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REPORT

on the proposal for a decision of the European Parliament and of the Council on participation by the Community in a Joint Baltic Sea Research and Development Programme (BONUS-169) undertaken by several Member States (COM(2009)0610 – C7-0263/2009 – 2009/0169(COD))

Committee on Industry, Research and Energy

Rapporteur: Lena Ek

Symbols for procedures

- * Consultation procedure
majority of the votes cast
- **I Cooperation procedure (first reading)
majority of the votes cast
- **II Cooperation procedure (second reading)
*majority of the votes cast, to approve the common position
majority of Parliament's component Members, to reject or amend
the common position*
- *** Assent procedure
*majority of Parliament's component Members except in cases
covered by Articles 105, 107, 161 and 300 of the EC Treaty and
Article 7 of the EU Treaty*
- ***I Codecision procedure (first reading)
majority of the votes cast
- ***II Codecision procedure (second reading)
*majority of the votes cast, to approve the common position
majority of Parliament's component Members, to reject or amend
the common position*
- ***III Codecision procedure (third reading)
majority of the votes cast, to approve the joint text

(The type of procedure depends on the legal basis proposed by the Commission.)

Amendments to a legislative text

In amendments by Parliament, amended text is highlighted in ***bold italics***. In the case of amending acts, passages in an existing provision that the Commission has left unchanged, but that Parliament wishes to amend, are highlighted in **bold**. Any deletions that Parliament wishes to make in passages of this kind are indicated thus: [...]. Highlighting in *normal italics* is an indication for the relevant departments showing parts of the legislative text for which a correction is proposed, to assist preparation of the final text (for instance, obvious errors or omissions in a given language version). Suggested corrections of this kind are subject to the agreement of the departments concerned.

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DRAFT EUROPEAN PARLIAMENT LEGISLATIVE RESOLUTION

on the proposal for a decision of the European Parliament and of the Council on participation by the Community in a Joint Baltic Sea Research and Development Programme (BONUS-169) undertaken by several Member States (COM(2009)0610 – C7-0263/2009 – 2009/0169(COD))

(Ordinary legislative procedure: first reading)

The European Parliament,

- having regard to the Commission proposal to Parliament and the Council (COM(2009)0610),
 - having regard to Article 251(2) and Articles 169 and 172(2) of the EC Treaty, pursuant to which the Commission submitted the proposal to Parliament (C7-0263/2009),
 - having regard to the Commission Communication to Parliament and the Council entitled "Consequences of the entry into force of the Treaty of Lisbon for ongoing interinstitutional decision-making procedures" (COM(2009)0665),
 - having regard to Article 294(3) and Articles 185 and 188(2) of the Treaty on the Functioning of the European Union,
 - having regard to the opinion of the European Economic and Social Committee¹,
 - having regard to Rule 55 of its Rules of Procedure,
 - having regard to the report of the Committee on Industry, Research and Energy and the opinion of the Committee on the Environment, Public Health and Food Safety (A7-0164/2010),
1. Adopts the position at first reading hereinafter set out;
 2. Calls on the Commission to refer the matter to Parliament again if it intends to amend the proposal substantially or replace it with another text;
 2. Instructs its President to forward its position to the Council, the Commission and the national parliaments.

AMENDMENTS BY PARLIAMENT*

to the Commission proposal for a

¹ Opinion of 29 April 2010 (not yet published in the OJ)

* Political amendments: new or replacement text is marked in bold italics and deletions are indicated by the symbol ***■***.

DECISION 2010/.../EU OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL

on participation by the Union in a Joint Baltic Sea Research and Development programme
(**BONUS**) undertaken by several Member States

(Text with EEA relevance)

Having regard to the Treaty on the Functioning of the European Union, and in particular Articles 185 and 188, second paragraph, thereof,

Having regard to the proposal from the European Commission,

Having regard to the opinion of the European Economic and Social Committee¹,

Acting in accordance with the ordinary legislative procedure²,

Whereas:

- (1) Decision No 1982/2006/EC of the European Parliament and of the Council of 18 December 2006 concerning the Seventh Framework Programme of the European Community for research, technological development and demonstration activities (2007-2013)³ ("the Seventh Framework Programme") provides for Union participation in research and development programmes undertaken by several Member States, including participation in the structures created for the execution of those programmes, within the meaning of Article 185 of the Treaty on the Functioning of the European Union.
- (2) Council Decision No 971/2006/EC of 19 December 2006 concerning the Specific Programme "Cooperation" implementing the Seventh Framework Programme of the European Community for research, technological development and demonstration activities (2007-2013)⁴ encourages a cross-thematic approach to research topics relevant to one or more themes of the Seventh Framework Programme, and in this context identified an Article 169 (EC Treaty) initiative in the field of Joint Baltic Sea research as one of the fields suitable for Union participation in jointly implemented national research programmes.
- (3) The Baltic Sea ecosystem, a semi-enclosed European inland sea, is one of the world's largest brackish water bodies and *has been* seriously affected by many natural and human-caused pressures, such as pollution *from dumped chemical weapons, for example war gases, dating back to the Second World War and* from heavy *metal compounds*, organic *substances*, radioactive material, *and heating oil and petroleum*

¹ Opinion of 29 April 2010 (not yet published in the Official Journal).

² Position of the European Parliament of xx.xx.2010.

³ OJ L 412, 30.12.2006, p. 1.

⁴ OJ L 400, 30.12.2006, p. 86

spills. *The development of agriculture in the Baltic Sea drainage basin has likewise caused excessive inputs of fertilisers and organic material leading to advanced eutrophication, and the introduction of non-endemic alien organisms into the environment.* The unsustainable exploitation of fish stocks *and* climate change *are causing the loss of original* biodiversity. *These factors, as well as continuing human activity, including infrastructure projects directly on and in the immediate vicinity of the coast and in the Baltic Sea drainage basin, as well as ecologically unsustainable tourism are degrading the natural environment. All this is seriously reducing* the capacity of the Baltic Sea to sustainably provide the goods and services upon which humans depend directly and indirectly for social, cultural and economic benefits.

- (4) The European Council of 14 December 2007, highlighted the concern for the status of the environment in the Baltic Sea, as reflected in the Communication from the Commission concerning the European Union Strategy for the Baltic Sea Region. Moreover, the Council has invited the Commission to present a proposal for an Article 169 (EC Treaty) initiative for the Baltic Sea Region.
- (5) Science *should* contribute to addressing these challenges and finding solutions to the *urgent* environmental problems in the Baltic Sea. However, the gravity of the present situation calls for a qualitative and quantitative stepping up of current research in the Baltic region through the development and implementation of a fully-integrated approach whereby the relevant research programmes of all the bordering States can be streamlined and focused in order to address the complex and urgent issues in a coordinated, efficient and effective manner.
- (6) At present, a number of research and development programmes or activities undertaken by Member States individually at national level to support research and development in the Baltic Sea region are not sufficiently coordinated at European level to achieve the critical mass required in strategic research and development areas.
- (7) Furthermore, existing sector-specific research structures, which have evolved throughout a long history of national policies, are deeply rooted in national governance systems and prevent the development and funding of the multi-disciplinary, inter-disciplinary and trans-disciplinary environmental research needed to address the Baltic Sea challenges.
- (8) While there is a long tradition of Baltic Sea research cooperation with countries both within and outside the Baltic Sea area, collaborative efforts have so far lacked adequate financial resources for the optimal exploitation of the research potential due to the unequal economic and development situation in the countries as well as highly diverse national research agendas, research themes and priorities. ■
- (9) The Commission in its work programme for 2007-2008 of 11 June 2007 for the implementation of the Specific Programme "Cooperation", provided financial support to BONUS ERA-NET and ERA-NET PLUS in the field of Baltic Sea environmental research in order to strengthen cooperation between environmental research funding agencies in the Baltic region and facilitate the transition to a joint research and development programme in the Baltic Sea to be implemented on the basis of Article 169

of the EC Treaty.

(9a) ***By and large, BONUS ERA-NET and ERA-NET PLUS have worked well and it is thus important to ensure the continuity of the research efforts in order to address the pressing environmental challenges.***

(10) In line with the approach of the Seventh Framework Programme and as acknowledged in the consultations with stakeholders undertaken during BONUS ERA-NET, there is a need for policy-driven research programmes in the Baltic region.

(11) Denmark, Germany, Estonia, Latvia, Lithuania, Poland, Finland and Sweden ("Participating States") have agreed to jointly undertake the Joint Baltic Sea Research and Development Programme **BONUS** ("**BONUS**"). **BONUS** aims to support scientific development and innovation by providing the necessary legal and organisational framework for trans-national cooperation between the Baltic Sea states on environmental research in the Baltic Sea region.

(12) While largely focussed on environmental research, the **BONUS** initiative cross-cuts a number of related Union research programmes on a range of human activities having accumulated impacts on the ecosystem such as fisheries, aquaculture, agriculture, infrastructure (***including in the field of energy***), transport, training and mobility of researchers as well as socio-economic issues. The initiative is of considerable relevance to a number of Union policies and Directives including Directive 2008/56/EC of the European Parliament and of the Council of 17 June 2008 establishing a framework for Community action in the field of marine environmental policy (Marine Strategy Framework Directive)¹, the EU Strategy for the Baltic Sea Region, the Common Fisheries Policy, the Common Agricultural Policy, Directive 2000/60/EC of the European Parliament and of the Council of 23 October 2000 establishing a framework for Community action in the field of water policy² and international EU commitments such as the HELCOM Baltic Sea Action Plan. As a result, many other areas of Union Policy will benefit from **BONUS**.

(13) In order to increase the impact of the **BONUS**, the Participating States have agreed to the Union participating in it.

(14) **BONUS** should include a strategic phase, followed by the implementation phase, to provide an opportunity to carry out a wide stakeholder consultation on a strategically-driven research agenda also capable of tackling emerging research needs. During the strategic phase of the initiative, the involvement of additional, sectorally oriented, funding agencies should be sought to further enhance the integration of research addressing cross-sectoral end user needs and to ensure the effective use and uptake of results for policy and resource management arrangements across a wide array of economic sectors.

(15) At the end of the strategic phase, the Commission ***should verify that the Strategic***

¹ OJ L 164, 25.6.2008, p. 19.

² OJ L 327, 22.12.2000, p.1.

Research Agenda, Stakeholders Consultation Platforms and implementation modalities are in place for the initiative to enter the implementation phase. The Commission may, if appropriate, make recommendations for improving the Strategic Research Agenda. The transition to the implementation phase should be seamless and without delays.

- (16) Participating States have agreed to contribute EUR 50 million to **BONUS**. Non-monetary contributions in the form of access and use of infrastructures should be allowed, provided they do not represent a significant part of the entire contribution. They should be subject to an evaluation of their value and their utility for carrying out the **BONUS** projects.
- (17) The Union participation in **BONUS** should be up to EUR 50 million for all the duration of **BONUS** and match, within that limit, the contribution of the Participating States in order to increase their interest in carrying out the programme jointly. Most of the Union contribution should be allocated to the implementation phase. A ceiling should be defined for each phase. The ceiling for the implementation phase should be increased by any amount remaining after implementation of the strategic phase.
- (18) The joint implementation of **BONUS** requires a dedicated implementation structure, as provided for in Decision No 971/2006/EC. The Participating States have agreed on such a dedicated implementation structure (Baltic Organisations Network for Funding Science, BONUS EEIG ("BONUS EEIG") to implement **BONUS**. BONUS EEIG should be the recipient of the Union contribution. ***While reminding the Participating States that the principle of real common pot is important, each Participating State will decide, within funding rules and procedures common to the programme, whether to administer its own contribution or whether its contribution will be administered by the BONUS EEIG***. BONUS EEIG should also ensure that the execution of **BONUS** complies with sound financial management.
- (19) The Union contribution should be subject to *formal* commitments ***from the competent national authorities of*** the Participating States and the payment of their financial contributions.
- (20) The payment of the Union contribution for the strategic phase should be subject to the conclusion of a grant agreement between the Commission, on behalf of the Union, and the BONUS EEIG that should be governed by Regulation (EC) No 1906/2006 of the European Parliament and of the Council of 18 December 2006 laying down the rules for the participation of undertakings, research centres and universities in actions under the Seventh Framework Programme and for the dissemination of research results (2007-2013)¹ in order to facilitate and simplify its management.
- (21) The payment of the Union contribution for the implementation phase should be subject to the conclusion of an implementation agreement between the Commission, on behalf of the Union, and the BONUS EEIG, containing the detailed arrangements for the use of the Union contribution. This part of the Union contribution should be managed under

¹ OJ L 391, 30.12.2006, p. 1.

indirect centralised management in accordance with Articles 54(2)(c) and 56 of Council Regulation (EC, Euratom) No 1605/2002 of 25 June 2002 on the Financial Regulation applicable to the general budget of the European Communities¹ ("Financial Regulation"), and Articles 35, 38(2) and 41 of Commission Regulation (EC, Euratom) No 2342/2002 of 23 December 2002 laying down detailed rules for the implementation of the Financial Regulation².

- (22) Any interest yielded by the contributions paid to the BONUS EEIG should be considered to be its revenue and assigned to the implementation of **BONUS**.
- (23) In order to protect its financial interests, the Union should have the right to reduce, withhold or terminate its financial contribution in the event that **BONUS** is implemented inadequately, partially or late, or the Participating States do not contribute, or contribute partially or late, to the financing of **BONUS**, on the terms set out in the agreements to be concluded between the Union and BONUS EEIG.
- (24) In order to efficiently implement **BONUS**, during the implementation phase, financial support should be granted to participants in **BONUS** projects selected at the central level under the responsibility of the BONUS EEIG following calls for proposals. *The grant and payment of such financial support to participants in BONUS should be transparent, unbureaucratic and in accordance with common rules in line with the Seventh Framework Programme. The evaluation of proposals should be performed centrally by independent experts, with good knowledge of the local conditions, on the basis of transparent and common criteria, and funding should be allocated in accordance with a centrally approved ranking list.*
- (25) Whilst the Joint Research Centre is a department of the Commission, its institutes nevertheless possess research capabilities that are relevant to **BONUS** and could contribute to its implementation. It is therefore appropriate to define the role of the Joint Research Centre in terms of its eligibility for funding.
- (26) In order to assure equal treatment, the evaluation should follow the same principles applicable to proposals submitted under the Seventh Framework Programme. Therefore the evaluation of proposals should be performed centrally by independent experts under the responsibility of the BONUS EEIG. Ranking and priority order should be approved by the BONUS EEIG strictly following the outcome of the independent evaluation which should be binding.
- (27) Any Member State and any country associated to the Seventh Framework Programme should be entitled to join **BONUS**.
- (28) In line with the objectives of the Seventh Framework Programme, participation by any other countries in **BONUS**, *in particular those countries bordering the Baltic Sea or providing its drainage basin*, should be possible where such participation is provided by the relevant international agreement and where both the Commission and the

¹ OJ L 248, 16.09.2002, p. 1.

² OJ L 357, 31.12.2002, p. 1.

participating Member States agree to it. In accordance with the Seventh Framework Programme, the Union should have the right to agree on the conditions relating to its financial contribution to **BONUS** with regard to the participation by other countries in accordance with the rules and conditions set out in this Decision.

- (29) Appropriate measures should be taken 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 interests¹, Regulation (EC, Euratom) 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 interest against fraud and other irregularities² and Regulation (EC) No 1073/1999 of the European Parliament and of the Council of 25 May 1999 concerning investigations conducted by the European Anti-Fraud Office (OLAF)³.
- (30) ■ The research activities carried out under **BONUS** should conform to ■ ethical principles, *in accordance with the general principles of the Seventh Framework Programme*, and follow the principles of gender mainstreaming and gender equality, *and sustainable development*.
- (31) *In the light of an interim evaluation conducted by the Commission, assisted by independent experts with a good knowledge of the local conditions*, the Commission should *assess* the quality and efficiency of the implementation of **BONUS** and progress towards the objectives set, as well as *conduct* a final evaluation.
- (32) The *participants in BONUS* should ■ communicate and disseminate their results widely, *in particular to other similar regional marine research projects* and to make this information publicly available.
- (32a) *The successful implementation of the projects already carried out under BONUS ERA-NET and BONUS ERA-NET PLUS brought to light the disastrous condition of the Baltic Sea; the state of the Baltic Sea environment should therefore continue to be subject to further research activities.*

HAVE ADOPTED THIS DECISION:

Article 1

Union contribution

1. The financial contribution of the Union to the Joint Baltic Sea Research and Development Programme **BONUS** ("**BONUS**") undertaken jointly by Denmark,

¹ OJ L 312, 23.12.1995, p. 1.

² OJ L 292, 15.11.1996, p 2.

³ OJ L 136, 31.05.1999, p. 1.

Germany, Estonia, Latvia, Lithuania, Poland, Finland and Sweden ("Participating States"), shall be provided under the conditions set out in this Decision.

2. The Union shall make a financial contribution up to EUR 50 million for all the duration of **BONUS** in accordance with Regulation (EC) No 1906/2006 during the strategic phase and in accordance with Article 54(2)(c) of the Financial Regulation during the implementation phase. Within that ceiling, the Union contribution shall match the contribution of the Participating States.
3. The Union financial contribution shall be paid jointly from the budget appropriations allocated to all the relevant themes of the Specific Programme "Cooperation".

Article 2

Implementation of **BONUS**

1. **BONUS** shall be implemented by Baltic Organisations' Network for Funding Science, BONUS EEIG ("BONUS EEIG")
2. **BONUS** shall be implemented in two phases in accordance with Annex I: a strategic phase followed by an implementation phase.
3. The strategic phase of the Programme shall last up to **18 months**. It shall prepare the implementation phase. During the strategic phase, BONUS EEIG shall carry out the following tasks:
 - (a) preparation of the Strategic Research Agenda defining the part on scientific content of the programme focussing on calls for proposals, in conformity with the objectives set in the Seventh Framework Programme;
 - (b) setting up of the Stakeholder Consultation Platforms with the aim of strengthening and institutionalising the involvement of stakeholders from all relevant sectors;
 - (c) preparation of the implementation modalities including legal and financial rules and procedures, provisions governing the intellectual property rights arising from the **BONUS** activities, human resources and communication aspects.
4. The implementation phase shall last for a minimum of five years. During the implementation phase *the* calls for proposals shall be published with a view to funding projects which address the objectives of the **BONUS**. These calls shall be targeted at multi-partner and trans-national projects, ***encouraging an adequate participation of SMEs***, and include research, technological development, training and dissemination activities. Projects shall be selected according to the principles of equal treatment, transparency, independent evaluation, co-financing, no-profit, financing not cumulated with other Union sources, as well as the principle of non-retroactivity. ***The grant and payment of financing to participants in BONUS shall comply with common rules in line with the Seventh Framework Programme.***

Article 3

Conditions for the Union contribution

1. The Union financial contribution for the strategic phase shall be up to EUR 1.25 million and match, within that limit, the contribution of the Participating States. The commitment of the Union to contribute to the strategic phase shall be conditional upon an equivalent commitment from the Participating States.
2. The Union financial contribution for the implementation phase shall be up to EUR 48.75 million and match, within that limit, the contribution of the Participating States. This ceiling may be increased by any amount remaining after the implementation of the strategic phase. During the implementation phase, up to 25% of the contribution from the Participating States may consist in providing access to research infrastructures ("in kind infrastructure contribution").
3. The Union financial contribution for the implementation phase shall be *conditional upon*:
 - (a) *the establishment by the participating Member States of the Strategic Research Agenda, Stakeholders Consultation Platforms and the implementation modalities referred to in Article 2(3) as well as the progress made towards the achievement of objectives and deliverables set out in Annex I, section 2. The Commission may, if appropriate, make recommendations for improving the Strategic Research Agenda;*
 - (b) demonstration by the BONUS EEIG of its capacity to implement **BONUS** including receiving, allocating and monitoring the Union financial contribution under indirect centralised management in accordance with Articles 54(2)(c) and 56 of the Financial Regulation and Articles 35, 38(2) and 41 of Regulation (EC, Euratom) No 2342/2002 and in accordance with sound financial management;
 - (c) the maintenance and application of an appropriate and efficient governance model for **BONUS** in conformity with Annex II;
 - (d) the efficient carrying out of the activities relating to the implementation phase of **BONUS** set out in Annex I by the BONUS EEIG, which entails the launch of calls for proposals for the award of grants;
 - (e) a commitment by each participating State to contribute its share of the financing to **BONUS** and the *effective* payment of *their financial* contribution, *in particular the funding of participants in the BONUS projects selected following the calls for proposals;*
 - (f) compliance with the State aid rules of the Union, and in particular with the Community Framework for State Aid for Research and Development and

Innovation¹;

- (g) ensuring a high level of scientific excellence, observance of ethical principles in accordance with the general principles of the Seventh Framework Programme, and adherence to the principles of gender mainstreaming and gender equality, and the principle of sustainable development.

Article 4

Participation of the Joint Research Centre

1. The Joint Research Centre shall be eligible for funding by **BONUS** under the same conditions as those for eligible entities of the Participating States.
2. The own resources of the Joint Research Centre, which are not covered by funding from **BONUS**, shall not be considered as part of the Union contribution within the meaning of Article 1.

Article 5

Agreements between the Union and BONUS EEIG

1. The detailed arrangements for the management and control of funds and the protection of the Union's financial interests during the strategic phase shall be laid down in a grant agreement to be concluded between the Commission, on behalf of the Union, and the BONUS EEIG according to the rules set out in this Decision and in Regulation (EC) no 1906/2006.
2. The detailed arrangements for the management and control of funds and the protection of the Union's financial interests during the implementation phase shall be laid down in an implementation agreement and annual financial agreements to be concluded between the Commission, on behalf of the Union, and the BONUS EEIG.

The implementation agreement shall in particular include the following provisions:

- (a) definition of the tasks delegated;
- (b) provision for the protection of Union funds;
- (c) the conditions and detailed arrangements for performing the tasks, including funding rules and upper funding limits applicable to the **BONUS** projects, appropriate provisions for demarcating responsibilities and implementing controls;

¹ OJ C 323, 30.12.2006, p. 1.

- (d) rules on reporting to the Commission on how the tasks are performed;
 - (e) the conditions under which the performance of tasks ceases;
 - (f) detailed arrangements for Commission scrutiny;
 - (g) conditions governing the use of a separate bank account and the treatment of the interest yielded;
 - (h) provisions guaranteeing the visibility of Union action in relation to the other activities of the **BONUS** EEIG;
 - (i) an undertaking to refrain from any act that may give rise to a conflict of interests within the meaning of Article 52(2) of the Financial Regulation;
 - (j) provisions governing the intellectual property rights arising from the implementation of **BONUS** as referred to in Article 2;
 - (k) the criteria to be used in the interim and final evaluations, including those referred to in Article 13.
3. The Commission shall make an ex-ante assessment of the **BONUS** EEIG in order to obtain evidence of the existence and proper operation of the procedures and systems referred to in Article 56 of the Financial Regulation.

Article 6

Interest generated from contributions

The interest generated by the financial contributions allocated to **BONUS** shall be considered as revenue of **BONUS** EEIG and shall be assigned to **BONUS**.

Article 7

Reduction, withholding or termination of the Union financial contribution

If **BONUS** is not implemented or is implemented inadequately, partially or late, the Union may reduce, withhold or terminate its financial contribution taking into account the progress in the implementation of **BONUS**.

If the Participating States do not contribute or contribute only partially or late to the financing of **BONUS**, the Union may reduce its financial contribution taking into account the amount of public funding allocated by the Participating States under the terms of the grant agreement referred to in Article 5(1).

Article 8

Protection of the Union's financial interests by the Participating States

In implementing **BONUS**, the Participating States shall take the legislative, regulatory, administrative or other measures necessary for protecting the Union's financial interest. In particular, the Participating States shall take the necessary measures to ensure full recovery of any amounts due to the Union in accordance with the Financial Regulation and Regulation (EC, Euratom) No 2342/2002.

Article 9

Control by the Commission and the Court of Auditors

The Commission and the Court of Auditors shall be entitled to carry out all the checks and inspections necessary to ensure proper management of the Union funds and to protect the Union's financial interest against any fraud or irregularity. To this end, the Participating States and the BONUS EEIG shall make available all the relevant documents to the Commission and the Court of Auditors.

Article 10

Mutual information

The Commission shall communicate all relevant information to the European Parliament, the Council and the Court of Auditors. The Participating States shall ***be invited to*** submit to the Commission, through the BONUS EEIG, any additional information requested by the European Parliament, the Council and the Court of Auditors concerning the financial management of the BONUS EEIG ***that is consistent with the overall reporting requirements set out in Article 13.***

Article 11

Participation of other Member States and associated countries

Any Member State and any country associated to the Seventh Framework Programme may join **BONUS** in accordance with the criteria set out in Article 3(1) and points (e) and (f) of Article 3(3). Member States and countries that have joined **BONUS** shall be regarded as Participating States for the purposes of this Decision.

Article 12

Participation of other countries

The Participating States and the Commission may agree to the participation of any other country subject to the criteria set out in Article 3(1) and points (e) and (f) of Article 3(3), provided that such participation is provided by the relevant international agreement.

The Participating States and the Commission shall define the conditions under which legal entities established or resident in such country shall be eligible for **BONUS** funding.

Article 13

Annual reporting and evaluation

The Commission shall include a report of the activities of **BONUS** in the annual report on the Seventh Framework Programme presented to the European Parliament and the Council pursuant to Article 190 of the Treaty on the Functioning of European Union.

The Commission shall carry out an interim evaluation of **BONUS** no later than 31 December 2014. This evaluation shall cover progress towards the objectives set out in Article 2 and Annex I, as well as recommendations of **BONUS** on the most appropriate ways to further enhance integration and the quality and efficiency of the implementation, including scientific, management and financial integration and whether the level of the financial contributions of the Participating States is appropriate, given the potential demand from their national research communities. The Commission shall communicate the conclusions thereof, accompanied by its observations, to the European Parliament and the Council.

At the end of Union participation in **BONUS** but no later than by 31 December 2017, the Commission shall conduct a final evaluation of **BONUS**. The Commission shall submit results of that evaluation to the European Parliament and the Council.

Article 14

Entry into force

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

Article 15

Addressees

This Decision is addressed to the Member States.

Done at

For the European Parliament

The President

For the Council

The President

ANNEX I

OBJECTIVES AND IMPLEMENTATION OF **BONUS**

1. OBJECTIVES OF **BONUS**

BONUS shall enhance the Baltic Sea Region's research capacity to underpin the development and implementation of 'fit-for-purpose' regulations, policies and management practices, to respond effectively to the major environmental and key societal challenges the region faces and will face in the coming years and to improve the efficiency and effectiveness of the Baltic Sea Region's fragmented environmental research programming and approach by integrating the research activities in the Baltic Sea System into a durable, cooperative, interdisciplinary well integrated and focussed multi-national programme.

This initiative shall also contribute to the establishment and structuring of the ERA in the Baltic Sea Region.

In order to achieve these objectives it is necessary to improve the efficiency and effectiveness of the Baltic Sea Region's fragmented environmental research programming by integrating research activities into a durable, cooperative, interdisciplinary well-integrated and focussed multi-national programme in support of the region's sustainable development. To this end the **BONUS** initiative shall:

- (a) establish a policy-driven Strategic Research Agenda
- (b) increase sustainable cross-border and cross-sectoral public research programme coordination and integration
- (c) raise the research capacity level of the new EU Baltic States
- (d) establish appropriate Stakeholder Consultation Platforms including representation from all relevant sectors
- (e) mobilise additional financial resources from enhanced cross-sectoral Baltic Sea system research collaboration
- (f) establish appropriate Implementation Modalities enabling an effective implementation of the programme through a joint management legal entity and governance structure
- (g) launch ■ cross-thematic, strategically focussed and multi-partner joint calls for proposals

2. STRATEGIC PHASE

2.1. Objective

The strategic phase shall prepare the implementation phase. It shall deal with the strategic development of the programme to ensure that an optimal integration of Baltic Sea research can be achieved. It shall seek to strengthen the involvement of stakeholders and user groups to ensure that the research is relevant to policy, and management, and that the prioritisation of research themes is driven by policy needs and the full involvement of scientists and their respective research institutions as well as the broad stakeholder communities shall be actively sought.

2.2. Deliverables

The BONUS EEIG shall send to the Commission the deliverables set out in the following paragraphs no later than **15 months** from the start of the strategic phase.

The Commission shall provide advice and assistance upon request of the BONUS EEIG during the preparation of these deliverables. The BONUS EEIG shall report on the progress upon request of the Commission.

2.2.1. The Strategic Research Agenda

The Strategic Research Agenda shall be developed and agreed upon in consultation among Participating States, a broad range of stakeholders and the Commission. It shall be the basis for a policy-driven programme. It shall broaden the research focus to embody, in addition to the marine ecosystem, a basin approach that addresses the key issues affecting the quality and productivity of the Baltic Sea Region ecosystems.

It shall include a description of the baseline and state-of-the-art of the Baltic Sea research, provide a clear strategic vision and roadmap about how to achieve the stated objectives and set-out indicative policy-driven call topics, their budgets, publication timetable and the expected duration of projects. In addition, it shall include measures to address emerging research needs, advance the pan-Baltic integration of research, and include a joint roadmap for the shared use and possible planning for future investments in regional infrastructure capacities.

2.2.2 The Stakeholder Consultation Platforms

On the basis of a comprehensive analysis of the **BONUS** relevant stakeholders in local, national, regional, and European contexts, Stakeholder Consultation Platforms and mechanisms shall be established aiming at strengthening and institutionalising the involvement of stakeholders from all relevant sectors for the identification of critical gaps, the prioritisation of research themes and the enhancement of research output uptake. This shall include participation of scientists, including from other relevant non-marine natural sciences and from social and economic science disciplines, to ensure the required multi-disciplinarity in developing the Strategic Research Agenda, its strategic vision and research priorities.

A Forum of Sector Research (a body of representatives from ministries and other

actors dealing with Baltic Sea System research and governance) shall be established as a permanent body in support of the programme responsible for discussing the programme's planning, outcomes and emerging research needs from the decision-making perspective. This forum shall facilitate and advance the pan-Baltic integration of research, including the joint use and planning of infrastructure capacities, assist in highlighting research needs, advance the utilisation of the research results, and facilitate the integration of research funding.

2.2.3 The Implementation Modalities

The Implementation Modalities shall include all aspects securing the successful implementation of the Strategic Research Agenda. They shall, where appropriate, follow the rules of the Seventh Framework Programme. They shall consist *inter alia* of the following elements:

- (a) adopting measures (drafting documents, establishing procedures, hiring and training staff) required by the Financial Regulation for indirect centralised management;
- (b) obtaining formal commitments of Participating States amounting to at least EUR 48.75 million among which a maximum of 25% in the form of an in-kind infrastructure contribution;
- (c) providing a realistic and evidence-based estimate of the value of the in-kind infrastructure contribution of Participating States consisting in the use of their infrastructure by **BONUS** beneficiaries;
- (d) compiling an exhaustive list of all infrastructures, including contacts to their owners, operators or other responsible authorities, and publish it and update it whenever necessary;
- (e) ensuring that common implementation modalities are agreed upon and in place for the grant agreements with **BONUS** beneficiaries to be concluded centrally by the BONUS EEIG including common and agreed rules for participation, model grant agreement, guidelines for applicants, participants and independent evaluators, and modalities for the audit of beneficiaries, including the possibility for the Commission and the Court of Auditors to carry out such audits;
- (f) developing an appropriate governance structure for the management of the programme in all phases of the project life-cycle;
- (g) ensuring that adequate funding is provided to strengthen the BONUS EEIG in terms of human resources and multidisciplinary expertise to enable it to support the strategic aspects as well as the efficient implementation of the programme;
- (h) developing a financing structure of funding **BONUS projects**;

- (i) developing a communication and dissemination strategy which, as far as possible ensures that the results and data follow the standards of the European Marine Observation and Data Network.

With regard to in-kind infrastructure contributions, a specific approach and rules shall be developed during the strategic phase whereby the Participating States commit themselves to provide to the **BONUS** beneficiaries access to and use of infrastructure (notably research ships) free of charge. Costs for the use of such infrastructure shall not be eligible project costs. In this regard, the BONUS EEIG shall conclude relevant agreements with the Participating States or the infrastructure owners, which shall:

- (a) define the methodology for evaluating in kind infrastructure contributions;
- (b) ensure that the BONUS EEIG, the Commission and the Court of Auditors can audit the access to and use of the infrastructure and costs arising from it;
- (c) stipulate that the contracting parties shall report annually on the costs incurred in providing the access to or use of the infrastructure to the **BONUS** beneficiaries.

2.2.4 Union Funding of the Strategic Phase

Eligible costs shall be reimbursed up to 50% and shall be those actual costs incurred by the BONUS EEIG and recorded in its accounting necessary for the fulfilment of the objective identified in point 1. Costs may be eligible as of January 1st, 2010 and shall be further defined in the Grant Agreement for the strategic phase.

3. IMPLEMENTATION PHASE

Provided that the *conditions as referred to in point (a) of Article 3(3) are in place* and the ex-ante audit of BONUS EEIG is positive, the Commission and the BONUS EEIG shall conclude the Implementation Agreement.

3.1. Objectives

During the implementation phase ■ joint calls for proposals shall be published and implemented in view of funding strategically targeted **BONUS** projects addressing the objectives of the initiative. The topics shall originate from the **BONUS** Strategic Research Agenda, respect as much as possible the established roadmap and cover research, technological development, and training and/or dissemination activities.

3.2. Implementation of **BONUS** projects

BONUS calls shall be implemented via multi-partner trans-national projects involving at least three independent eligible legal entities from three different Member States or associated countries, of which at least two shall be from the

BONUS Participating States.

Legal entities from Member States and associated countries may receive **BONUS** funding. Any consortium submitting a proposal for a **BONUS** project may include participants from a non-Member State provided that it can realistically ensure that it disposes of the resources needed to fully cover the costs for its participation. ■

Each call for proposals shall clearly indicate the scientific topics. These topics shall be identified by the BONUS EEIG in consultation with the Commission. When identifying the topics, they shall take account of emerging needs, the results and outcomes of the previously implemented calls and of the wide stakeholder consultations undertaken during the strategic phase and throughout the programme.

The BONUS EEIG shall publish the call for proposals as widely as possible using specific information support, particularly Internet sites on the Seventh Framework Programme and addressing all relevant stakeholders, the specialised press and brochures. The call shall remain open for at least three months. Proposed projects shall be submitted centrally to the BONUS EEIG by the applicants in response to the calls and in a single-stage evaluation procedure.

Proposed projects shall be evaluated and selected centrally on the basis of independent review against defined eligibility and selection and award criteria. The core evaluation criteria are scientific excellence, the quality of implementation and the impact to be expected from the project. The call for proposals shall concretise the core evaluation criteria. Additional criteria may be introduced on condition that they are published in the call for proposals, are non-discriminatory and do not prevail over the core evaluation criteria.

The BONUS EEIG shall ensure that each proposal received is evaluated with the assistance of at least three independent experts appointed by it on the basis of the criteria set out in Regulation (EC) No 1906/2006. A rating shall be given for each project proposal. The independent experts shall examine the projects against the evaluation criteria and score these on a scale from 0 to 5 per criterion according to the rules for submission of proposals, and the related evaluation, selection and award procedures of the Seventh Framework Programme.

The BONUS EEIG shall establish a funding list strictly in accordance with the results of the independent evaluation. The ranking list established by the independent experts shall be considered binding for the allocation of **BONUS** funds.

The administrative management of the grants awarded to the selected **BONUS** projects shall be handled centrally under the responsibility of the BONUS EEIG.

3.3 Further Activities

Besides the management of the **BONUS** set out in points 3.1 and 3.2., the BONUS EEIG shall also engage in the following activities:

- (a) regular updating of the Strategic Research Agenda and prioritisation of research themes to take account of emerging needs and results and outcome of the previously implemented calls and on the basis of the wide stakeholder consultation procedures referred to in point 2.2.2;
- (b) facilitating access for trans-national and multidisciplinary research teams from **BONUS** funded projects to unique research infrastructures and facilities;
- (c) promoting an effective science-policy interface to ensure an optimal uptake of research results;
- (d) securing funding by the Participating States that would ensure sustainability of the initiative without Union funding in the post **BONUS** period;
- (e) increased collaboration between the regional environmental research programmes with the relevant science communities in the other European sea basins;
- (f) communication and dissemination activities.
- (g) **BONUS** EEIG shall proactively engage in the sharing of best practice to the other European regional sea basins, as well as good articulation to the pan-European level to secure harmonisation and streamlining.

3.4. Contributions during the Implementation Phase

The implementation phase of **BONUS** is co-funded by the Participating States and the Union over a minimum five-year period until the full life-cycle of all **BONUS** funded projects is closed, provided that commitments from Union are done up to 2013 and all obligations to report to the Commission are fulfilled. The Union contribution during the implementation phase shall match the cash, in-kind infrastructure contributions of the Participating States to **BONUS** projects made through the **BONUS** EEIG as well as the running costs incurred by the **BONUS** EEIG in the implementation phase. These running costs cannot exceed EUR 5 million.

The **BONUS EEIG shall be the recipient and administrator of the Union contribution. A Participating State may decide to administer its own national funding and to devote its cash contribution exclusively to domestic research that is selected at central level or to have its cash contribution administered centrally by the **BONUS** EEIG.**

Subject to the conditions agreed in the annual financial agreements referred to in Article 5(2) the Union financial contribution shall be disbursed on the basis of evidence of payment of the cash contribution of the Participating States to the **BONUS beneficiaries or** EEIG and of provision of in-kind infrastructure contributions for **BONUS** projects.

The proper use of **BONUS** funding by the beneficiaries is the responsibility of the

BONUS EEIG, and shall be established by the independent financial auditing of projects to be carried out by the BONUS EEIG, or on its behalf.

3.5 Funding of **BONUS** Projects

Subject to point (f) of Article 3(3), funding of **BONUS** projects shall cover up to 100 % of the eligible costs to be calculated according to common funding rules and common funding rates, as established by the BONUS EEIG in the Implementation Modalities and agreed by the Commission in the Implementation Agreement.

ANNEX II

GOVERNANCE OF **BONUS**

1. The **BONUS** shall be managed by BONUS EEIG through its Secretariat. BONUS EEIG *has established* the following structures for the purposes of **BONUS**: Steering Committee, Secretariat, Advisory Board, Forum of Sector Research, and the Forum of Project Coordinators.
2. The Steering Committee shall be the highest authority of the BONUS EEIG, forming its decision-making body and board governing its secretariat. The Steering Committee shall be composed of senior officers of the research funding and management institutions appointed by the members of the BONUS EEIG. It shall be presided by the Chairperson, a position that shall be rotated annually between the BONUS EEIG members. The previous, current and future chairpersons shall form the **Executive Committee** that supports the Secretariat concerning matters of strategic importance. **Taking account** of proposals by the Secretariat the Steering Committee shall decide on the strategic orientation of the **BONUS**, including the decisions on defining and updating the **BONUS**, on the planning of call for proposals, on the budget profile, on the eligibility and selection criteria, on the pool of evaluators, on the approval of the ranking list of the **BONUS** projects to be funded, on the monitoring of progress of the funded **BONUS** projects and on the supervision of the adequate and orderly work of the Secretariat concerning the **BONUS**.
3. The Secretariat shall be headed by the Executive Director who shall implement the decisions of the Steering Committee and shall act as the principal representative of the **BONUS** to both the Commission and the various national funding agencies. The Secretariat shall be responsible for the overall coordination and monitoring of activities of **BONUS**, the publication, evaluation and implementation of the calls and the monitoring of the funded projects, both from the contractual as well as scientific point of view and for reporting on progress to the Steering Committee. It shall also be responsible for the planning and organisation of consultations with the stakeholders and the Advisory Board and their subsequent integration and streamlining into the Strategic Research Agenda and the promotion of effective science-policy interfaces.
4. The Advisory Board shall assist the Steering Committee and Secretariat. It shall be composed of scientists of high international reputation, representatives of relevant stakeholders, including for example, tourism, renewable energies, fisheries and aquaculture, maritime transport, biotechnology and technology providers and including both industry and civil society organisations with an interest in these sectors, other integrated Baltic research programmes and other European regional seas. It shall provide independent advice, guidance and recommendations, regarding scientific and policy related issues of the **BONUS**. That includes advice on the objectives, priorities and direction of the **BONUS**, ways of strengthening the performance of the **BONUS** and delivery and the quality of its research outputs, capacity building, networking, and the relevance of the work to achieve the objectives of the **BONUS**. It shall also assist in the use and dissemination of the results of the **BONUS**.

5. The Forum of Sector Research shall be composed of representatives from ministries and other actors dealing with Baltic Sea System research and governance. It shall convene once a year as a consultation meeting that discusses the outcomes of **BONUS** and emerging research needs from the decision-making perspective. It shall serve as the forum for advancing the pan-Baltic integration of research including relevant sectorally-funded research and the use and planning of joint infrastructures.
6. The Forum of Project Coordinators shall be composed of co-ordinators of projects funded through the **BONUS**. It shall assist the Secretariat in matters dealing with the scientific coordination of **BONUS** and the integration and synthesis of the research results.

EXPLANATORY STATEMENT

Already for some years, the Baltic Sea has become the "inland sea" of European Union, thus requiring a common action on Community level to tackle these common European challenges and to support Baltic Sea regions sustainable development. While many research activities are taking place in the Baltic Sea Region, for a large part these activities remain uncoordinated, fragmented and too dependent on the limited research possibilities available at national, regional or local level. Thus, there is a definite need of a jointly agreed regional action plan.

Although the Baltic Sea is one of the most scientifically investigated sea areas in the world and the Baltic Sea environmental research community has access to a number of programmes under the EU RTD Framework Programme, there is clearly a lack of trans-boundary research consultation, planning, coordination and concerted action and currently no jointly implemented scheme exists, that would be specifically tailored to address the environmental challenges of the Baltic Sea region itself.

In order to achieve a durable coordination and cooperation among the Baltic Sea Member States' scientific communities, 8 EU Baltic Sea Member States (Denmark, Estonia, Finland, Germany, Latvia, Lithuania, Poland, Sweden, from now on the "Participating States") have initiated a Joint Baltic Sea Research Programme (BONUS), with participation of the Community, based on Article 185 of the Treaty on the Functioning of the European Union (former Article 169 of the EC Treaty). BONUS will integrate the national research programmes and activities of the Participating States into a single joint research programme, in particular supporting the research and environmental objectives of the Baltic Sea Strategy, the Marine and Maritime Strategy and the Water Framework Directive.

One of the main purposes of this initiative is to help the establishment and structuring of ERA in the Baltic Sea Region. BONUS will follow-up previous programs BONUS ERA-NET (2004-2006) and ERA-NET PLUS (2007-2011), increasing the level of integration and removing barriers between nationally funded research systems of Participating States. BONUS is expected to make a significant contribution to the implementation of the above-mentioned Baltic Sea strategies and policies.

The objectives of BONUS are coherent with the overarching aim of Seventh Framework Programme (FP7) Specific Programme "Cooperation" - namely to contribute to sustainable development - as well as with specific aims of environmental research, *inter alia* prevention of environmental risks, management of marine environments, conservation and sustainable management of natural and man-made resources and biodiversity.

The Participating States have agreed that the dedicated implementation structure of BONUS will be a European Economic Interest Grouping, namely Baltic Organisations Network for Funding Science (BONUS EEIG), established in Helsinki, Finland.

The rapporteur welcomes the Commission proposal to make a financial contribution of up to € 50 million for the duration of whole BONUS Programme (7 years). The rapporteur underlines, that the implementation of BONUS should be as simple, quick and efficient as possible, avoiding unnecessary burdens and red tape.

The rapporteur stresses the importance of involvement of researchers from the Russian Federation. A large part of the Baltic Sea basin lies within boundaries of Russian Federation, thus having a significant direct influence on the ecosystem of the sea. Researchers from

Russian Federation have been already actively involved in previous ERA-NET Baltic Sea projects and this cooperation should be encouraged, bearing in mind that cooperation in the field of environment and research is one of the cornerstones of EU-Russia partnership agreement.

The Commission proposal for the participation by the Community in BONUS is also in accordance with the wish of Parliament to improve the coordination of research activities between Member States and on Community level within the scope of FP7 and to avoid fragmentation and overlapping competencies. BONUS deserves special attention, as it can be a valuable forward-looking model for other forms of future regional research cooperation with common European value, such as those in the regions of the Danube, the Mediterranean Sea, the North Sea etc.

The rapporteur fully agrees with the Commission, that the BONUS program and its administrative architecture should be fully in line with principles of the Seventh Framework Program. The rapporteur also notes, that, *inter alia*, the Seventh Framework Program encourages funding schemes with more flexibility and freedom, to support the different actions, and that stronger management autonomy should be granted to participants¹ and emphasises, that it will be necessary to be able to adjust the scale and form of financial participation on a case-by-case basis². Accordingly, a tailored solution to the present problems within the framework of FP7 is needed and several ways to manage collaborative research projects are possible. In the view of the rapporteur, two aspects of the structure of BONUS - namely the two phase system and use of common pot - need a flexible and specifically designed approach

Strategic / implementation phase

According to the Commission proposal, BONUS should be implemented in two distinct phases ("two phase structure"): an initial strategic phase, lasting two years, during which appropriate consultation platforms for active stakeholder involvement will be set-up, a Strategic Research Agenda prepared, and precise Implementation Modalities will be further broadened; followed by an implementation phase of a minimum of five years, during which a minimum of three joint calls will be launched in view of funding strategically targeted BONUS Projects specifically addressing the objectives of the initiative.

The rapporteur stresses, that the importance of the strategic phase should in any case not be underestimated, because it helps to create the most suitable and tailored architecture of the project and delivers valuable input to the implementation phase. However, it is vital that the implementation of the two phase structure should not create an abrupt interruption of the programme between the first and second stage since this would have negative impact on substantial research.

The use of the two phase structure is a novelty, because it has never been used in Article 169 (new Article 185) programs. The rapporteur accepts in line with the Commission and the Participating States this new tailored approach. The rapporteur also appreciates the success of previous BONUS ERA-NET and ERA-NET PLUS programs, with its remarkable results and excellent evaluation and notes, that it provides a good basis to assume, that the strategic phase

¹ Decision No 1982/2006/EC of the European Parliament and of the Council of 18 December 2006 concerning the Seventh Framework Programme of the European Community for research, technological development and demonstration activities (2007-2013) (OJ L 412, 30.12.2006, p. 1), recital 24

² *Ibid.*, Annex III

can be concluded in less than two years time. This is a vital point, since the two years duration of the strategic phase might not be exactly compatible with the current programme. All ongoing BONUS projects are due to end in 2011, thus creating a gap between the end of current ERA-NET PLUS and the start of implementation of the new BONUS. This may have a very negative impact to the functioning and potential of the research groups (currently 16 groups with more than 400 researchers).

As a result, the rapporteur proposes a streamlined transfer from strategic to implementation phase, with assessment of the quality of strategic phase and possible suggestions for improvements. Secondly, the rapporteur suggest a shorter timeframe for the strategic phase, in order to allow the start of implementation phase from the beginning of 2012 and to reduce the risk of shrinkage of scientific capacity due to its late initiation.

Real / virtual common pot

In the Commission's proposal all participating states are obliged to contribute to a real common pot, out of which the research activities will be funded. In the Commission's view, the use of a real common pot is the one and only way to operate collaborative projects and to ensure true financial integration with European 'added value'.

While a common pot, from a Community point of view, is indeed preferable, there might be certain legal and constitutional problems in some Participating States to transfer research funds abroad.

As a possible solution, the rapporteur suggests that the Community financial contribution and the cash contribution of the Participating States to BONUS shall, as a general rule, be pooled and administered centrally by the BONUS EEIG. However, if because of legal or constitutional requirements a Participating State cannot transfer its cash contribution to the common pot, a cash contribution from this Participating State only to domestic research should be a possible solution. The existing experience, as well as independent observations of Joint Baltic Sea Research programs (currently with 32% EU contribution) give good reason to believe that simultaneous use of real and virtual common pot would not endanger the overarching principle of scientific excellence.

17.3.2010

OPINION OF THE COMMITTEE ON THE ENVIRONMENT, PUBLIC HEALTH AND FOOD SAFETY

for the Committee on Industry, Research and Energy

on the proposal for a decision of the European Parliament and of the Council on participation by the Community in a Joint Baltic Sea Research and Development Programme (BONUS-169) undertaken by several Member States
(COM(2009)0610 – C7-0263/2009 – 2009/0169(COD))

Rapporteur: Anna Rosbach

SHORT JUSTIFICATION

1. The Bonus 169 Programme aims at enhancing the marine research capacity of EU Member States, the European Union and participating countries with regards to the Baltic Sea

It is important that we improve our understanding of why the Baltic Sea is so polluted. It can of course be an advantage to join forces when it comes to new studies, but the rapporteur would also like to draw the attention to the large body of knowledge which already exists as a result of research having been carried out by the individual Member States over the years. This programme should i. a. aim at bringing together the results of this research to avoid unnecessary duplication or overlapping of already existing research, as well as locating new areas suitable for common research within the framework of the BONUS-programme.

In order to broaden this knowledge base, the involvement of Russia under one form or another would be prudent as they are a major contributor to the pollution of the Baltic Sea.

2. It would be relevant for policy makers to have access to scientifically based estimates of both the current and the potential economical, ecological and social losses incurred due to the damages of the ecosystem and the loss of biodiversity in the Baltic Sea.

Professional fishermen are one of the first groups directly concerned by this, but far from

the only one. It is important to keep a broad scope with regards to the consequences of changes in the Baltic Sea

3. When it comes to involving different sectors, apart from those which are explicitly mentioned in the text it is important to have a broad scope. Other relevant sectors include, without being limited to, the maritime transport sector, agriculture, industry, and port authorities.
4. Special consideration has to be given to the aspect of ballast water from ships containing invasive species which can threaten the natural ecological balance of the Baltic Sea. When it comes to ships the prevention of oil spills are also an area that needs a high level of focus.
5. Projects like the North Stream-pipe line in the Baltic Sea also raise questions about the potential short- and long term impact of the building of pipelines in all, or parts, of the Baltic Sea. It underlines the importance of ensuring that impact studies are not only done and commissioned by the interested parties, but are also supplemented by independent research.

AMENDMENTS

The Committee on the Environment, Public Health and Food Safety calls on the Committee on Industry, Research and Energy, as the committee responsible, to incorporate the following amendments in its report:

Amendment 1

Proposal for a decision Title

Text proposed by the Commission

DECISION OF THE EUROPEAN
PARLIAMENT AND OF THE COUNCIL
on participation by the Community in a
Joint Baltic Sea Research and
Development programme (**BONUS-169**)
undertaken by several Member States

Amendment

DECISION OF THE EUROPEAN
PARLIAMENT AND OF THE COUNCIL
on participation by the Community in a
Joint Baltic Sea Research and
Development programme (**BONUS**)
undertaken by several Member States

*(The modification will apply throughout
the text.)*

Amendment 2

Proposal for a decision
Recital 5

Text proposed by the Commission

(5) Science **can** contribute to addressing these challenges and finding solutions to the environmental problems in the Baltic Sea. However, the gravity of the present situation calls for a qualitative and quantitative stepping up of current research in the Baltic region through the development and implementation of a fully-integrated approach whereby the relevant research programmes of all the bordering States can be streamlined and focused in order to address the complex and urgent issues in a coordinated, efficient and effective manner.

Amendment

(5) Science **must** contribute to addressing these challenges and finding solutions to the **urgent** environmental problems in the Baltic Sea. However, the gravity of the present situation calls for a qualitative and quantitative stepping up of current research in the Baltic region through the development and implementation of a fully-integrated approach whereby the relevant research programmes of all the bordering States can be streamlined and focused in order to address the complex and urgent issues in a coordinated, efficient and effective manner.

Amendment 3

Proposal for a decision
Recital 9 a (new)

Text proposed by the Commission

Amendment

(9 a) By and large, BONUS ERA-NET and ERA-NET PLUS have worked well and it is thus important to ensure the continuity of the research efforts in order to address the pressing environmental challenges.

Amendment 4

Proposal for a decision
Recital 12

Text proposed by the Commission

Amendment

(12) While largely focused on environmental research, the **BONUS-169** initiative cross-cuts a number of related Community research programmes on a range of human activities having

(12) While largely focused on environmental research, the **BONUS** initiative cross-cuts a number of related Community research programmes on a range of human activities having

accumulated impacts on the ecosystem such as fisheries, aquaculture, agriculture, infrastructure, transport, training and mobility of researchers as well as socioeconomic issues. The initiative is of considerable relevance to a number of Community policies and Directives including Directive 2008/56/EC of the European Parliament and of the Council of 17 June 2008 establishing a framework for Community action in the field of marine environmental policy (Marine Strategy Framework Directive), the EU Strategy for the Baltic Sea Region, the Common Fisheries Policy, the Common Agricultural Policy, Directive 2000/60/EC of the European Parliament and of the Council of 23 October 2000 establishing a framework for Community action in the field of water policy and international EU commitments such as the HELCOM Baltic Sea Action Plan. As a result, many other areas of Community Policy will benefit from **BONUS-169**.

accumulated impacts on the ecosystem such as fisheries, aquaculture, agriculture, infrastructure (***particularly in the field of energy***), transport, training and mobility of researchers as well as socioeconomic issues. The initiative is of considerable relevance to a number of Community policies and Directives including Directive 2008/56/EC of the European Parliament and of the Council of 17 June 2008 establishing a framework for Community action in the field of marine environmental policy (Marine Strategy Framework Directive), the EU Strategy for the Baltic Sea Region, the Common Fisheries Policy, the Common Agricultural Policy, Directive 2000/60/EC of the European Parliament and of the Council of 23 October 2000 establishing a framework for Community action in the field of water policy and international EU commitments such as the HELCOM Baltic Sea Action Plan. As a result, many other areas of Community Policy will benefit from **BONUS**.

Justification

More attention should be paid to planned energy-infrastructure projects, as these may have perhaps the greatest influence on the Baltic Sea environment in future.

Amendment 5

Proposal for a decision Recital 15

Text proposed by the Commission

(15) At the end of the strategic phase, the Commission, assisted by independent ***expert*** should ***evaluate the maturity*** and ***the*** readiness of the ***initiative to enter*** the implementation phase.

Amendment

(15) At the end of the strategic phase, the Commission, assisted by independent ***experts***, should ***verify and assess the quality*** and readiness of the ***strategic phase*** and, ***if appropriate, suggest improvements***. The ***transition to the*** implementation phase ***should be seamless and without unnecessary delays***.

Amendment 6

Proposal for a decision Recital 24

Text proposed by the Commission

(24) In order to efficiently implement **BONUS-169**, during the implementation phase, financial support should be granted to participants in **BONUS-169** projects selected at the central level under the responsibility of the BONUS EEIG following calls for proposals.

Amendment

(24) In order to efficiently implement **BONUS**, during the implementation phase, financial support should be granted to participants in **BONUS** projects selected at the central level under the responsibility of the BONUS EEIG following calls for proposals. ***The grant and payment of such financial support to participants in BONUS should be transparent, unbureaucratic and in accordance with common rules in line with the Seventh Framework Programme.***

Amendment 7

Proposal for a decision Recital 30

Text proposed by the Commission

(30) It is essential that the research activities carried out under **BONUS-169** conform to ***basic*** ethical principles, ***including those reflected in Article 6 of the Treaty on the European Union and in the Charter of Fundamental Rights of the European Union***, and follow the principles of gender mainstreaming ***and*** gender equality.

Amendment

(30) It is essential that the research activities carried out under **BONUS** conform to ethical principles ***in accordance with the general principles laid down in the Seventh Framework Programme***, and follow the principles of gender mainstreaming, gender equality ***and sustainable development***.

Amendment 8

Proposal for a decision Recital 32

Text proposed by the Commission

(32) The BONUS EEIG should ***encourage*** the participants in the selected **BONUS-**

Amendment

(32) The BONUS EEIG should ***oblige*** the participants in the selected **BONUS**

169 projects to communicate and disseminate their results widely and to make this information publicly available.

projects to communicate and disseminate their results widely and to make this information publicly available.

Justification

The results of research having been carried out have to be shared as much as possible.

Amendment 9

Proposal for a decision
Recital 32 a (new)

Text proposed by the Commission

Amendment

(32a) The successful implementation of the projects already carried out under the BONUS programme brought to light the disastrous condition of the Baltic Sea, particularly in those places where extensive energy-infrastructure projects are planned; the state of the Baltic Sea environment should therefore continue to be monitored actively.

Justification

This underlines the importance of successful implementation of projects under the BONUS programme.

Amendment 10

Proposal for a decision
Recital 32 b (new)

Text proposed by the Commission

Amendment

(32b) Flawed practices revealed during the implementation of projects under the BONUS programme should be discontinued, and projects submitted by the research centres of certain Member States should not be unduly favoured when the list of projects to be financed is established, as this would discriminate against other Member States in the Baltic

Sea region.

Justification

When the projects to be financed are selected, practice shows that projects submitted by the research centres of certain Member States are unduly favoured while other Member States' research centres are ignored. Such discrimination should be avoided when the ranking list is established.

Amendment 11

Proposal for a decision

Article - 1 (new)

Text proposed by the Commission

Amendment

Article -1

Subject matter

The aim of this Decision is to support the environmentally sustainable development of the Baltic Sea region by facilitating the coordination of regional research efforts with the common goal of implementing an ecosystem-based management of the region.

Amendment 12

Proposal for a decision

Article 2 - paragraph 3 - point a

Text proposed by the Commission

Amendment

(a) preparation of the Strategic Research agenda – defining the part on scientific content of the programme focusing on calls for proposals, in conformity with the objectives set in the Seventh Framework Programme;

(a) preparation of the Strategic Research agenda – defining the part on scientific content of the programme focusing on calls for proposals, in conformity with ***the common goal of sustainable ecosystem-based management in the Baltic Sea region and with*** the objectives set in the Seventh Framework Programme;

Amendment 13

Proposal for a decision
Article 2 - paragraph 4

Text proposed by the Commission

4. The implementation phase shall last for a minimum of five years. During the implementation phase ***at least three*** calls for proposals shall be published with a view to funding projects which address the objectives of the ***BONUS-169***. These calls shall be targeted at multi-partner and trans-national projects, and include research, technological development, training and dissemination activities. Projects shall be selected according to the principles of equal treatment, transparency, independent evaluation, co-financing, no-profit, financing not cumulated with other Community sources, as well as the principle of non-retroactivity.

Amendment

4. The implementation phase shall last for a minimum of five years. During the implementation phase ***the*** calls for proposals shall be published with a view to funding projects which address the objectives of the ***BONUS***. These calls shall be targeted at multi-partner and trans-national projects, and include research, technological development, training and dissemination activities. Projects shall be selected according to the principles of equal treatment, transparency, independent evaluation, co-financing, no-profit, financing not cumulated with other Community sources, as well as the principle of non-retroactivity. ***The grant and payment of financing to participants in BONUS shall comply with common rules in line with the Seventh Framework Programme.***

Amendment 14

Proposal for a decision
Article 3 - paragraph 3 - introductory part

Text proposed by the Commission

3. The ***Community financial contribution for the implementation*** phase ***shall be provided under*** the following ***conditions***:

Amendment

3. The ***Commission shall before the end of the strategic*** phase assess the following:

Amendment 15

Proposal for a decision
Article 3 - paragraph 3 - point a

Text proposed by the Commission

(a) ***a positive evaluation*** of the strategic phase ***carried out by the Commission with***

Amendment

(a) ***the outcomes*** of the strategic phase ***described in Article 2(3), as well as the***

the assistance of independent experts; this evaluation shall cover the progress made towards the achievement of objectives and deliverables set out in **Article 2(3) and Annex I**;

progress made towards the achievement of objectives and deliverables set out in Annex I, **section 2**;

Amendment 16

Proposal for a decision Article 3 - paragraph 3 - point b

Text proposed by the Commission

(b) demonstration by the BONUS EEIG of its capacity to implement **BONUS-169** including receiving, allocating and monitoring the Community financial contribution under indirect centralised management in accordance with Articles 54(2)(c) and 56 of the Regulation (EC, Euratom) No 1605/2002 (hereinafter ‘Financial Regulation’) and Articles 35, 38(2) and 41 of Regulation (EC, Euratom) No 2342/2002 and in accordance with sound financial management.

Amendment

(b) demonstration by the BONUS EEIG of its capacity to implement **BONUS** ,including *achieving the objectives of the Baltic Sea region’s environmentally sustainable development*, receiving, allocating and monitoring the Community financial contribution under indirect centralised management in accordance with Articles 54(2)(c) and 56 of the Regulation (EC, Euratom) No 1605/2002 (hereinafter ‘Financial Regulation’) and Articles 35, 38(2) and 41 of Regulation (EC, Euratom) No 2342/2002 and in accordance with sound financial management.

Amendment 17

Proposal for a decision Article 3 - paragraph 3 - point e

Text proposed by the Commission

(e) a commitment by each participating State to contribute its share of the financing to **BONUS-169 and the payment of cash** and the effective *provision of in kind infrastructure contribution when this is requested; these commitments shall be included in a financing plan agreed by the competent national authorities in order to contribute to the joint execution of the*

Amendment

(e) a commitment by each participating State to contribute its share of the financing to **BONUS** and the effective *payment of their financial contribution, in particular the funding of participants in the BONUS projects selected following the calls for proposals*;

BONUS-169 implementation phase;

Amendment 18

Proposal for a decision

Annex I - section 1 - point g

Text proposed by the Commission

(g) launch ***at least three*** cross-thematic, strategically focused and multi-partner joint calls for proposals

Amendment

(g) launch cross-thematic, strategically focused and multi-partner joint calls for proposals

Amendment 19

Proposal for a decision

Annex I - section 1 - point g a (new)

Text proposed by the Commission

Amendment

(ga) actively invite all third countries bordering the Baltic Sea or providing its drainage basin to join the initiative as a Participating State

Justification

Adding countries that are included drainage basin for the Baltic Sea to Draftspersons amendment 2.

Amendment 20

Proposal for a decision

Annex I - section 2.2.1 - subparagraph 1

Text proposed by the Commission

The Strategic Research Agenda shall be developed and agreed upon in consultation among Participating States, a broad range of stakeholders and the Commission. It shall be the basis for a policy-driven programme. It shall broaden the research focus to embody, in addition to the marine ecosystem, a basin approach that addresses

Amendment

The Strategic Research Agenda shall be developed and agreed upon in consultation among Participating States, a broad range of stakeholders and the Commission. It shall be the basis for a policy-driven programme. It shall broaden the research focus to embody, in addition to the marine ecosystem, a basin approach that addresses

the key issues affecting the quality and productivity of the Baltic Sea Region ecosystems.

the key issues affecting the quality and productivity of the Baltic Sea Region ecosystems. ***It shall include an estimate of the economic cost of environmental damage and the loss of biodiversity in the region.***

Justification

Adding economic assessment of environmental damage in general (e.g. eutrophication) in addition to the biodiversity loss to Draftspersons amendment 3.

Amendment 21

Proposal for a decision

Annex I - section 2.2.3 - point h

Text proposed by the Commission

(h) developing a financing structure of funding ***BONUS-169 project based on a pool of funds consisting of cash contributions of the Participating States and of the Community;***

Amendment

(h) developing a financing structure of funding ***BONUS projects;***

Amendment 22

Proposal for a decision

Annex I - section 2.2.3 - point i a (new)

Text proposed by the Commission

Amendment

ia) ensuring that the research results are shared with other similar regional marine research projects.

Justification

This addition is meant to avoid as much as possible overlapping and duplication of research efforts.

Amendment 23

Proposal for a decision
Annex I - section 3

Text proposed by the Commission

3. Provided that the **results of the evaluation** and the ex-ante audit of BONUS EEIG **are** positive, the Commission and the BONUS EEIG shall conclude the Implementation Agreement.

Amendment

3. Provided that the **conditions as referred to in Article 3(3)(a) are in place** and the ex-ante audit of **the** BONUS EEIG **is** positive, the Commission and the BONUS EEIG shall conclude the Implementation Agreement.

Amendment 24

Proposal for a decision
Annex I - section 3.1

Text proposed by the Commission

During the implementation phase, **at least three** joint calls for proposals shall be published and implemented in view of funding strategically targeted **BONUS-169** projects addressing the objectives of the initiative. The topics shall originate from the **BONUS-169** Strategic Research Agenda, respect as much as possible the established roadmap and cover research, technological development, and training and/or dissemination activities.

Amendment

During the implementation phase, joint calls for proposals shall be published and implemented in view of funding strategically targeted **BONUS** projects addressing the objectives of the initiative. The topics shall originate from the **BONUS** Strategic Research Agenda, respect as much as possible the established roadmap and cover research, technological development, and training and/or dissemination activities.

Amendment 25

Proposal for a decision
Annex I - section 3.4 - subparagraph 2

Text proposed by the Commission

The Community financial contribution and the cash contribution of the Participating States to **BONUS-169** shall be pooled and administered centrally by the BONUS EEIG.

Amendment

The Community financial contribution and the cash contribution of the Participating States to **BONUS** shall be pooled and administered centrally by the BONUS EEIG, **with the possibility for Participating States to devote their cash contributions exclusively to domestic**

research projects ('virtual common pot').

Justification

'Virtual common pot' possibility is necessary for Participating States which have limitation to transfer money to common pot, or for Participating States which lack behind in research capacity, and a possibility to devote cash contribution exclusively for domestic research would help to reduce existing gap.

Amendment 26

Proposal for a decision
Annex II - section 1

Text proposed by the Commission

1. The **BONUS-169** shall be managed by BONUS EEIG through its Secretariat. BONUS EEIG ***shall establish*** the following structures for the purposes of **BONUS-169**: Steering Committee, Secretariat, Advisory Board, Forum of Sector Research, and the Forum of Project Coordinators.

Amendment

1. The **BONUS** shall be managed by BONUS EEIG through its Secretariat. BONUS EEIG ***has established*** the following structures for the purposes of **BONUS**: Steering Committee, Secretariat, Advisory Board, Forum of Sector Research, and the Forum of Project Coordinators.

PROCEDURE

Title	Joint Baltic Sea Research and Development Programme (BONUS-169)						
References	COM(2009)0610 – C7-0263/2009 – 2009/0169(COD)						
Committee responsible	ITRE						
Opinion by Date announced in plenary	ENVI 12.11.2009						
Rapporteur Date appointed	Anna Rosbach 25.1.2010						
Discussed in committee	23.2.2010						
Date adopted	16.3.2010						
Result of final vote	<table> <tr> <td>+: </td><td>54</td></tr> <tr> <td>–: </td><td>0</td></tr> <tr> <td>0: </td><td>1</td></tr> </table>	+:	54	–:	0	0:	1
+:	54						
–:	0						
0:	1						
Members present for the final vote	Elena Oana Antonescu, Kriton Arsenis, Pilar Ayuso, Paolo Bartolozzi, Sergio Berlato, Milan Cabrnach, Martin Callanan, Nessa Childers, Chris Davies, Esther de Lange, Anne Delvaux, Bas Eickhout, Edite Estrela, Jill Evans, Elisabetta Gardini, Gerben-Jan Gerbrandy, Julie Girling, Nick Griffin, Satu Hassi, Jolanta Emilia Hibner, Dan Jørgensen, Karin Kadenbach, Christa Klač, Jo Leinen, Corinne Lepage, Peter Liese, Kartika Tamara Liotard, Linda McAvan, Radvilė Morkūnaitė-Mikulėnienė, Miroslav Ouzký, Vladko Todorov Panayotov, Antonyia Parvanova, Andres Perello Rodriguez, Pavel Poc, Vittorio Prodi, Frédérique Ries, Anna Rosbach, Daciana Octavia Sărbu, Horst Schnellhardt, Richard Seeber, Theodoros Skylakakis, Bogusław Sonik, Anja Weisgerber, Åsa Westlund, Glenis Willmott, Sabine Wils, Marina Yannakoudakis						
Substitute(s) present for the final vote	Christofer Fjellner, Matthias Groote, Judith A. Merkies, Alojz Peterle, Michail Tremopoulos, Anna Záborská						
Substitute(s) under Rule 187(2) present for the final vote	Dieter-Lebrecht Koch, Markus Pieper						

PROCEDURE

Title	Joint Baltic Sea Research and Development Programme (BONUS-169)		
References	COM(2009)0610 – C7-0263/2009 – 2009/0169(COD)		
Date submitted to Parliament	29.10.2009		
Committee responsible Date announced in plenary	ITRE 12.11.2009		
Committee(s) asked for opinion(s) Date announced in plenary	ENVI 12.11.2009		
Rapporteur(s) Date appointed	Lena Ek 15.12.2009		
Discussed in committee	27.1.2010	23.2.2010	7.4.2010
Date adopted	11.5.2010		
Result of final vote	+: 38 -: 0 0: 0		
Members present for the final vote	Jean-Pierre Audy, Jan Březina, Reinhard Bütikofer, Maria Da Graça Carvalho, Jorgo Chatzimarkakis, Pilar del Castillo Vera, Christian Ehler, Lena Ek, Ioan Enciu, Gaston Franco, Adam Gierek, Norbert Glante, Edit Herczog, Philippe Lamberts, Bogdan Kazimierz Marcinkiewicz, Judith A. Merkies, Miloslav Ransdorf, Herbert Reul, Teresa Riera Madurell, Paul Rübig, Amalia Sartori, Patrizia Toia, Evžen Tošenovský, Ioannis A. Tsoukalas, Marita Ulvskog, Vladimir Urutchev		
Substitute(s) present for the final vote	Lara Comi, António Fernando Correia De Campos, Rachida Dati, Marek Józef Gróbarczyk, Françoise Grossetête, Andrzej Grzyb, Satu Hassi, Jolanta Emilia Hibner, Mario Pirillo, Lambert van Nistelrooij, Hermann Winkler		
Substitute(s) under Rule 187(2) present for the final vote	Catherine Bearder		