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97/0119 (COD)

97/0120 (CNS)

Amended proposal for a

EUROPEAN PARLIAMENT AND COUNCIL DECISION

**CONCERNING THE 5TH FRAMEWORK PROGRAMME OF THE  
EUROPEAN COMMUNITY FOR RESEARCH, TECHNOLOGICAL  
DEVELOPMENT AND DEMONSTRATION ACTIVITIES  
(1998-2002)**

Amended proposal for a

COUNCIL DECISION

**CONCERNING THE 5TH FRAMEWORK PROGRAMME OF THE  
EUROPEAN ATOMIC ENERGY COMMUNITY (EURATOM) FOR  
RESEARCH AND TRAINING ACTIVITIES  
(1998-2002)**

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(presented by the Commission pursuant to Article 189a (2) of the EC Treaty and  
pursuant to Article 119 (2) of the EAEC Treaty)

## Explanatory Memorandum

On 30 April the Commission adopted proposals for Decisions concerning the 5th Framework Programme for research and technological development for the period 1998-2002,<sup>1</sup> including the percentage breakdown of the overall budget but not the actual total amount itself expressed in ECU. The proposals were sent to Parliament and Council on 2 May 1997. It was then possible to begin to examine the texts, which are subject to the co-decision procedure, as planned in spring 1997.

The Explanatory Memorandum to the proposals of 30 April indicated that *"the Commission will supplement the proposal with an overall figure for financing as soon as it adopts its proposal on the next financial framework immediately after the IGC ends in July 1997. However, the Commission considers that the average percentage of EU GNP reached by the 4th Framework Programme between 1995 and 1998 must represent a minimum for the overall funding of the 5th Framework Programme expressed as a percentage of average forecast GNP between 1999 and 2002."* This minimum corresponds to 0.048% of the GNP.

In "Agenda 2000", which it adopted on 15 July,<sup>2</sup> the Commission advocated an increase faster than GNP growth for certain internal policy programmes which have been given priority, including research.

As a result, the proposals for Decisions concerning the 5th Framework Programme should now be supplemented with an overall figure for funding marking a real increase compared with simply maintaining the percentage of GNP.

The Commission proposes that the increase should be 3%, corresponding to an overall amount of ECU 16.3 billion, based on GNP forecasts.

These proposals complete those adopted in April 1997 with the actual amounts. This operation doesn't alter the substance of the proposals. The overall amount is divided between the two framework programmes for the EC and Euratom respectively, and according to the actions and specific programmes proposed in order to implement them, in line with the percentage breakdown fixed in the Explanatory Memorandum to the 30 April 1997 communication.

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<sup>1</sup> COM(97)142 final, 30.4.1997.

<sup>2</sup> COM(97)2000, 15.7.1997.

**AMENDED PROPOSAL FOR A EUROPEAN PARLIAMENT AND COUNCIL  
DECISION**

**CONCERNING THE FIFTH FRAMEWORK PROGRAMME OF THE  
EUROPEAN COMMUNITY FOR RESEARCH, TECHNOLOGICAL  
DEVELOPMENT AND DEMONSTRATION ACTIVITIES**  
(1998-2002)

97/0119 (COD)

On 30 April 1997 (OJ 97/C 173/11 - COM(97)142 final - 97/0119 COD) the Commission adopted a proposal for a Decision concerning the 5th Framework Programme for the European Community. The actual amounts of funding are not given in this proposal. In conformity with the guidelines set out in Agenda 2000, the Commission's proposal is hereby supplemented as follows:

1. The square brackets in Article 2(1) are replaced by the figure "14833".

2. Annex III is replaced by the following:

<u>"- Annex III:</u>	ECU million (current prices)
- First activity (Research, technological development and demonstration programmes)	11775 <sup>2</sup>
- Second activity (Cooperation with third countries and international organizations)	491 <sup>2</sup>
- Third activity (Dissemination and optimization of results)	350 <sup>2</sup>
- Fourth activity (Stimulation of the training and mobility of researchers)	1402 <sup>2</sup>
<b>MAXIMUM OVERALL AMOUNT</b>	<b>14833<sup>1</sup></b>

Indicative breakdown between the themes of the first activity	ECU million
- Unlocking the resources of the living world and the ecosystem	3925 <sup>2</sup>
- Creating a user-friendly information society	3925 <sup>2</sup>
- Promoting competitive and sustainable growth	3925 <sup>2</sup>
	<hr/> 11775 <sup>2</sup>

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<sup>1</sup> Of which ECU 815 million for the JRC.

<sup>2</sup> The amount for direct actions of the JRC excluded.

**AMENDED PROPOSAL FOR A COUNCIL DECISION**

**CONCERNING THE FIFTH FRAMEWORK PROGRAMME OF THE  
EUROPEAN ATOMIC ENERGY COMMUNITY (EURATOM) FOR RESEARCH  
AND TRAINING ACTIVITIES  
(1998-2002)  
(.../.../EURATOM)**

97/0120 (CNS)

On 30 April 1997 (OJ 97/C 173/12 - COM(97)142 final - 97/0120 CNS) the Commission submitted a proposal for a Council Decision concerning the 5th Framework Programme for the European Atomic Energy Community. The actual amounts of funding are not given in this proposal. In conformity with the guidelines set out in Agenda 2000, the Commission's proposal is hereby supplemented as follows:

1. The square brackets in Article 2(1) are replaced by the figure "1467".
2. The square brackets in footnote 10 are replaced by the figure "326".

## FINANCIAL STATEMENT

### 1. TITLE OF THE OPERATION

Proposal for a Decision of the European Parliament and of the Council concerning the Fifth Framework Programme of the European Community for research, technological development and demonstration activities (1998-2002), hereinafter referred to as "the 5th Framework Programme".

### 2. BUDGET HEADING CONCERNED

Sub-section B6

### 3. LEGAL BASIS

Article 130i of the EC Treaty.

### 4. DESCRIPTION OF THE OPERATION

#### 4.1 General Objective of the Operation

The objectives of the Community's research and technological development policy reflect the challenges which the Community must meet and the opportunities which it must seize relating, as a matter of priority, to the problems of society, industrial competitiveness, job creation, quality of life, globalisation of knowledge, contributing to the development and implementation of the Community's other policies (in line with Article 130f, paragraph 1, of the EC Treaty), and the role of the Community in the world as a focal point of scientific and technological excellence.

In this context, the planned operation is based on six themes:

- Unlocking the resources of the living world and the ecosystem;
- Creating a user-friendly information society;
- Promoting competitive and sustainable growth;
- Confirming the international role of Community research;
- Innovation and participation of small and medium-sized enterprises;
- Improving human potential.

#### 4.2 Period covered by the operation

1998 - 2002

The arrangements for renewal of the operation are provided for in Article 130i of the EC Treaty.

### 5. CLASSIFICATION OF THE EXPENDITURE AND REVENUE

5.1 NCE

5.2 DA

5.3 Type of revenue involved:

Certain Associated States will contribute to the financing of the 5th Framework Programme.

In accordance with Articles 92 and 96 of the Financial Regulation, the JRC may benefit from revenue from various types of competitive activities or from other services provided for outside bodies.

In accordance with Article 27 of the Financial Regulation, certain revenue may be available for re-use.

### 6. TYPE OF EXPENDITURE OR REVENUE

The European Community will contribute financially to research and technological development activities, including demonstration activities, hereinafter referred to as "indirect RTD actions"; in

addition, it will carry out directly research and development activities, hereinafter referred to as "direct RTD actions".

### 1. Indirect RTD actions

The indirect RTD actions will comprise five categories: shared-cost actions, training fellowships, support for networks, concerted actions and accompanying measures. Shared-cost actions will be the main mechanism for implementing the programmes.

The rate of financial participation by the Community in these actions will be as follows:

#### a) Shared-cost actions

*- Research and technological development projects, demonstration projects, integrated projects:*

Research and technological development projects will be financed in principle at a level of 50% of the eligible costs. In the special case of legal entities which do not keep analytical accounts, the eligible additional costs generated as a result of the research will be financed 100%.

Demonstration projects (projects designed to prove the technical viability of technologies and which cannot be commercialised directly) will be financed in principle at a level of 35% of the eligible costs.

Integrated projects (projects with both a research and technological development component and a demonstration component) will be financed at a level corresponding to the weighted average of the levels applicable to the two components.

*- Support for access to research infrastructures:*

The Community funding granted as a contribution towards the optimum utilisation of infrastructures will be up to 100% of the additional eligible costs connected with receiving teams of Community researchers and making the facility available.

*- Technology stimulation projects to encourage and facilitate SME participation in RTD activities:*

"Co-operative research" activities will be financed up to 50% of the eligible project costs.

"Collaborative research" activities will be financed in the form of an award covering up to 75% of the eligible costs of the exploratory phase of an RTD activity, including project validation and preparation, a feasibility study and partner search, over a period not exceeding 12 months.

#### b) Training fellowships:

Community funding will cover up to 100% of the eligible costs of the fellowship and a contribution to the eligible costs of the host institution when it is located in the Community.

#### c) Support for networks:

Community funding will cover up to 100% of the additional eligible costs of coordinating and implementing the thematic networks and up to 100% of the additional eligible costs connected with setting up and maintaining the research training networks.

#### d) Concerted actions:

Community funding will cover up to 100% of the additional eligible costs connected with concertation.

#### e) Accompanying measures:

Community funding may be up to 100% of the eligible costs of the measures.

In the Decisions adopting the specific programmes implementing the 5th Framework Programme there can be no derogations from the financial participation rates set above, with the exception of duly justified special cases, for the activity concerned. The Decisions may spell out in more detail the indirect RTD actions described above, supplement them or subject them to additional conditions or limitations.

## 2. Direct RTD actions

The direct RTD actions to be carried out by the Joint Research Centre (JRC) will comprise research activities of an institutional character and scientific and technical support activities of an institutional character. The Community funding will normally be 100% of the costs of the direct RTD action.

3. Any Council Decisions taken pursuant to Article 130o of the EC Treaty will lay down, where necessary, the rules for financial participation by the Community.

## 7. FINANCIAL IMPACT

### 7.1 Method of calculating total cost of operation

The 5th Framework Programme fixes the overall maximum amount and its breakdown among the different Community activities. It also details the indicative breakdown between the three themes of the first activity. These amounts cover the financing of research activities, staff costs and administrative expenditure.

### 7.2 Itemised breakdown of cost

<b>Indirect actions</b>	<b>First activity</b>	<b>11775 MECU</b>
	Unlocking the resources of the living world and the ecosystem	3925 MECU
	Creating a user-friendly information society	3925 MECU
	Promoting competitive and sustainable growth	3925 MECU
	<b>Second activity</b>	<b>491 MECU</b>
	<b>Third activity</b>	<b>350 MECU</b>
	<b>Fourth activity</b>	<b>1 402 MECU</b>
<b>Direct actions</b>	<b>JRC</b>	<b>815 MECU</b>
	<b>MAXIMUM OVERALL AMOUNT</b>	<b>14 833 MECU*</b>

\* As an indication, the reference amount of the 5th Framework Programme of the European Atomic Energy Community (EURATOM) will be ECU 1 467 Million. The total for the 1998-2002 Framework Programmes will be ECU 16 300 Million.

### 7.3 Indicative schedule of appropriations

The effective implementation of the 5th Framework Programme requires a scheduling of the funds available for each year. In the following table the funds for each year in the period 1998-2002 are shown (the definitive amounts will be fixed by the Budgetary Authority).

YEAR	REAL AMOUNTS
	1998-2002 (MECU CURRENT PRICES)
	5th Framework Programme
1998	P.M.
1999	3276
2000	3640
2001	3913
2002	4004
<b>TOTAL 1998-2002</b>	<b>14 833*</b>

\* As an indication, the reference amount of the 5th Framework Programme of the European Atomic Energy Community (EURATOM) will be ECU 1 467 Million. The total for the 1998-2002 Framework Programmes will be ECU 16 300 Million.

### 8. ANTI-FRAUD MEASURES PLANNED

There is a whole range of administrative and financial checks at all stages of the procedure for awarding and executing research contracts, including the following:

- Prior to conclusion of the contract:
  - ◊ Initial selection of proposals on the basis of the scientific value of the project and of an assessment as to whether the research costs quoted are realistic in relation to the nature of the research, its duration and its potential impact;
  - ◊ Analysis of the financial data transmitted by the proposers on the contract negotiation form;
- After the contract has been signed:
  - ◊ Scrutiny of statements of expenditure prior to payment, carried out at two levels (by the scientific officer and the financial officer);
  - ◊ Internal audit by the Financial Controller;
  - ◊ On-the-spot checks enabling the detection of errors or other irregularities through an examination of the supporting documents. In order to make these checks more effective, the Commission's services have set up an audit unit which coordinates all the checks performed. These checks are either carried out by members of the audit unit or entrusted to auditing companies with which the Commission has concluded contracts, under the supervision of officials from the audit unit;
  - ◊ Surprise inspection by the Commission's Financial Controller and by the Court of Auditors of the European Union.

## 9. BASIS OF COST-EFFECTIVENESS ANALYSIS

### 9.1 Specific and quantifiable objectives; target population

The specific objectives of each of the six themes listed in point 4.1 are as follows:

Unlocking the resources of the living world and the ecosystem: to help increase knowledge and develop technologies in the fields of the living world and the environment with a view to improving the quality of life and health and addressing environmental problems.

Creating a user-friendly information society: to develop and use the technologies needed to fully realise the potential of the information society, thus opening up the possibility of a wide range of activities for both individuals and companies of the Community, in the fields of trade, work, transport, environment, education and training, health and culture.

Promoting competitive and sustainable growth: to produce and disseminate the knowledge and technologies needed to design and develop processes and produce "clean", high-quality products that will be competitive on tomorrow's market; such development will also extend to the fields of transport and energy. This goes hand in hand with the activities in the field of nuclear energy set out in the 5th Framework Programme of the European Atomic Energy Community (EAEC).

Confirming the international role of Community research: to contribute to the implementation of the Community's external policy, especially towards the Central and Eastern European accession candidates, and also to help the Community establish industrial co-operation and open up new markets.

Innovation and participation of SMEs: to promote and facilitate the exploitation of research results and foster the creation of innovative enterprises; to provide small and medium-sized enterprises with easy access to the advanced technologies which they need, and to the possibilities offered by the Community's research programmes.

Improving human potential: to preserve and help develop the Community's knowledge potential through greater support for the training and mobility of researchers, through better use of research infrastructure and through the mobilisation of social and economic science in order to identify economic and social trends and needs, both current and future.

The 5th Framework Programme will be organised on the basis of "key actions", activities for research and development of generic technologies, activities in support of research infrastructures and actions undertaken in the context of activities II, III and IV of the Treaty (including specific activities and co-ordination activities), with the aim of ensuring the consistency of equivalent activities carried out under the specific programmes in the context of the first activity of the Treaty.

The Joint Research Centre is the scientific and technical body which the Commission needs to perform the tasks that it is empowered to conduct. The scientific and technological objectives of its activities are located more especially in areas requiring impartial and independent expertise at a European level and in areas related to the objectives of the Community's main policies.

Target population of this operation: enterprises (in particular SMEs), research centres and universities.

### 9.2 Justification of the operation

Under Article 130f of the EC Treaty, by this new action the Community will continue to strengthen the scientific and technological bases of Community industry and encourage it to become more competitive at international level, and to promote all the research activities deemed necessary by virtue of other chapters of the Treaty.

This continuation is proposed following an assessment, in line with the SEM 2000 initiative, of the actions of the past five years. Over 170 independent experts were involved in this assessment, which was carried out during the second half of 1996 and the beginning of 1997.

The findings of the assessment are that overall the programmes have achieved their objectives, notably in financing a range of high-quality actions. On a global level, therefore, the Framework Programme has a significant impact on research activities in the Member States, and fosters the development of a very large number of cross-border collaborative networks.

It was also highlighted, however, in the conclusions of the five-year assessment panel, that the Framework Programme has been transformed over the years into a general framework for a range of activities on topics which are too numerous and too dispersed, and that it needs to be adapted to the reality of social, economic and scientific developments. There is therefore need to concentrate the means available on a more limited number of themes with clearly-defined objectives, and of a fundamentally socio-economic nature.

This Proposal for a new operation has followed the above recommendation, notably in proposing that efforts be concentrated on six major themes (see item 9.1).

### **9.3 Monitoring and evaluation of the operation**

The form and frequency of the process of evaluation will be such as to enable the Commission to respond to the requirements under Article 5 of the 5th Framework Programme and to evaluate the specific programmes.

The Commission will examine each year, with the help of appropriately qualified independent experts, the implementation of the Framework Programme, in the light of the criteria set out in particular in Annex I of the 5th Framework Programme. It will assess, in particular, whether the objectives, priorities and financial resources are still appropriate to the changing situation. Where appropriate, it will submit proposals to adapt or supplement the Framework Programme.

In addition, before submitting its proposal for a 6th Framework Programme, the Commission will have an external assessment conducted by high-level independent experts on the management of, and progress made in, Community actions carried out during the five years preceding the assessment, in the light of the criteria set out in particular in Annex I of the 5th Framework Programme. The Commission will communicate the conclusions of this assessment, accompanied by its comments, to the European Parliament, the Council, the Economic and Social Council and the Committee of the Regions.

### **9.4 Coherence with financial programming**

Annual appropriations will be authorised by the Budgetary Authority within the limits of the financial perspective and subject to the overall maximum amount provided for in the EC Treaty for the Framework Programme, i.e. ECU 14.833 Million.

## **10. ADMINISTRATIVE EXPENDITURE**

In the spirit of lean management of resources, staff costs and administrative expenses will be closely scrutinised in the light of the new structure of the 5th Framework Programme. This examination will take place when the Decisions adopting the specific programmes implementing the 5th Framework Programme are being taken.

## FINANCIAL STATEMENT

### 1. TITLE OF THE OPERATION

Proposal for a Council Decision concerning the Fifth Framework Programme of the European Atomic Energy Community (EURATOM) for research and training activities (1998-2002), hereinafter referred to as "the 5th Framework Programme".

### 2. BUDGET HEADING CONCERNED

Sub-section B6

### 3. LEGAL BASIS

Article 7 of the EAEC Treaty

### 4. DESCRIPTION OF THE OPERATION

#### 4.1 General Objective of the Operation

Research in the field of nuclear energy by the European Atomic Energy Community (EAEC) must reflect the need to develop safe and acceptable energy systems that respect environmental standards and are competitive in terms of production costs, the general objective being to make an important contribution to the policy of diversifying energy supply, particularly in developing the safety and security of nuclear energy systems with a view to strengthening, in the short and medium term, the Community's industrial competitiveness.

#### 4.2 Period covered

1998 - 2002

The arrangements for renewal of the operation are linked to those of the research and training programmes provided for in Article 7 of the EAEC Treaty.

### 5. CLASSIFICATION OF THE EXPENDITURE AND REVENUE

5.1 NCE

5.2 DA

5.3 Type of revenue involved:

Associated States may contribute to the financing of the 5th Framework Programme.

In accordance with Articles 92 and 96 of the Financial Regulation, the JRC may benefit from revenue from various types of competitive activities or from other services provided for outside bodies.

In accordance with Article 27 of the Financial Regulation, certain revenue may be available for re-use.

### 6. TYPE OF EXPENDITURE OR REVENUE

The European Atomic Energy Community will contribute financially to research activities, including demonstration activities, and training activities, hereinafter referred to as "indirect RTDT actions"; in addition, it will carry out directly research activities and training activities, hereinafter referred to as "direct RTDT actions".

## 1. Indirect RTDT actions

The indirect RTDT actions will comprise five categories: shared-cost actions, training fellowships, support for networks, concerted actions and accompanying measures. Shared-cost actions will be the main mechanism for implementing the programmes. The rate of financial participation by the Community in these actions will be as follows:

### a) Shared-cost actions

*- Research and technological development projects, demonstration projects, integrated projects:*

Research and technological development projects will be financed in principle *at a level of 50% of the eligible costs*. In the special case of legal entities which do not keep analytical accounts, *the eligible additional costs generated as a result of the research will be financed 100%*.

Demonstration projects (projects designed to prove the technical viability of technologies and which cannot be commercialised directly) will be financed in principle *at a level of 35% of the eligible costs*.

Integrated projects (projects with both a research and technological development component and a demonstration component) will be financed *at a level corresponding to the weighted average of the levels applicable to the two components*.

*- Support for access to research infrastructures:*

The Community funding granted as a contribution towards the optimum utilisation of infrastructures will be *up to 100% of the additional eligible costs* connected with receiving teams of EURATOM researchers and making the facility available.

### b) Training fellowships:

Community funding will cover *up to 100% of the eligible costs* of the fellowship and a contribution to the eligible costs of the host institution when it is located in the Community.

### c) Support for networks:

Community funding will cover *up to 100% of the additional eligible costs* of co-ordinating and implementing the thematic networks and *up to 100% of the additional eligible costs* connected with setting up and maintaining the research training networks.

### d) Concerted actions:

Community funding will cover *up to 100% of the additional eligible costs* connected with concertation.

### e) Accompanying measures:

Community funding may be *up to 100% of the eligible costs of the measures*.

In the Decisions adopting the specific programmes implementing the 5th Framework Programme there can be no derogations from the financial participation rates set above, with the exception of duly justified special cases for the activity concerned. The Decisions may spell out in more detail the indirect RTDT actions described above, supplement them or subject them to additional conditions or limitations.

## 2. Direct RTDT actions

The direct RTDT actions to be carried by the Joint Research Centre (JRC) will comprise research activities of an institutional character and scientific and technical support activities of an

institutional character. The Community funding will normally be 100% of the costs of the direct RTDT action.

3. The rules for participation by the Community in the JET Joint Undertaking, ITER activities, Contracts of Association and in certain tasks which can only be performed by industry will be specified in the corresponding research and training programme.

## 7. FINANCIAL IMPACT

### 7.1 Method of calculating total cost of operation

The 5th Framework Programme fixes the reference amount. This amount covers the financing of research activities, staff costs and administrative expenditure.

### 7.2 Itemised breakdown of cost

<b>Indirect actions</b>	Fusion + Fission	1141 MECU
<b>Direct actions</b>	JCR	326 MECU
	<b>REFERENCE AMOUNT</b>	<b>1467 MECU*</b>

\* As an indication, the maximum overall amount of the 5th Framework Programme of the European Community will be ECU 14 833 Million. The total for the 1998-2002 Framework Programmes will be ECU 16 300 Million.

### 7.3 Indicative schedule of appropriations

The effective implementation of the 5th Framework Programme requires a scheduling of the funds available for each year. In the following table the funds for each year in the period 1998-2002 are shown (the definitive amounts will be fixed by the Budgetary Authority).

YEAR	REAL AMOUNTS
	1998-2002 (MECU CURRENT PRICES) 5th Framework Programme
1998	P.M.
1999	324
2000	360
2001	387
2002	396
<b>TOTAL 1998-2002</b>	<b>1467 MECU*</b>

\* As an indication, the maximum overall amount of the 5th Framework Programme of the European Community will be ECU 14 833 Million. The total for the 1998-2002 Framework Programmes will be ECU 16 300 Million.

## 8. ANTI-FRAUD MEASURES PLANNED UNDER THE OPERATION

There is a whole range of administrative and financial checks at all stages of the procedure for awarding and executing research contracts, including the following:

- Prior to conclusion of the contract:
  - ◊ Initial selection of proposals on the basis of the scientific value of the project and of an assessment as to whether the research costs quoted are realistic in relation to the nature of the research, its duration and its potential impact;
  - ◊ Analysis of the financial data transmitted by the proposers on the contract negotiation form;
- After the contract has been signed:
  - ◊ Scrutiny of statements of expenditure prior to payment, carried out at two levels (by the scientific officer and the financial officer);
  - ◊ Internal audit by the Financial Controller;
  - ◊ On-the-spot checks enabling the detection of errors or other irregularities through an examination of the supporting documents. In order to make these checks more effective, the Commission's services have set up an audit unit which coordinates all the checks performed. These checks are either carried out by members of the audit unit or entrusted to auditing companies with which the Commission has concluded contracts, under the supervision of officials from the audit unit;
  - ◊ Surprise inspection by the Commission's Financial Controller and by the Court of Auditors of the European Union.

## 9. BASIS OF COST-EFFECTIVENESS ANALYSIS

### 9.1 Specific and quantifiable objectives; target population

In order to achieve the general objective as stated in point 4.1 above, the 5th Framework Programme will be implemented by research and training programmes of both a thematic and horizontal nature (co-operation with third States and international organisations, dissemination and optimisation of the results, stimulation of training and of the mobility of EURATOM researchers).

Activities undertaken in research and training programmes in the field of nuclear energy supplement the activities of the key-action "Competitive and sustainable growth: advanced energy systems and services" as well as the generic activities of the thematic programme "Promoting competitive and sustainable growth", as set out in the Proposal for a Fifth Framework Programme of the European Community. Their specific objectives are the creation of prototype reactors which would be the forerunners for power stations and which would meet the needs of society (operational safety, environmental compatibility, economic viability), and the safety and security in nuclear energy systems, particularly with a view to the emerging export markets.

As far as the thematic aspects are concerned, the Framework Programme is centred around a "key action", "general activities for research and development of generic technologies" and "activities in support of research infrastructures". The horizontal aspects include activities linked to the general objectives of the Community's policy with regard to external relations, innovation and human resources.

The Joint Research Centre is the scientific and technical body which the Commission needs to perform the tasks that it is empowered to conduct. The scientific and technological objectives of its activities are located more especially in areas requiring impartial and independent expertise at a European level and in areas related to the objectives of the Community's main policies.

Target population of this operation: enterprises, research centres and universities.

## **9.2 Justification of the operation**

Under the EAEC Treaty, by this new action the Community will continue, through the implementation of research and training programmes, to supplement actions undertaken in the Member States in the nuclear field.

This continuation is proposed following an assessment, in line with the SEM 2000 initiative, of the actions of the past five years. The assessment was carried out during the second half of 1996 and the beginning of 1997.

The findings of the assessment are that overall the programmes have achieved their objectives, notably in financing a range of high-quality actions. On a global level, therefore, the Framework Programme has a significant impact on research activities in the Member States, and fosters the development of a very large number of cross-border collaborative networks.

## **9.3 Monitoring and evaluation of the operation**

The form and frequency of the process of evaluation will be such as to enable the Commission to respond to the requirements under Article 5 of the 5th Framework Programme and to evaluate the research and training programmes.

The Commission will examine each year, with the help of appropriately qualified independent experts, the implementation of the Framework Programme, in the light of the criteria set out in particular in Annex I of the 5th Framework Programme. It will assess, in particular, whether the objectives, priorities and financial resources are still appropriate to the changing situation. Where appropriate, it will submit proposals to adapt or supplement the Framework Programme.

In addition, before submitting its proposal for a 6th Framework Programme, the Commission will have an external assessment conducted by high-level independent experts on the implementation of activities (controlled thermonuclear fusion and energy systems related to nuclear fission) carried out during the five years preceding that assessment, in the light of the criteria set out in particular in Annex I of the 5th Framework Programme. The Commission will communicate the conclusions of this assessment, accompanied by its comments, to the European Parliament, the Council and the Economic and Social Council.

## **9.4 Coherence with financial programming**

The financial reference amount for implementation of the 5th Framework Programme will be ECU 1 467 Million. Annual appropriations will be authorised by the Budgetary Authority within the limits of the financial perspective.

# **10. ADMINISTRATIVE EXPENDITURE**

In the spirit of lean management of resources, staff costs and administrative expenses will be closely scrutinised in the light of the new structure of the 5th Framework Programme. This examination will take place when the Decisions adopting the research and training programmes implementing the 5th Framework Programme are being taken.

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