 'and future' research infrastructures is deemed essential if researchers and European industry alike are able to exploit the EU's research possibilities. Access to existing infrastructures is considered indispensable for the execution of innovative science and technology projects.

More specifically speaking, the Capacities programme will be implemented by:

- Optimising the use and development of research infrastructures.
- Strengthening innovative capacities of SMEs and their ability to benefit from research.
- Supporting the development of regional research-driven clusters.
- Unlocking the research potential of the EU's outermost regions.
- Seeking a rapprochement between society as a whole and science.
- Supporting international co-operation.

As part of the over-all management of the Capacities programme, the Commission will encourage synergies with other Community policies such as the Structural Funds. In addition it will complement the other 'specific programmes' being proposed by the Commission and in particular the Co-operation programme.

By research infrastructure, the Commission is referring to facilities or services that are needed by the research community to conduct research in all scientific and technological fields. Typically, the definition covers major equipment or sets of instruments used for research purposes. It can also refer to major collections, archives, computing and software applications. In terms of optimising the use of research infrastructures, the Commission proposes to do so firstly, by building upon and improving existing research infrastructure and secondly by fostering the development of new research infrastructures of pan-European interest based on the work of the European Strategy Forum on Research Infrastructure (ESFRI).

Trans-national access to research infrastructures is given priority. Access may be made available to external users, either in person or by suitable electronic communication and will be implemented through 'bottom-up' calls for proposals open to all scientific fields. Other measures will include the deployment of e-Infrastructures based on targeted calls for proposals. The e-Infrastructures will seek to foster high-performance communications and grid empowered infrastructures. There will be an emphasis on supercomputing facilities, data storage and advanced visualisation facilities. In addition to existing structures, the Capacities programme will encourage new research structures through design studies. Concerning the development of new infrastructures the Capacities programme will offer financial help for both preparatory and construction studies.

A further key feature of the Capacities programme is offering streamlined proposals which address the needs and concerns of Europe's SME's. By offering SME's help, the Commission hopes that they will be in a better position to outsource research, increase their research

efforts, extend their networks, acquire technological know-how and significantly exploit the results of their own research.

The unexploited possibilities of the EU's outermost and convergence regions is also given due consideration within the context of the Capacities programme. In order to unleash the EU's full research potential the Commission proposes the creation of regional research-driven clusters. Such clusters would be made up of regional authorities, universities, research centres, enterprises and related stakeholders. The realisation of such clusters will be done through a more focused use of Structural Funds for R&D investment. In addition Regions of Knowledge will be developed with the sole aim of improving the relevance and effectiveness of regional research agendas.

A further chapter proposed under the Capacities programme focuses on the outermost and convergence regions of the EU. Actions under this heading will build on past and existing measures and centre on both the European Centres of Excellence and the Marie Curie Host Fellowships for the Transfer of Knowledge.

Under the heading of Science in Society the Commission is seeking to build an effective and democratic European society of knowledge by stimulating a harmonious integration of scientific and technology. It is an attempt by the Commission to bridge the gap between many who feel alienated from rapid scientific advantages with the scientists themselves. In other words it seeks to stimulate an on-going and open debate with the wider community on the benefits and potential pitfalls of ground breaking innovative research. The Commission suggests that citizens' alienation from science in society can partly be blamed on insufficient public participation in the decision-making process, a growing reservation regarding certain scientific developments and a questioning of the objectivity of scientific evidence relied on for policy making. In order to address these and other issues the Commission proposes more inclusive and transparent procedure for accessing the expertise needed to underpin credible policies. It also proposes setting ethical landmarks and to try and bridge the gap between those with a scientific background and those without.

A final Chapter proposed under the Capacities specific programme deals with activities at an international level. The international co-operation component of this specific programme will have two objectives, namely to support European competitiveness through strategic international partnerships and to address the specific problems faced by third countries on the basis of mutual interest

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

## Research RTD, 7th EC Framework Programme 2007-2013: Capacities specific programme for European research and innovation

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On 21 September 2005, the Commission presented a proposal for a Council Decision on the Specific Programme: "Capacities" implementing the 7th Framework Programme (2007-2013) of the European Community for research, technological development and demonstration activities.

The overall financial amount initially proposed by the Commission amounted to EUR 7 486,265 million.

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

The new overall amount is set at EUR 4 291 million, of which less than 6% shall be for the Commission's administrative expenditure.

Please refer to the financial statement for more details.

## Research RTD, 7th EC Framework Programme 2007-2013: Capacities specific programme for European research and innovation

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The European Parliament adopted a resolution drafted by Vittorio PRODI (ADLE, I) on the proposal on the Specific Programme "Capacities" implementing the 7th Framework Programme (2007-2013). The following amendments were adopted in plenary:

- the Framework Programme should complement the activities carried out in the Member States and by the Member States through their participation in European intergovernmental research organisations;
- 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 EU and reassert the civic and humanistic values of research, ensuring respect for ethnic and cultural diversity;
- to simplify calls for proposals and reduce costs, the Commission should set up a database as a prerequisite for notifying participants in calls for proposals;
- the overall administrative expenditure of the Specific Programme, including internal and management expenditure for the executive agency which it is proposed to set up, should be proportional to the activities undertaken under the Specific Programme and is subject to the decision of the budgetary and legislative authorities. Budget appropriations shall be used in accordance with the principle of sound financial management, namely in accordance with the principles of economy, efficiency and effectiveness, as well as the principle of proportionality;
- the Commission shall provide prior information to the budgetary authority whenever it intends to depart from the breakdown of expenditure stated in the remarks in and annex to the general budget of the European Union;
- the Work Programme shall take account of relevant research activities carried out by the Member States, associated countries and European and international organisations, with the aim of increasing synergies with such activities, achieving European added value, influencing industrial competitiveness and maintaining relevance to other Community policies;
- the Commission shall ensure that the research results are evaluated and shall report on their contribution to a dynamic, knowledge-based society in Europe;

- the Commission's report shall contain an assessment of the soundness of financial management and an evaluation of the efficiency and regularity of the budgetary and economic management of the programme;
- the Commission shall submit the present Decision and a report on the implementation of the Specific Programme to the competent bodies for review in sufficient time to ensure that the procedure for modifying this Decision can be completed by the end of 2010;
- existing informational help desks have to receive guidance and information so that they can be of service to SMEs, industry and knowledge institutions and do this with the idea of complementarity between the funds;
- Industrial research investment should be encouraged in sectors of key interest to the EU economy;
- research policies should be coordinated at the EU level in areas where there is a clear added value for cooperation. Duplication with work undertaken in the Member States' national research policies should be avoided at all costs;
- Special attention will be paid to: synergy in the development of research potential in combination with innovation-driven programmes and Structural Funds programmes; reducing administrative and physical hindrances to effective cross-border cooperation between regions in different Member States; and the development of combined research and innovation capacity;
- research infrastructures have a vital role to play in disseminating research results to a wide range of research disciplines and communities, which is essential for fostering innovation. Information diffused via these infrastructures can also provide important evidence-based support for policy making;
- there is some emphasis on significant investment from public and private actors in all parts of Europe;
- optimising the utilisation of existing research infrastructures and improving their performance must be seen as a priority;
- it will be necessary to support in a coordinated way digital libraries (with a view to creating a European Digital Library);
- it is essential to improve the transparency of research infrastructures for potential users in order to promote their use by a wider range of communities in all parts of Europe;
- ESFRI as well as technology platforms, joint technology initiatives and the European Research Council will be requested to state their needs for research infrastructure;
- the variable geometry principle should be taken into account when deploying the new research structures pursued by this programme. It is also made clear that the selection criteria for actions under the Specific Programme should correspond to those laid down in the Seventh Framework Programme;
- the creation of "Open Innovation" centres would allow for single-site execution of major collaborative industrial R&D projects, with consortium partners seconding their staff on temporary postings and/or providing open access to research infrastructures and services on the basis of facility sharing;
- in order to share research results the establishment of a Scientific Methods Server would make a significant contribution to the efficiency of research methods by making the results of certain research steps accessible under comparable conditions;
- other amendments aim to strengthen the leading role of SMEs with regard to ?capabilities?; to achieve this, they must be given easier access to ?RTD performers?. Administrative procedures for SMEs will be made simpler and clearer and costs will be reduced for SMEs benefiting under the Framework Programme. Coordination will also be sought with relevant national research programmes. With this in view, consideration may also be given to possible joint implementation of technological development programmes aimed at SMEs under EUREKA in order to encourage innovatory projects geared to market requirements. Mechanisms will also be introduced for cooperation with national and regional R&D support programmes for SMEs, with the aim of providing a more local service geared to their requirements and strengthening the critical mass and European dimension of the various national support schemes;
- funding will support small groups of innovative SMEs in solving common or complementary technological problems, through the Framework Programme and/or intergovernmental funding schemes such as the Commission's, EIB's and European Bank for Reconstruction and Development's (EBRD) JEREMIE and JASPER initiatives.

## Research RTD, 7th EC Framework Programme 2007-2013: Capacities specific programme for European research and innovation

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**PURPOSE:** to adopt the Specific Programme ?Capacity? under the 7<sup>th</sup> Framework Programme.

**LEGISLATIVE ACT:** Council Decision 2006/0974/EC concerning the Specific Programme ?Capacity? implementing the Seventh Framework Programme of the European Community for research, technological development and demonstration activities (2007 ? 2013).

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

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More specifically speaking, the Capacities programme will support:

- a) research infrastructures;

- b) research for the benefit of SMEs;
- c) regions of knowledge;
- d) research potential;
- e) science in society;
- f) support for the coherent development of research policies;
- g) activities of international co-operation.

As part of the over-all management of the Capacities programme, the Commission will encourage synergies with other Community policies such as the Structural Funds. In addition it will complement the other 'specific programmes' being proposed by the Commission and in particular the Co-operation programme.

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The unexploited possibilities of the EU's outermost and convergence regions is also given due consideration within the context of the Capacities programme. In order to unleash the EU's full research potential the programme will create regional 'research-driven clusters' made up of regional authorities, universities, research centres, enterprises and related stake-holders. The realisation of such clusters will be done through a more focused use of Structural Funds for R&D investment. In addition 'Regions of Knowledge' will be developed with the sole aim of improving the relevance and effectiveness of regional research agendas.

A further chapter proposed under the Capacities programme focuses on the outermost and convergence regions of the EU. Actions under this heading will build on past and existing measures and centre on both the 'European Centres of Excellence' and the Marie Curie Host Fellowships for the Transfer of Knowledge.

Under the heading of Science in Society the Commission is seeking to build an effective and democratic European society of knowledge by stimulating a harmonious integration of scientific and technology. It is an attempt to bridge the gap between many who feel alienated from rapid scientific advantages with the scientists themselves.

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ENTRY INTO FORCE: 2 January 2007.

## Research RTD, 7th EC Framework Programme 2007-2013: Capacities specific programme for European research and innovation

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

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

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

**Develop and implement high quality research infrastructures:** the Commission recognises that infrastructure funding will be improved through better alignment of the FP, with funding from the European Investment Bank and Structural Funds. Following the Europe 2020 Strategy a work package on innovation could be included in all research infrastructure projects thereby favouring greater involvement of industry. The work programme 2012 will better highlight the possibility for researchers from third countries to benefit from access to European research

infrastructures. The development of e-Infrastructures will connect researchers, instruments, data and computation resources throughout Europe, creating a seamless "online ERA". As an integral part of the Digital Agenda flagship initiative, this work will continue in the second half of FP7.

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

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

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

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

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

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

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

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

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

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