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**PRESS MATERIAL**  
for the signing of the  
**Science and Technology Agreement**  
and the  
demonstration of the  
**Transatlantic Information Exchange Service**

**Blair House**  
**December 5, 1997**  
**Washington, D.C.**



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# Signing of the U.S.-EU Science and Technology Agreement

Joint Statement released upon the signing of the agreement  
Washington, DC, December 5, 1997

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The United States and the European Union signed the U.S.-EU Science and Technology Agreement on Friday, December 5, prior to the opening of the U.S.-EU Summit in Washington, DC. Acting Secretary of State Strobe Talbott signed for the U.S., and President of the Council of the EU, Jacques Poos, and Vice President of the European Commission, Sir Leon Brittan, signed for the EU.

The U.S.-EU S&T Agreement is a key instrument for advancing the New Transatlantic Agenda (NTA) goal of expanding U.S.-European scientific cooperation across the Atlantic. In fact, the signing is the realization of the commitment made by both sides in 1995 to conclude an agreement by 1997 under the mandate obtained by Mrs. Edith Cresson, Commissioner responsible for research, innovation, education, training, and youth, and Stuart Eizenstat, currently the Under Secretary of State for Economic, Business and Agricultural Affairs and former U.S. Ambassador to the EU in Brussels. It will serve as a broad framework for cooperation, enabling some of our most distinguished scientists and best research institutions to collaborate on a wider range of scientific endeavors and initiate new joint programs. In addition, the agreement establishes a common ground for handling the allocation and protection of intellectual property rights (IPR) resulting from joint research.

Based on the principles of mutual benefit, reciprocal opportunities for cooperation and equitable and fair treatment, the Agreement should help researchers and institutions on both sides, including subsidiaries of both European and American companies, to work more closely in a wide variety of research areas. The Agreement will extend and strengthen the conduct of cooperative activities between EU scientific institutions and a range of U.S. government agencies, including Commerce, Agriculture, Energy, Transportation, the National Science Foundation (NSF), Environmental Protection Agency (EPA), NASA, and the National Institutes of Health (NIH). The Agreement encourages cooperation in areas where the U.S. and the EU are doing some of the most advanced research in the world: environment, agriculture, information and communications technologies, biomedicine, health, and manufacturing processes. Finally, cooperation will take place on a reciprocal basis in each party's research activities and could take the form of joint research projects, task forces, and studies, as well as the joint organization of scientific seminars, the training of scientists and technical experts, the exchange or sharing of equipment and materials, visits and exchanges of scientific personnel and information sharing.

The Agreement provides for the monitoring of activities and the deepening of government-to-government cooperation through regular high-level meetings of the Joint Consultative Group (JCG), established in Article 6 of the Agreement. The Agreement is valid for 5-year periods and may be extended in additional 5-year increments by mutual consent of the parties.

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# U.S.-European Union Science and Technology Agreement

Signed at the U.S.-EU Summit  
Washington, DC, December 5, 1997

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## AGREEMENT

### for Scientific and Technological Cooperation Between the European Community and the Government of the United States of America

THE EUROPEAN COMMUNITY (hereinafter "the Community"), of the one part, and

THE GOVERNMENT OF THE UNITED STATES OF AMERICA, of the other part, hereinafter referred to as the "Parties";

CONSIDERING the importance of science and technology for their economic and social development;

RECOGNIZING that the Community, hereinafter referred to as "the Community", and the Government of the United States of America are pursuing research and technological activities in a number of areas of common interest, and that participation in each other's research and development activities on a basis of reciprocity will provide mutual benefits;

HAVING REGARD to the Declaration on US-EC Relations of November 23, 1990 and the New Transatlantic Agenda and the Joint US-EC Action Plan adopted in Madrid on December 3, 1995;

DESIRING to establish a formal basis for cooperation in scientific and technological research which will extend and strengthen the conduct of cooperative activities in areas of common interest and encourage the application of the results of such cooperation to their economic and social benefit;

HAVE AGREED AS FOLLOWS:

#### ARTICLE 1

##### Purpose

The Parties shall encourage, develop and facilitate cooperative activities in fields of common interest where they are pursuing research and development activities in science and technology.

#### ARTICLE 2

##### Definitions

For the purposes of this Agreement:

- (a) "Cooperative activity" means any activity which the Parties undertake, or support, pursuant to this Agreement, and includes joint research;
- (b) "Information" means scientific or technical data, results or methods of research and

development stemming from joint research, and any other data relating to cooperative activities;

(c) "Intellectual Property" shall have the meaning defined in Article 2 of the Convention establishing the World Intellectual Property Organization, done at Stockholm, 14 July 1967;

(d) "Joint research" means research that is implemented with financial support from one or both Parties and that involves collaboration by participants from both the Community and the United States of America, and is designated as joint research in writing by the Parties or their scientific and technological organizations and agencies, or in the case where there is funding by only one Party, by that Party and the participants in that project;

(e) "Participants" means any individual or entity, including inter alia, the Parties' scientific and technological organizations and agencies, private persons, undertakings, research centres, universities, subsidiaries of European and U.S. entities, or any other form of legal entity involved in cooperative activities.

### ARTICLE 3

#### Principles

Cooperative activities shall be conducted on the basis of the following principles:

- (a) Mutual benefit based on an overall balance of advantages;
- (b) Reciprocal opportunities to engage in cooperative activities;
- (c) Equitable and fair treatment;
- (d) Timely exchange of information which may affect cooperative activities.

### ARTICLE 4

#### Areas of cooperative activities

(a) Sectors for cooperative activities are:

environment (including climate research);  
biomedicine and health (including research on AIDS, infectious diseases and drug abuse);  
agriculture;  
fisheries science;  
engineering research;  
non-nuclear energy;  
natural resources;  
materials sciences and metrology;  
information and communication technologies;  
telematics;  
biotechnology;  
marine sciences and technology;  
social sciences research;  
transportation;  
science and technology policy, management, training and mobility of scientists;

(b) The Parties may modify this list upon recommendation by the Joint Consultative Group mentioned in Article 6, in accordance with procedures in force for each Party.

(c) The Parties may jointly pursue cooperative activities with third parties.

## ARTICLE 5

### Forms of cooperative activities

(a) Subject to applicable laws, regulations and policies, the Parties shall foster, to the fullest extent practicable, the involvement of participants in cooperative activities under this Agreement with a view to providing comparable opportunities for participation in their scientific and technological research and development activities.

(b) Cooperative activities may take the following forms:

1. coordinated research projects and joint research projects;
2. joint task forces;
3. joint studies;
4. joint organization of scientific seminars, conferences, symposia and workshops;
5. training of scientists and technical experts;
6. exchanges or sharing of equipment and materials;
7. visits and exchanges of scientists, engineers or other appropriate personnel;
8. exchanges of scientific and technological information as well as on practices, laws, regulations and programmes relevant to cooperation under this Agreement.

Where appropriate, such cooperative activities shall take place pursuant to implementing arrangements concluded between the Parties' executive agents, or their scientific and technological organizations and agencies. These arrangements may describe the nature and the duration of cooperation for a specific area or purpose, treatment of intellectual property as provided for in the Annex, funding, allocation of costs, and other relevant matters.

## ARTICLE 6

### Coordination and Facilitation of Cooperative Activities

(a) The coordination and facilitation of cooperative activities under this Agreement shall be accomplished on behalf of the Government of the United States of America by the Department of State and on behalf of the Community by the European Commission, acting as Executive Agents.

(b) The Executive Agents shall establish a Joint Consultative Group (hereinafter referred to as the "JCG") for the oversight of scientific and technological cooperation under this Agreement. The JCG shall consist of a limited equal number of official representatives of each Party.

(c) The JCG may hold consultations on general science and technology issues; exchange information; establish task forces and working groups as appropriate; consult experts as appropriate and needed; and otherwise work to increase mutual understanding of the Parties' activities and programmes related to science and technology.

(d) The functions of the JCG shall include:

1. overseeing and recommending activities under the Agreement;

2. making recommendations pursuant to Article 4 (b);
  3. advising the Parties on ways to enhance cooperation consistent with the principles set out in this Agreement;
  4. annually providing a report on the status and effectiveness of cooperation undertaken under this Agreement;
  5. reviewing the efficient and effective functioning of the Agreement.
- (e) The JCG shall meet annually, unless otherwise agreed by the Parties. Meetings should be held alternately in the Community and the United States of America. The JCG shall establish its own rules of procedure, subject to approval by the Parties.
- (f) Decisions of the JCG shall be reached by consensus. Minutes, comprising a record of the decisions and principal points discussed, shall be taken at each meeting. These minutes shall be agreed upon by those persons selected from each side to jointly chair the meetings.

## **ARTICLE 7**

### Funding and Legal Considerations

- (a) Cooperative activities shall be subject to the availability of appropriated funds and to the applicable laws and regulations, policies and programs of the Community and the United States of America.
- (b) Each Party shall bear the costs of discharging its responsibilities under this Agreement, including costs of participation in meetings of the JCG. However, costs, other than those for travel and accommodation, which are directly associated with meetings of the JCG, shall be borne by the host Party.

## **ARTICLE 8**

### Entry of Personnel and Equipment

Each Party shall take all reasonable steps and use its best efforts, within applicable laws and regulations, to facilitate entry to and exit from its territory of persons, material, data and equipment involved in or used in cooperative activities under this Agreement.

## **ARTICLE 9**

### Treatment of Intellectual Property

The allocation and protection of intellectual property rights under this Agreement shall be in accordance with the provisions of the Annex, which forms an integral part of this Agreement.

## **ARTICLE 10**

### Other Agreements and Transitional Provisions

- (a) The Parties shall endeavour, where appropriate, to bring under the terms of this Agreement new arrangements for scientific and technological cooperation between the Community and the Government of the United States of America that fall under the scope of Article 4.
- (b) This Agreement is without prejudice to rights and obligations under other agreements

between the Parties and any agreement or arrangement between either of the Parties and non-participant third parties, including agreements or arrangements between their scientific and technological organizations or agencies and a Member State of the Community.

## ARTICLE 11

### Territorial Application

This Agreement shall apply, on the one hand to the territories in which the Treaty establishing the European Community is applied and under the conditions laid down in that Treaty, and on the other hand to the territory of the United States of America. This shall not prevent the conduct of cooperative activities on the high seas, outer space, or the territory of third countries, in accordance with international law.

## ARTICLE 12

### Entry into Force, Termination and Dispute Settlement

- (a) This Agreement shall enter into force on the date on which the Parties have notified each other in writing that their respective internal procedures necessary for its entry into force have been completed.
- (b) This Agreement is concluded for an initial period of five years. Subject to review by the Parties in the final year of each successive period, the Agreement may be extended, with possible amendments, thereafter for additional periods of five years by mutual written agreement between the Parties.
- (c) This Agreement may be terminated at any time by either Party upon six months' written notice. The expiration or termination of this Agreement shall not affect the validity or duration of any arrangements made under it, or any specific rights and obligations that have accrued in compliance with the Annex.
- (d) This Agreement may be amended by agreement of the Parties. Amendments shall enter into force on the date on which the Parties have notified each other in writing that their respective internal procedures necessary for amending this Agreement have been completed.
- (e) All questions or disputes related to the interpretation or implementation of this Agreement shall be settled by mutual agreement of the Parties.

## ARTICLE 13

This Agreement is signed in duplicate in the Danish, Dutch, English, Finnish, French, German, Greek, Italian, Portuguese, Spanish, and Swedish languages, each of these texts being equally authentic.

## ANNEX I - INTELLECTUAL PROPERTY

Pursuant to Article 9 of this Agreement;

The Parties shall ensure adequate and effective protection of intellectual property created or furnished under this Agreement and relevant implementing arrangements. The Parties agree to notify one another in a timely fashion of any inventions or copyrighted works arising under this Agreement and to seek protection for such intellectual property in a timely fashion. Rights to such intellectual property shall be allocated as provided in this Annex.

### I. SCOPE

A. This Annex is applicable to all cooperative activities undertaken by the Parties or their participants pursuant to this Agreement, except as otherwise specifically agreed by the Parties.

B. For purposes of this Agreement, "intellectual property" shall have the meaning found in Article 2 of the Convention Establishing the World Intellectual Property Organization, done at Stockholm, July 14, 1967.

C. This Annex addresses the allocation of rights, interests, and royalties between the Parties or their participants. Each Party shall ensure that the other Party or its participants can obtain the rights to intellectual property allocated in accordance with the Annex. This Annex does not otherwise alter or prejudice the allocation between a Party and its nationals, which shall be determined by that Party's laws and practices.

D. Disputes concerning intellectual property arising under this Agreement should be resolved through discussions between the relevant participants, or, if necessary, the Parties. Upon mutual agreement of the Parties, the participants may submit a dispute to an arbitral tribunal for binding arbitration. Unless the participants agree otherwise in writing, the arbitration rules of UNCITRAL shall govern.

E. Termination or expiration of this Agreement shall not affect rights or obligations under this Annex.

## II. ALLOCATION OF RIGHTS

A. Each Party shall be entitled to a non-exclusive, irrevocable, royalty-free license in all countries to reproduce, publicly distribute and translate scientific and technical journal articles, non-proprietary scientific reports, and books directly arising from cooperation under this Agreement. All publicly distributed copies of a copyrighted work prepared under this provision shall indicate the names of the authors of the work unless an author explicitly declines to be named. Each Party or its participants shall have the right to review a translation prior to public distribution.

B. Rights to all forms of intellectual property, other than those rights described in paragraph II(A) above, shall be allocated as follows:

1. Visiting researchers, for example, scientists visiting primarily in furtherance of their education, shall receive intellectual property rights under arrangements with their host institutions. In addition, each visiting researcher named as an inventor shall be entitled to treatment as a national of the host country with regard to awards, bonuses, benefits, or any other rewards, in accordance with the policies of the host institution.

2. (a) For intellectual property which is or may be created during joint research, the Parties or their participants shall jointly develop a technology management plan. The technology management plan shall consider the relative contributions of the Parties and their participants, the benefits of licensing by territory or for fields of use, requirements imposed by the Parties' domestic laws, and other factors deemed appropriate.

(b) If the parties or their participants did not agree to a joint technology management plan in the initial research cooperation agreement and cannot reach an agreement within a reasonable time, not to exceed six months, from the time a Party becomes aware of the creation or likely creation of the intellectual property as a result of the joint research in question, the Parties or their participants shall resolve the matter in accordance with the provisions of paragraph I (D). Pending resolution of the matter, such intellectual property shall be owned jointly by the Parties or their participants, but shall be commercially exploited (including product development) only by mutual agreement.

(c) "Joint research" means research that is implemented with financial support from one or both Parties and that involves collaboration by participants from both the Community and the United States of America, and is designated as joint research in writing by the Parties or their scientific and technological organizations and agencies, or in the case where there is funding by only one Party, by that Party and the participants in that project.

(d) In the event that either Party believes that a particular joint research project under this Agreement has led or will lead to the creation or furnishing of a type of intellectual property that it protects but is not protected throughout the territory of the other Party, the Parties shall immediately hold discussions to determine the allocation of the rights to the said intellectual property. The joint activities in question will be suspended during the discussions, unless otherwise agreed by the Parties thereto. If no agreement can be reached within a three month period from the date of the request for discussions, cooperation on the project in question will be suspended or terminated at the request of either Party.

### III. PROPRIETARY INFORMATION

In the event that information identified in a timely fashion as proprietary is furnished or created under the Agreement, each Party and its participants shall protect such information in accordance with applicable laws, regulations, and administrative practice. Without prior written consent, none of the Parties shall disclose any proprietary information except to employees, government personnel, and prime and subcontractors. Such disclosures shall be for use only within the terms of their permits or licenses with the Parties or the scope of work of their contracts with the Parties and in work relating to the subject matter of the information so disseminated. The Parties shall impose, or shall have imposed, through appropriate arrangements such as research contracts, grant documents, technology management plans, etc., an obligation on all participants receiving such information to keep it confidential.

If one of the Parties becomes aware that, under its laws or regulations, it will be, or may reasonably be expected to become, unable to meet the non-disclosure provisions, it shall immediately inform the other Party. The Parties shall thereafter consult to define an appropriate course of action. Information may be identified as proprietary if it is secret in the sense that it is not, as a body or in the precise configuration or assembly of its components, generally known or readily accessible by lawful means; has actual or potential commercial value by virtue of its secrecy; has been subject to steps that were reasonable under the circumstances by the person lawfully in control, to maintain its secrecy; and not already in the possession of the recipient without an obligation concerning its confidentiality.

#### Statement on plant and animal varieties

(for signature by U.S.)

Dear

With reference to the agreement concluded between the European Community and the United States of America on scientific and technological cooperation and its annex on intellectual property rights, I wish to note the following:

It is the understanding of the Government of the United States of America that joint research that might lead to the creation of inventions in the areas of plant or animal varieties or essentially biological processes for the production of plants or animals will not be conducted until such inventions are protected throughout the territory of both Parties.

I would appreciate if you would confirm by return letter that the understanding of your authorities is the same as ours.

Sincerely,

Statement on plant and animal varieties

(for signature by EU)

Dear

With reference to your letter of *(fill in the date)*, which reads as follows:

"With reference to the agreement concluded between the European Community and the United States of America on scientific and technological cooperation and its annex on intellectual property rights, I wish to note the following:

It is the understanding of the Government of the United States of America that joint research that might lead to the creation of inventions in the areas of plant or animal varieties or essentially biological processes for the production of plants or animals will not be conducted until such inventions are protected throughout the territory of both Parties."

I am pleased to confirm that the understanding of my authorities is the same as that stated in your letter.

Sincerely,

Statement of Clarification of the Agreement

(for signature by U.S.)

Dear

With reference to the Agreement concluded between the European Community and the United States of America on scientific and technological cooperation and its annex on intellectual property rights, I wish to confirm on behalf of my authorities that our joint understanding is as follows:

It is the intention of the Parties to expand significantly cooperative activities between their respective scientific and technological organizations and agencies as well as private participants. Both Parties anticipate a substantial and timely exchange of information on the opportunities for cooperative activities to facilitate this expansion.

It is understood that the provisions of the Agreement will apply to a cooperative activity, which may include joint research projects and other specific activities noted in Article 5 of the Agreement, only when both sides give their assent.

In order to ensure the timely initiation of cooperative activities, the assent of the Parties can be reflected in a variety of ways, including in a call for proposals, an exchange of letters, a memorandum of understanding, or grant documents.

When applying the principle of equitable and fair treatment to the initiation and conduct of cooperative activities under the Agreement, each Party expects that the opportunities it provides to the other Party's entities, including their subsidiaries, in its own scientific and technological activities will be taken into account by the other Party.

When reviewing the efficient and effective functioning of the Agreement, the Parties will consider, when appropriate, ways to enhance cooperation consistent with the principles upon which this cooperation is based.

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When applying the principle of equitable and fair treatment to the initiation and conduct of cooperative activities under the Agreement, each Party expects that the opportunities it provides to the other Party's entities, including their subsidiaries, in its own scientific and technological activities will be taken into account by the other Party." When reviewing the efficient and effective functioning of the Agreement, the Parties will consider, when appropriate, ways to enhance cooperation consistent with the principles upon which this cooperation is based.

I am pleased to confirm that the understanding of my authorities is the same as that stated in your letter.

Sincerely,

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## EU Transatlantic Information Exchange Service Project

Fact Sheet released by the Bureau of European and Canadian Affairs,  
December 5, 1997

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The Transatlantic Information Exchange Service (TIES) project was introduced December 5, 1997, at the US-EU Summit. TIES is an Internet-based project developed as part of the New Transatlantic Agenda (NTA) initiative to build and strengthen "people to-people" contacts between Americans and Europeans. TIES brings together thousands of websites across Europe and the United States and will serve as a central location where citizens on both sides of the Atlantic can go to build professional and educational networks, to develop ideas and pursue joint projects, and to located official information about the United States and the European Union.

TIES also represents a unique collaboration between government and non-governmental organizations. Conceived of at the US-EU Bridging the Atlantic Conference in May 1997, TIES is operated by a governing board that includes representatives of private industry, academia, the NGO community, and governments. TIES demonstrates our commitment to put current technology to work to enhance international opportunities for American and European citizens and organizations.

Those wishing to explore the TIES prototype homepage can find it at  
<http://www.tiesnet.org/projectroom>.

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