Basic information

1997/0119(COD) COD - Ordinary legislative procedure (ex-codecision procedure) Decision	Procedure completed
Resaerch RTD, 5th framework-programme EC 1998-2002: research, technological development and demonstration activities **Subject** 3.50.02.01 EC, EU framework programme	

Key players

European Parliament

Former committee responsible	Former rapporteur	Appointed
ENER Research, Technological Development and Energy	QUISTHOUDT-ROWOHL Godelieve (PPE)	06/02/1997
ENER Research, Technological Development and Energy	QUISTHOUDT-ROWOHL Godelieve (PPE)	06/02/1997

Former committee for opinion	Former rapporteur for opinion	Appointed
AGRI Agriculture and Rural Development	SCHIERHUBER Agnes (PPE)	08/07/1997
BUDG Budgets	GHILARDOTTI Fiorella (PSE)	01/07/1997
ECON Economic and Monetary Affairs, Industrial Policy	IMBENI Renzo (PSE)	14/07/1997
REGI Regional Policy	SCHIEDERMEIER Edgar Josef (PPE)	24/06/1997
TRAN Transport and Tourism	FERBER Markus (PPE)	23/09/1997
ENVI Environment, Public Health and Consumer Protection	MARINUCCI Elena (PSE)	22/07/1997
PECH Fisheries	ADAM Gordon J. (PSE)	24/06/1997
FEMM Women's Rights	MCNALLY Eryl Margaret (PSE)	20/03/1997

Council of the European Union

Council configuration	Meetings	Date
General Affairs	2113	1998-07-13
Environment	2076	1998-03-23
Research	2154	1998-12-22
Research	2067	1998-02-12
Research	1976	1996-12-05
Research	2042	1997-11-10
Research	2005	1997-05-14

Key events

Date	Event	Reference	Summary
05/12/1996	Debate in Council		
30/04/1997	Legislative proposal published	COM(1997)0142	Summary
14/05/1997	Debate in Council		
14/05/1997	Committee referral announced in Parliament, 1st reading		
11/08/1997	Modified legislative proposal published	COM(1997)0439	Summary
10/11/1997	Debate in Council		
04/12/1997	Vote in committee, 1st reading		Summary
04/12/1997	Committee report tabled for plenary, 1st reading	A4-0396/1997	
16/12/1997	Debate in Parliament		Summary
14/01/1998	Modified legislative proposal published	COM(1998)0008	Summary
23/03/1998	Council position published	06108/1/1998	Summary
02/04/1998	Committee referral announced in Parliament, 2nd reading		
03/06/1998	Vote in committee, 2nd reading		Summary
03/06/1998	Committee recommendation tabled for plenary, 2nd reading	A4-0226/1998	
16/06/1998	Debate in Parliament		Summary
13/07/1998	Parliament's amendments rejected by Council		
29/09/1998	Formal meeting of Conciliation Committee		Summary
17/11/1998	Final decision by Conciliation Committee		
25/11/1998	Joint text approved by Conciliation Committee co-chairs	3626/1998	
09/12/1998	Report tabled for plenary, 3rd reading	A4-0493/1998	
14/12/1998	Debate in Parliament		

22/12/1998	Decision by Council, 3rd reading		
22/12/1998	Final act signed		
22/12/1998	End of procedure in Parliament		
01/02/1999	Final act published in Official Journal		

Technical information

Procedure reference	1997/0119(COD)
Procedure type	COD - Ordinary legislative procedure (ex-codecision procedure)
Procedure subtype	Legislation
Legislative instrument	Decision
Legal basis	EC Treaty (before Amsterdam) E 130I-p2
Stage reached in procedure	Procedure completed
Committee dossier	CODE/4/10335

Documentation gateway

European Parliament

Document type	Committee	Reference	Date	Summary
Committee report tabled for plenary, 1st reading/single reading		A4-0396/1997 OJ C 014 19.01.1998, p. 0005	04/12/1997	
Text adopted by Parliament, 1st reading/single reading		T4-0629/1997 OJ C 014 19.01.1998, p. 0102-0171	18/12/1997	Summary
Committee recommendation tabled for plenary, 2nd reading		A4-0226/1998 OJ C 210 06.07.1998, p. 0009	03/06/1998	
Text adopted by Parliament, 2nd reading		T4-0357/1998 OJ C 210 06.07.1998, p. 0104-0131	17/06/1998	Summary
Report tabled for plenary by Parliament delegation to Conciliation Committee, 3rd reading		A4-0493/1998 OJ C 098 09.04.1999, p. 0007	09/12/1998	
Text adopted by Parliament, 3rd reading		T4-0724/1998 OJ C 098 09.04.1999, p. 0024-0037	15/12/1998	Summary

Council of the EU

Document type	Reference	Date	Summary
Council position	06108/1/1998 OJ C 178 10.06.1998, p. 0049	23/03/1998	Summary

European Commission

Document type	Reference	Date	Summary
	COM(1997)0142		

Legislative proposal		30/04/1997	Summary
Modified legislative proposal	COM(1997)0439	11/08/1997	Summary
Modified legislative proposal	COM(1998)0008	14/01/1998	Summary
Commission communication on Council's position	SEC(1998)0540	31/03/1998	Summary
Commission opinion on Parliament's position at 2nd reading	COM(1998)0422	03/07/1998	Summary
Non-legislative basic document	COM(2000)0612	04/10/2000	Summary
Follow-up document	SEC(2000)1780	23/10/2000	Summary
Follow-up document	COM(2000)0842	19/12/2000	Summary
Follow-up document	COM(2003)0124	20/03/2003	Summary
Follow-up document	COM(2004)0533	02/08/2004	

Other institutions and bodies

Institution/body	Document type	Reference	Date	Summary
CofR	Committee of the Regions: opinion	CDR0158/1997 OJ C 379 15.12.1997, p. 0026	17/09/1997	
EESC	Economic and Social Committee: opinion, report	CES0987/1997 OJ C 355 21.11.1997, p. 0038	01/10/1997	Summary
EESC	Economic and Social Committee: opinion, report	CES1407/1997 OJ C 073 09.03.1998, p. 0133	11/12/1997	Summary
CSL/EP	Joint text approved by Conciliation Committee co-chairs	3626/1998	25/11/1998	
CofA	Court of Auditors: opinion, report	RCC0001/2004 OJ C 099 23.04.2004, p. 0001-0043	12/02/2004	Summary

Additional information

Source	Document	Date
European Commission	EUR-Lex	
European Commission	EUR-Lex	

Final act

Decision 1999/0182
OJ L 026 01.02.1999, p. 0001

Resaerch RTD, 5th framework-programme EC 1998-2002: research, technological development and demonstration activities

1997/0119(COD) - 01/10/1997

The general thrust of the Commission proposal responds at least in part to the need for Community research to target precisely defined objectives and for flexible, transparent management and coordination. The proposal suffers, however, from the tendency of the specific sub-programmes of the past Framework Programmes to be self-perpetuating and from the lack of adequate instruments for defining strategic criteria. The Committee therefore calls on the Commission, the European Parliament and the Council to: - adopt an integrated approach closely binding the horizontal with the thematic programmes, together with other EU instruments for structural intervention and international cooperation; - provide the necessary interface for Community and national actions by applying the basic legal framework for Articles 130k, l and n; - adapt the multiannual programming of RTDD work and establish a real common European strategy that directly involves research players and end-users, particularly the various types of SME, from the planning of the Framework Programme right through to the innovative application of research results; - concentrate research on a limited number of key actions (9 or 10), each with a minimum threshold of combined public and private funding of ECU 1,000 million; - ensure visibility and coherence in international cooperation; - clarify and strengthen the strategic role of the JRC and its institutions, especially the IPTS; - ensure more transport, simplified and streamlined management procedures; - rebuild a relationship of trust with research players and end-users.

Resaerch RTD, 5th framework-programme EC 1998-2002: research, technological development and demonstration activities

1997/0119(COD) - 03/07/1998 - Commission opinion on Parliament's position at 2nd reading

The Commission notes the convergence of views between the three Institutions on the structure and scientific and technical content of the Framework Programme. The broad strategic guidelines set out in the Commission's proposal are confirmed by Parliament's second reading; the need to concentrate efforts is reaffirmed, as are the key actions which are essential components of the thematic programmes. The Commission also points out that Parliament supports its proposal to assign to the Fifth Framework Programme an overall budget of ECU 16.3 billion, whereas the Council's common position gives a figure of ECU 14 billion. In view of this, the Commission has opted to maintain its amended proposal of 14 January 1998 and not to incorporate in it amendments other than the ones it had already taken over following the first reading. The Commission is aware that further efforts to achieve convergence between Parliament and the Council will have to be made on the basis of the amendments arising from Parliament's second reading and it is determined to work towards an overall compromise in the context of the conciliation procedure.

Resaerch RTD, 5th framework-programme EC 1998-2002: research, technological development and demonstration activities

1997/0119(COD) - 31/03/1998 - Commission communication on Council's position

The Commission's major concern is the maximum overall amount of the Framework Programme: ECU 12 740 million according to the common position while the Commission proposes ECU 14 833 million. For the first time the overall amount has decreased in real terms in relation to the funding for the previous Framework Programme and casts doubt on whether it is sufficient to cover the scientific and technological content as extended by the Council. The Commission considers that it sends a negative signal to industrial concerns, the scientific community and the users, at a time when the Union's major competitors are recognizing the importance of research for competitiveness and employment and continue to invest more than does the EU. If the final amount falls too far short of ECU 14 833 million, it should not be excluded that one or more activities may be dropped if they cannot be allocated what the Commission considers a minimum critical amount. The Commission is also concerned by the risk of fragmentation of the fourth thematic programme, devoted to the environment and energy (two different committees to be set up). It is also concerned at the cumbersome additional constraints with regard to management. The Commission calls on the Parliament and the Council to support the Community research effort at its proper level and to divide it appropriately. It emphasizes the need to allow work to be completed within time limits which are compatible with the Community's continuing research effort.

Resaerch RTD, 5th framework-programme EC 1998-2002: research, technological development and demonstration activities

1997/0119(COD) - 23/10/2000 - Follow-up document

The mid-term review of the Framework Programme provided for in Article 6 of the Decisions adopting the 5th EC and Euratom Framework Programmes was the subject of guidelines proposed by the Commission in its Communication of 4 October 2000 "Making a reality of the European Research Area: Guidelines for future EU research activities (2002-2006). This Commission staff working paper reviews progress with the 5th Framework Programme in greater detail. For this review the Commission has taken into account the conclusions of the panels which carried out five-

year assessments of the Framework Programme and the specific programmes, the external monitoring reports, information collected for the annual report on EU RTD activities and its own analyses and assessments. Although the Framework Programme has reached the halfway stage in terms of the launching of research activities, the latter are still in their early stages in terms of implementation and most of them will continue beyond 2002. Reviewing them at this juncture will therefore clearly not allow a judgment to be made of the Framework Programme's impact in terms of research results and innovation, but it will, nevertheless, make it possible to assess implementation so far, in particular in the light of the Programme's new structure, its objectives and its means of implementation. This paper also assesses the quality of the projects launched so far and how they fit in with the broad lines of the Framework Programme. Lastly, it analyses how the 5th Framework Programme can help to make a reality of the European Research Area.

Resaerch RTD, 5th framework-programme EC 1998-2002: research, technological development and demonstration activities

1997/0119(COD) - 18/12/1997 - Text adopted by Parliament, 1st reading/single reading

In adopting the report by Mrs QUISTHOUDT-ROWOHL (EPP, D) Parliament set the overall amount for Community financial participation in the fifth framework programme for R & D at ECU 15.4 billion (the Commission proposed an amount of ECU 14.833 billion). Parliament considered that the research activities supported under the fifth framework programme should have as their aim the improvement of the quality of life of citizens and the scientific and technological conditions of the Union's international competitiveness, while satisfying the condition of ecological sustainability. It advocated the adoption of measures to encourage the effective participation of SMUs in the programmes. The European Commission had proposed three themes for the first Community activity (research programmes) but Parliament adopted an amendment providing for four themes: a) life sciences and technologies: health, food and environment, fight against transmissible and rare diseases, the cell factory, chemical and molecular biology bases and degenerative diseases, especially diseases and handicaps relating to age; b) information and communication technologies: systems and services for the citizen, new working methods and electronic trading, multimedia, essential technologies and infrastructures; c) transport - mobility - production: land-based and marine transport and technologies, aeronautics and astronautics, mobility and interoperability, products, procedures and organizations; d) energy - environment - sustainable development: advanced energy systems and services in the energy sector, including fossil fuels and renewable energies and, in the environment sector, cultural heritage and sustainable development; rural and mountain areas, coastal areas, urban areas, global climate change, water management and technologies. Parliament also adopted an amendment concerning the amounts and their breakdown for the four activities in the period 1998-2002: - first activity (research programmes): ECU 12.165 billion (Commission ECU 11.775 billion); - second activity (cooperation with third countries and international organizations): ECU 550 million (Commission: ECU 491 million); - third activity (dissemination and optimization of results): ECU 410 million (Commission ECU 350 million); - fourth activity (stimulation of the training and mobility of researchers): ECU 1.460 billion (Commission: ECU 1.402 billion). Parliament called on the Commission to submit a proposal for adaptation of the scientific and technological objectives and measures halfway through the term of the fifth framework programme. It also proposed that Parliament should establish mechanisms enabling its members to scrutinize the implementation of all parts of the framework programme.

Resaerch RTD, 5th framework-programme EC 1998-2002: research, technological development and demonstration activities

1997/0119(COD) - 30/04/1997 - Legislative proposal

OBJECTIVE: the proposal for a decision seeks to establish a Fifth Community Framework Programme for research, technological development and demonstration activities (1998-2002). SUBSTANCE: in submitting its draft Fifth Framework Programme for research and technological development 1998-2002, the European Commission followed a new approach whose main characteristics are as follows: - focusing of research efforts on a limited number of objectives in order to avoid scattering resources; - greater attention to the dissemination and exploitation of research findings; - flexible implementation and the simplification of administrative procedures; - in the context of the Intergovernmental Conference, less cumbersome decision-making procedures providing for the adoption of the framework programme by a qualified majority. Alongside this, a set of detailed and objective criteria has been drawn up to define the content of the framework programme, grouped together in three families: (a) social objectives, chief among which is the impact on employment; (b) scientific, technological and economic development, the basic objective being to increase the European Union's competitiveness; (c) lastly, 'European added value'. To make it easier to focus efforts on a smaller number of objectives, the Fifth Framework Programme is organized on the basis of six major programmes reflecting the four activities provided for in the Treaty for the implementation of the framework programme: three 'thematic' programmes corresponding to the first activity referred to in the Treaty (research programmes); three 'horizontal' programmes corresponding to activities II (international cooperation), III (dissemination and exploitation of results) and IV training and mobility of researchers). The general topics of these activities are as follows: - Thematic programmes: (a) unlocking the resources of the living world and the ecosystem; (b) creating a user-friendly information society; (c) promoting competitive and sustainable growth; - Horizontal programmes: (a) confirming the international role of European research; (b) innovation and participation of SMEs; (c) improving human potential. Each of the three thematic programmes comprises: - a series of key actions (16 are proposed) linked to the major economic and social objectives as far as the future of the Union is concerned; - activities for research and development of generic technologies; - activities in support of research infrastructures. With a view to achieving maximum efficiency, the thematic and horizontal programmes are both complementary and interrelated, one of the main functions of the horizontal programmes being to contribute to the smooth implementation of the thematic programmes. The Commission is also proposing to introduce a greater degree of coordination both between the various activities under the framework programme and with other Union policies and national research programmes; it also suggests closer links with the European cooperation frameworks COST and EUREKA.. In addition, Articles 130k, l and n of the EC Treaty will be exploited as an adjunct to the other activities under the framework programme, for example through the implementation of measures of particular interest to only a small number of Member States. In order to increase management flexibility and respond to unexpected situations, within each programme a 'free space' will be created, i.e. funds which can be made available quickly in order to finance an urgent measure. Finally, the Commission wishes to improve the methods by which the framework programme is managed: - by relaxing procedures and shortening deadlines in such a way as to facilitate access to the programmes, in particular for SMUs; - by carrying out its implementing role to the full: the bulk of

the authority for implementing the specific programmes would be delegated to the Commission alone, with the programme committees taking decisions only on the definition of the programmes and the indicative allocation of the amounts, and no longer on individual measures such as the selection of projects and their funding. As regards the financial and budgetary aspects, at this stage the Commission is not proposing a financial framework; it will do so when it adopts its proposal future financing framework, immediately after the Intergovernmental Conference in July 1997. However, the Commission takes the view that the average percentage of Union GNP reached by the Fourth Framework Programme between 1995 and 1998 must represent a minimum for the overall funding of the Fifth Framework Programme expressed as a percentage of average forecast GNP between 1999 and 2002.

Resaerch RTD, 5th framework-programme EC 1998-2002: research, technological development and demonstration activities

1997/0119(COD) - 04/10/2000

The aim of the European Research Area is to create conditions making it possible to increase the impact of European research efforts by strengthening the coherence of research activities and policies conducted in Europe. However, Europe is still suffering from structural weaknesses where research is concerned, compared to the United States for example. Against this background, in January 2000 the Commission proposed the creation of a European Research Area. The purpose of this paper is to propose guidelines for future measures in support of EU research, and more specifically the research Fraemwork Programme, for the period 2002-2006. In addition, this paper contains the Commission's mid-term review of the 5th research Framework Programme. In this respect, it also constitutes the mid-term Communication provided for in Articles 6 of the Decisions 182/1999/EC and 1999/64 Euratom on the Fifth Framework Programme. The main points contained in the report are as follows: - supplementing the European intergovernmental scientific co-operation initiatives launched since the 1950s, the EU's Framework Programmes have made a significant contribution to strengthening European research capabilities. - the collaboration networks and the forms of co-operation to which they have given rise (250,000 transnational co-operational links between 1995 and 1999) represent a considerable achievement. However, these Framework Programmes have up to now to a large extent been additional to the 15 series of national programmes conducted independently of one another; - in order to be able to play a more strucutring role in support of the realisation of the European Research Area, they need to be closely linked with national activities and European intergovernmental co-operation initiatives. Their funding should be combined to a greater extent with other public and private sector funding; - the European Research Area project requires the full application of the principle, enshrined in the Treaty, of complementarity between EU research activities and Member States' research activities; - new instruments and new methods of intervention need to be conceived and used for this purpose, specifically designed to help correct the structural weakness of European research; - European research efforts should be focused on a more limited number of priorities which should be subject to a political choice on the basis of objective assessment criteria.

Resaerch RTD, 5th framework-programme EC 1998-2002: research, technological development and demonstration activities

1997/0119(COD) - 14/01/1998 - Modified legislative proposal

The Commission's second amended proposal incorporates the spirit and substance of several of Parliament's amendments, particularly the one proposing a fourth thematic programme. However, some of Parliament's amendments concerning the wording of the themes and the detailed formulation of their scientific and technological content reflect an approach by sectors and by disciplines which departs from that advocated by the Commission. In addition, where the points of view converge as to the substance, the Commission's amended proposals are based on suggestions made by the Council. The major amendments concern: (1) The structure of the first action of the framework programme which now comprises four thematic programmes: (a) improving the quality of life and the management of living resources; (b) creating a user-friendly information society; (c) promoting competitive and sustainable growth; (d) preserving the ecosystem. In this reconfiguration, the Commission is encouraging the integrated, multidisciplinary and multisectoral approach pursued so far. The first programme is refocused around concerns relating to health, the quality of life and the management of living resources, while the new (fourth) programme addresses the safeguarding of the natural resources heritage. The third programme will now focus mainly on a combination of issues relating to production and transport. (2) The key actions: - the two key actions 'health and food' and 'environment and health' of the programme 'Improving the quality of life and the management of living resources' have been merged into one single key action 'health, food and environmental factors'; - the key action 'advanced energy systems and services' is split into two separate key actions 'promoting the sustainable use of energy' and 'developing cleaner, more competitive and diversified energy supply' and transferred to the new programme 'preserving the ecosystem'; - two additional key actions are created: the first on 'the ageing population' within the programme 'improving the quality of life and the management of living resources' and the second 'global environmental change in climate' within the new programme 'preserving the ecosystem'; - the title of the key action 'the city of tomorrow' is amended to include the cultural heritage. (3) As regards the overall allocation and distribution of funds, it is proposed that the figures proposed by the Commission for the overall amount (ECU 14 833 m) and its breakdown over the four activities be confirmed. As regards the breakdown of resources within the first activity, the changes made reflect the revised structure on the basis of four programmes: (a) improving the quality of life and the management of living resources: ECU 2650 millions; (b) creating a user-friendly information society: ECU 3925 millions; (c) promoting competitive and sustainable growth: ECU 3100 millions. (d) preserving the ecosystem: ECU 2100 million.

Resaerch RTD, 5th framework-programme EC 1998-2002: research, technological development and demonstration activities

1997/0119(COD) - 23/03/1998 - Council position

The common position incorporates a large number of Parliament's amendments, whilst respecting the general approach of the Commission proposal. The Council followed four guiding principles: - the need for a more focused and concentrated Community research effort based on greater efficiency and added value; - the role of the Framework Programme as a instrument for the realization of major Community objectives, in particular, improving the competitiveness of European industry vis-à-vis its international competitors, stimulating growth and employment and improving quality of life; - a realistic approach in setting objectives and defining activities, taking into account that the Union's priorities are evolving in the framework of Agenda 2000 and that a new financial perspective will be negotiated during the lifetime of the Fifth Framework Programme; - the need for simplicity and clarity of the text, thereby avoiding details best suited to the specific programmes. In relation to the main aspects of the Framework Programme, the Council's position is as follows. (1) Structure and content of the programme: The common position follows the Commission's approach, based on concentrating activities around a limited number of programmes. The Council, however, has included a fourth thematic programme devoted to research in the areas of energy and the environment, with a consequential transfer of certain key actions from the thematic programmes 'quality of life' and 'competitive growth' to this new programme. The Council has also: - divided the fourth thematic programme into two subprogrammes on environment and energy respectively, each with a separate budgetary allocation; - split the energy sub-programme into two key actions, giving more emphasis to renewable energy sources; - approved for the most part the key actions proposed by the Commission but made provision for new key actions on the ageing population and global change and a combined key action on land transport and marine technologies; - introduced a new key action on marine sciences in the environment programme. As regards the horizontal activities, the common position introduces some changes to pay greater attention to SMEs and the socio-economic dimension, by introducing a new key action on socio-economic research. With the future enlargement of the Union in mind, particular measures to facilitate participation in the Framework Programme of States in the preaccession phase have also been incorporated. (2) Overall amount: The Council has reached an agreement on an amount of ECU 12 740 million, divided as follows: - first activity (research programmes); ECU 10 039 million - second activity (international cooperation); ECU 458 million - third activity (dissemination and optimization); ECU 350 million - fourth activity (training and mobility of researchers); ECU 1 205 million - direct activities to be carried out by the Joint Research Centre (JRC); ECU 688 million. In view of the fact that the current financial perspective expires at the end of 1999, the overall amount will be distributed between the first and second periods of the Framework Programme: ECU 3 100 million for the period 1998 to 1999 and ECU 9 640 million for the period 2000 to 2002. The common position provides for a new decision by Parliament and the Council if the overall amount proves not to be compatible with the new financial perspectives for the years 2000-2002, or in the absence of a financial perspective. A joint declaration by the three institutions would ensure compliance with this provision. The overall amount will need to be revised in the event of accession of new Member States during the lifetime of the Fifth Framework Programme. (3) Breakdown of funds: The common position follows the Commission proposal with regard to the breakdown of funds between the four activities of the Framework Programme. It nevertheless gives a higher priority to Activity 2 (international cooperation) and Activity 3 (innovation and SMEs). The common position also reflects the importance attached by the Council to the training and mobility of researchers, in the context of measures to stimulate growth and employment (it maintains the relative share of activity 4 at the level proposed by the Commission, i.e. 10%). The Joint Research Centre will gradually adopt a more competitive approach. (4) Implementation and management: Whilst sharing a number of the concerns expressed by Parliament regarding the need for efficient and transparent implementation and management, the Council considers that this is a question to be dealt with in the specific programme decisions.

Resaerch RTD, 5th framework-programme EC 1998-2002: research, technological development and demonstration activities

1997/0119(COD) - 19/12/2000

The annual report on the research and technological development activities of the European Union (2000) outlines many new developments in this area. First of all, in the aftermath of the European Parliament elections and a new Commission, the European Union's (EU) research policy acquired an increased political and ambitious dimension. On the 18 January 2000, the Commission adopted the Communication "Towards a European Research Area" which noted that the research efforts of the European Union are catching-up with its main competitors and second, it called for a concerted mobilisation of relevant policies and instruments at all levels. The research activities of the EU are represented by the Fifth Framework Programme for Research and Development. The first call for research proposals was in March 1999 and more than 16 000 proposals were received during the year, a large amount coming from the pre-accession countries. The key actions concentrated 85% of resources on thematic programmes, resulting in large-scale partnerships (an EU contribution of EUR 1,7 million on average) as well as important synergies between the projects and the participation of SMEs (22% of participants). Henceforth, important measures shall be taken in order to achieve the European Research Area. From a long-term perspective, this autumn the Commission will adopt a strategic Communication presenting the first research orientations for the post-2002 period.

Resaerch RTD, 5th framework-programme EC 1998-2002: research, technological development and demonstration activities

1997/0119(COD) - 20/03/2003

The European Commission has presented the 2002 annual report on the research and technological development activities of the European Union. This annual report covers the period from January 2001 to March 2002, which was marked by unprecedented development of the Community's research policy: - the proposals for the Sixth framework programme and the means for implementing it were adopted by the Commission between February and September 2001. The Council and the Parliament reached broad agreement on the overall amount, the structure, the priorities and the instruments; - at the same time, the Commission drew up the procedures for implementing the various instruments, including integrated projects, networks of excellence, and participation in research programmes implemented by several Member States; - major milestones in the construction of the European Research Area were reached with the publication of the first results of the benchmarking of national RTD policies and the mapping of scientific excellence in Europe and the adoption of a mobility strategy for researchers, the European innovation scoreboard, the action plan for science and society, and communications on the international and regional dimensions of the European Research Area; - a framework agreement on cooperation in the field of research was signed between the Commission and the European Investment Bank, and the GEANT European Scientific Communications Network became operational; - implementation of the Fifth Framework Programme continued successfully in 2001 with the signing of

nearly 5 000 contracts involving more than 23 000 participants and Community financial support of more than EUR 3.7 million. - international cooperation was stepped up: agreements were signed with Malta, Ukraine, Russia and India and "bi-regional" relations were developed with Asia, Latin America, the Caribbean and the Balkans; - lastly the various advisory groups which assist the Commission in the implementation of its research activities played their role to the full, with reports and opinions from the Scientific and Technical Research Committee (CREST), external advisory groups and the high-level groups set up in 2001. The EU Research Advisory Board (EURAB) was set up and started work in the second half of 2001.

Resaerch RTD, 5th framework-programme EC 1998-2002: research, technological development and demonstration activities

1997/0119(COD) - 12/02/2004

The European Court of Auditors presented its Special Report No 1/2004 on the management of indirect RTD actions under the Fifth Framework Programme (FP5) for research and technological development (1998-2002). The Framework Programme had a total budget of EUR 13 700 million. The audit covered all procedures, from the submission of the proposal to the presentation of project deliverables (in particular cost statements and periodic reports containing information about the progress of scientific work), and, where applicable, the closure of the contract. The main observations concerned the Commission's management and control system, the organisation of its services responsible for implementing FP5 and the adequacy of the human resources, IT support and management reporting. These observations were as follows: - The complexity of the rules for fixing the financial participation of the Community hindered the effective management of financial and administrative aspects by the Commission and was an unnecessary complication for participants. The rules for fixing the financial contribution of the Community that had subsequently been adopted only partially addressed the Court's concerns. The Court welcomed the introduction, with FP6, of visible and dissuasive sanctions and the requirement for the certification of financial statements by an external auditor; - The seven specific programmes of FP5 were managed jointly by five Directorates-General. The fragmentation of programmes resulted in a dilution of responsibilities, duplication of functions and increased need for coordination and consultation. Moreover the basic concept of programmes composed of key actions was not adequately reflected in the Commission's organisational structure; - FP5 had experienced significant organisational problems and delays in the starting phase, beginning with the late adoption of the Decision by the Council and Parliament. It took on average eight to nine months from the receipt of proposals to the Commission signing a contract for indirect RTD actions. The Commission continued to face difficulties in employing staff with the required profiles as well as problems in recruiting permanent officials; - On average only four to five working days per year were available for the scientific monitoring of each indirect RTD action. The administrative procedures and practices used for the selection of indirect RTD actions led to an uneven caseload at Commission level, thereby resulting in bottlenecks, administrative delays and deficiencies in internal controls; - The Council Decisions adopting the specific programmes had set upper ceilings for administrative expenditure between 6.5% and 9.8% of the total expenditure for each specific programme. These ceilings had been respected for all programmes; - The Commission had not developed a common or integrated IT system to manage FP5 proposals, contracts and projects. The IT systems deployed by the Commission were inadequate, not least because of insufficient investment, even though improvements had been noted towards the end of the FP5 programme period; - The tests of the most important controls for a sample of contracts for indirect RTD actions had shown that not all internal controls had been operated effectively. The testing of the legality and regularity of cost claim based payments at beneficiary level had revealed a significant incidence of errors, mainly due to an overdeclaration of costs by final beneficiaries; - Management reporting still needed to be improved. In 2002, the management reporting for the framework programmes had not fully complied with the requirements defined in the Commission's internal control standards. In its replies, the Commission accepted most of the observations made by the Court. It emphasised the importance of the simplifications developed in FP6 (2002-2006) which were largely inspired by the Court's recommendations. The Commission considered that the joint management of programmes by different Directorates-General was allowing synergies to be developed between research activities and other Community policies. An action plan was intended to strengthen the coordination mechanisms within the Commission, particularly by establishing central support functions. In particular, the Commission stressed the fact that its services would have recourse to a common IT system for FP6 from 2004. The specific difficulties as regards staff policy in the area of research were gradually being addressed, in line with recommendations in the White Paper on Commission Reform. Simplified procedures and better planning should allow the caseload under FP6 to be evened out and internal control to be improved. The Commission acknowledged the problem of the overdeclaration of costs by final beneficiaries. The accuracy of these cost claims and their conformity with the contractual provisions could not be completely and accurately verified by the Commission prior to the authorisation of payments. Only a financial audit at beneficiary level could determine with any certainty and accuracy the accuracy of the costs claimed and their conformity with the contractual provisions. This was why the Commission had considerably increased the number of financial audits during the period covered by FP5.

Resaerch RTD, 5th framework-programme EC 1998-2002: research, technological development and demonstration activities

1997/0119(COD) - 22/12/1998 - Final act

PURPOSE : agreement on a fifth framework programme for research, technological development and demonstration (1998-2002). COMMUNITY MEASURE : Council and European Parliament Decision 182/1999/EC. CONTENT : The Fifth Framework R&D Programme for the 1998-2002 period covers four areas of Community activity: a) First action : implementation of research, technological development and demonstration programmes; b) promotion of co-operation in the field of Community research, technological development and demonstration with third countries and international organisations; c) dissemination and optimisation of the results of activities in Community research, technological development and demonstration; d) stimulation of the training and mobility of researchers in the Community. In order to ensure that efforts are focused on a restricted number of objectives, the 5th Framework Programme is divided into 7 large programmes, 4 'thematic' programmes corresponding to action I (research programmes), and 3 'horizontal' programmes corresponding to actions II (international co-operation), III (dissemination and exploitation of results) and IV (training and mobility of researchers). The main themes of the actions are the following : 1) Thematic programmes: a) quality of life and management of living resources b) user-friendly information society c) competitive and sustainable growth d) energy, environment and sustainable development. 2) Horizontal programmes : a) confirming the international role of Community research b) promotion of innovation and encouragement of participation of

SMEs c) improving human research potential and the socio-economic knowledge base. Each of the 3 thematic programmes includes : - a series of 'key actions' linked to the Union's main economic and social objectives for the future; - R&D activities in generic technologies; - support activities for research infrastructures. In parallel, a range of detailed objective criteria has been drawn up to define the content of the framework programme, which fall into three groups : a) social objectives (impact on employment, quality of life, environment); b) scientific, technological and economic development, the underlying objective being the strengthening the Union's competitiveness; and c) European added value. The overall Community allocation to the Fifth Framework Programme is 13 700 million EUROS, divided as follows : - first action (research programmes): 10 843 million EUROS; - second action (international co-operation): 475 million EUROS; - third action (dissemination and exploitation): 363 million EUROS; - fourth action (training and mobility of researchers) 1 280 million EUROS; - direct actions undertaken by the JRC : 739 million EUROS. The allocation between the themes of the first action (10 483 million EUROS) is the following: - quality of life and management of living resources: 2 413 million EUROS; - user-friendly information society: 3 600 million EUROS; - competitive and sustainable growth: 2 705 million EUROS; - energy, environment and sustainable development: 2 705 million EUROS. In view of the expiry of the current financial perspectives at the end of 1999, the overall amount will be allocated over the first and second period of the framework programme: 3 140 million EUROS for the period 1998-99 and 10 560 million EUROS for the period 2000-2002. The text makes provision for a new European Parliament and Council decision to be taken should the overall allocation appear incompatible with the new financial perspectives for the years 2000-2002, or in the absence of financial perspectives.

Resaerch RTD, 5th framework-programme EC 1998-2002: research, technological development and demonstration activities

1997/0119(COD) - 17/06/1998 - Text adopted by Parliament, 2nd reading

In adopting the recommendation for second reading by Mrs Godelieve QUISTHOUDT-ROWOHL (PPE, D) the European Parliament called for a maximum overall amount for Community participation of ECU 15 040 million. The Council proposed 12 740 million and the Commission proposed 14 833 million. The programme should apply to four areas: - the implementation of research technological development and demonstration programmes (ECU 12 000 million; the Council proposes ECU 10 039 million); - promotion of cooperation with third countries and international organizations regarding Community research to technological development in demonstration activities (ECU 500 million). The Council proposed ECU 458 million); - the dissemination and utilization of results of RTD activities (ECU 420 million; the Council proposes ECU 350 million); - measures to encourage the training and mobility of researchers in the Community (ECU 1320 million; the Council proposes ECU 1205 million). Parliament wishes to specify the objective of research activities within the framework programme: optimizing scientific and technical conditions for the international competitiveness of the EU, improving the quality of life of Community citizens and meeting the criteria of ecological sustainability. Parliament calls for the measures for the adoption of particular measures to encourage the effective participation of SMEs (for example the systematic consultation of SMEs by the Commission simplification of formalities and more transparent procedures). Concerning research activities Parliament calls for: - the introduction of criteria related to social development including measures to foster the participation of women in all fields of research and technological development; - health measures contributing to the fight against diseases relating to the environment and food in view of the immense costs arising therefrom (for example allergies); - consideration of the needs of the elderly and disabled; - the addition of a new key action concerning social changes brought about by the introduction of new information and communications technologies. The European Parliament, in adopting an amendment by the PPE Group by 394 votes to 124 and 13 abstentions, urges that no research activity which results in a modification of the genetic heritage of human beings by manipulation of germ cells or manipulation at another stage in embryonic development, which modification might become part of the genetic heritage will be carried out. It also pledges that no activity in the area of human cloning, that is to say the reproduction of human embryos carrying the same genetic information as another human being whether alive or dead be planned. It also calls for research which results in the destruction of embryos to be banned. Similarly, no European Union research funding should be used for the development or manufacture of weapons.

Resaerch RTD, 5th framework-programme EC 1998-2002: research, technological development and demonstration activities

1997/0119(COD) - 11/08/1997 - Modified legislative proposal

The modified proposal seeks to complement the proposal for a decision on the Fifth Community Framework Programme for a financial package which marks a substantial increase over the simple maintenance of the average percentage of GNP. The Commission proposes that this increase be set at 3%, that is to say a package of ECU 14.833 billion broken down as follows: - First activity (programmes for research, technological development and demonstration): ECU 11.775 billion; - Second activity (cooperation with third countries and international organisations): ECU 491 million; - Third activity (dissemination and optimisation of results): ECU 350 million; - Fourth activity (measures to encourage the training and mobility of researchers): ECU 1.402 billion; - Direct activities undertaken by the Community Joint Research Centre (JRC): ECU 815 million.

Resaerch RTD, 5th framework-programme EC 1998-2002: research, technological development and demonstration activities

1997/0119(COD) - 11/12/1997

The Committee calls on the Commission, European Parliament and Council: - to ensure close interaction between the Framework Programme and European, non-EU cooperation frameworks, particularly Eureka and Cost, and to develop, on the basis of analyses for each geographic area, coherent action for the CEEC, the Mediterranean Basin, the Newly Independent States (NIS), the dynamic economies of Asia and Latin America, developing countries and industrialized third countries; - to reframe and strengthen the SME innovation and participation action, with regard to streamlining intervention already planned under the Fourth Framework Programme, but supplementing it with new, specific features to promote a spirit of enterprise

amongst researchers and scientists, and to create a new "ad hoc" support mechanism for the setting-up of technological joint ventures, so that the results of Community research can be harnessed by industry and business; - to make any allocation of financial resources conditional on a percentage realignment in favour of exchange programmes between academia and industry, universities and SMEs, large research centres, and industrial laboratories and SMEs; - to safeguard consistency between the need for an integrated approach to the Fifth Framework Programme and concentration and interoperability of the generic research, support for major infrastructure and key actions which make up the new Community framework; - to identify a range of qualitative/quantitative indicators to guide and control key action activity, in order to help improve the socioeconomic foundations for the development of sustainable growth and employment potential, e.g. the potential take-up rate, level of strategic visibility and European dimension, interaction between Community, European and national action, involvement of SMEs in the sector, potential spin-offs in terms of new business start-ups, new jobs and new occupations; - to distribute the ECU 11,491 million overall funding for the thematic programmes so that a substantial proportion is reserved for key actions, keeping an average quota that would be flexible from one thematic programme to another, of around 25% for generic RTD activities and major infrastructure; - to integrate and thereby streamline the content of the proposed key actions by refocusing them - where possible - within the framework of the thematic programmes proposed by the Commission; - to select ten or so key actions relating to the Community RTDD Framework Programme and one to the Euratom Programme, and provide them with sufficient funding to achieve critical mass, take-up rate, scientific excellence and strategic visibility; - to make the provision of funding for the key actions contingent on performance assessments, in order to avoid a five-year freeze, during which RTDD activities with a low level of scientific excellence and innovation are funded merely as a matter of routine; - to provide simple, modern, transparent management procedures capable of capping administrative costs and red tape by assigning clear responsibilities to a restricted number of bureaucratic and decision-making levels, with collective decisions being confined to the highest levels, i.e. the Commissioners responsible.

Resaerch RTD, 5th framework-programme EC 1998-2002: research, technological development and demonstration activities

1997/0119(COD) - 15/12/1998 - Text adopted by Parliament, 3rd reading

The Parliament's conciliation agreement negotiated with the Council on the Fifth Framework Research Programme (1998-2002) was approved. The Parliament's Rapporteur was Ms. QUISTHOUDT-ROWOHL (D, EPP). The programme's budget, at EUR 14.96 billion, represents a slight increase in real terms on the Fourth Framework Programme. Furthermore, there are provisions allowing for greater flexibility when allocating resources in the years ahead to take account of scientific and technical needs at the time.