

COMMISSION OF THE EUROPEAN COMMUNITIES

COM(90) 679 final - SYN 258

Brussels, 14 December 1990

Amendment to the proposal for a

COUNCIL DECISION

concerning a specific programme of research and technological development

in the field of Information Technology

(1990-1994)

(presented by the Commission pursuant to Article 149(3)
of the EEC-Treaty)

EXPLANATORY NOTE

The Commission presented its initial proposal for a Council Decision adopting a Specific Programme of Research and Technological Development in the field of Information Technology (1990-1994) on 23rd May 1990, COM(90) 153 final - SYN 258.

The Parliament gave its opinion in first reading on 12th December 1990 (PV n° 147.263). The Commission, having accepted the following amendments in the plenary, modifies its initial proposal by means of the present document: nos. 1 (in part), 2, 3, 4, 5, 6, 7, 9, 10, 11 (in part), 14, 15, 16, 17, 18, 19, 20, 21, 22, 23, 24, 25, 26, 27, 28, 31, 33, 35, 38, 39, 41, 44, 58 and 59.

Amendments 40, 45, and 46 are acceptable in a modified form. The principle of amendment 50 is being taken up in part in a new recital.

The following amendments are not retained: nos. 8, 12, 13, 29, 30, 32, 34, 36, 42, 43, 47, 54 and 57.

Amendments 12 and 13 relate to the type of committee that should assist the Commission in the management of the Programme. A type IIIa Management Committee is appropriate for the Specific Programme of Research and Technological Development in the field of Information Technology.

On modalities of implementation, amendments 1 (in part), 8, 32, 36, 43, 54 and 57 are not acceptable, either legally or politically. The implementation of amendment 36 would be very difficult to justify and to verify.

Amendments 29 and 30 focus on the indicative breakdown of expenditures. Amendment 29 changes the indicative breakdown of expenditures in favour of microelectronics. This proposal would unbalance the Programme, and is not acceptable. Amendment 30 foresees amending the Framework Programme to increase funding for IT to compensate for the relative increase in weight for microelectronics proposed in amendment 29. It is not acceptable to amend the Framework Programme at this stage.

Amendment 34 foresees a reduction to 30% funding for "particularly close to market" projects or project clusters in the area of Advanced Business and Home Systems. The amendment is not acceptable.

Amendment 42 foresees the transmission of a Vade-Mecum on the exceptional procedure to the Parliament before the Programme is adopted. This Vade-Mecum will be made available on adoption of the Programme.

Text proposed by the Commission

Text amended by Parliament

(Amendment No. 1)

Fourth recital

Whereas, pursuant to Article 4 and Annex I of Decision 90/221/EURATOM, EEC, the amount deemed necessary for the whole framework programme includes an amount of 57 million ECU for the centralized dissemination and exploitation of results, to be divided up in proportion to the amount envisaged for each activity; whereas in view of the importance of this specific programme within the information and communications technologies action the estimate of the financial resources needed by this programme is to be reduced by 13.52 million ECU, which amount is to be allocated to the centralized activities, in order to comply with the second sentence of Article 130p(2) of the Treaty;

Whereas, pursuant to Article 4 and Annex I of Decision 90/221/EURATOM, EEC, the amount deemed necessary for the whole framework programme includes an amount deemed necessary of 57 million ECU

for the centralized dissemination and exploitation of results, to be divided up in proportion to the amount envisaged for each activity; whereas in view of the importance of this specific programme within the information and communications technologies action the estimate of the financial resources needed by this programme is to be reduced by 13.52 million ECU, which amount is to be allocated to the centralized activities, in order to comply with the second sentence of Article 130p(2) of the Treaty;

Text proposed by the Commission

Text amended by Parliament

(Amendment No. 2)

New recital 4a

Whereas, in addition to the specific programme on human capital and mobility, training of researchers in the various activities of the programme must be ensured;

Text proposed by the Commission

Text amended by Parliament

(Amendment No. 3)

New recital 4b

Whereas the implications for society of projects and project clusters must be investigated in the form of technological impact and risk assessments that are integral components of the projects and project clusters concerned. Steps must be taken to ensure that assessments are carried out independently.

Text proposed by the Commission

Text amended by Parliament

(Amendment No. 4)

Recital 6

Whereas this programme must be implemented essentially by the selection of research and development projects to enable them to benefit from Community participation; whereas the Commission should encourage the submission of such projects by the usual means of publishing calls for proposals in the Official Journal; whereas a special procedure should also be devised so as to maintain a degree of flexibility enabling the Commission, in the face of the continuous evolution and gradual acceleration of technological progress, also to take into consideration spontaneous proposals consistent with the objectives of the programme;

Whereas this programme must be implemented essentially by the selection of research and development projects to enable them to benefit from Community participation; whereas the Commission should encourage the submission of such projects by the usual means of publishing calls for proposals in the Official Journal; whereas an exceptional procedure should also be devised so as to come into effect between calls for proposals and so as to maintain a degree of flexibility enabling the Commission, in the face of the continuous evolution and gradual acceleration of technological progress, also to take into consideration spontaneous proposals consistent with the objectives of the programme;

Text proposed by the Commission

Text amended

New recital 6a

Whereas support for the international competitiveness of European industry through Community research and technological development programmes, is linked with the Community's external relations policy based on the principle of "the global equilibrium of opportunities" and that it is also in the light of this policy that the participation of non-Community European companies must be considered.

Text proposed by the Commission

Text amended by Parliament

(Amendment No. 5)

Recital 7a (new)

Whereas Regional, Social and
Structural Fund measures and the
specific programmes must be
coordinated by the Commission and
the relevant national authorities;

Text proposed by the Commission

Text amended by Parliament

(Amendment No. 6)

Ninth recital, first sentence

Whereas, in accordance with Article 130g of the Treaty, the Community's activities aimed at strengthening the scientific and technological basis of European industry and encouraging it to become more competitive include promoting cooperation on research and technological development with third countries and international organizations; whereas such cooperation may prove particularly beneficial for the development of this programme;

Whereas, in accordance with Article 130g of the Treaty, the Community's activities aimed at strengthening the scientific and technological basis of European industry and encouraging it to become more competitive include promoting cooperation on research and technological development with third countries, in particular the countries of Central and Eastern Europe, and international organizations; whereas such cooperation may prove particularly beneficial for the development of this programme;

Text proposed by the Commission

Text amended by Parliament

(Amendment No. 7)

Article 1

A specific research and technological development programme for the European Economic Community in the field of information technology, as defined in Annex I, is hereby adopted for a period of five years as from 1 January 1990;

A specific research and technological development programme for the European Economic Community in the field of information technology, as defined in Annex I, is hereby adopted for the period from the date of publication of this decision in the Official Journal to 31 December 1994.

Text proposed by the Commission

Text amended by Parliament

(Amendment No. 9)
Article 5(1)

1. During 1992 the Commission shall review the programme and address a report on the results of the review to the Council and the European Parliament,

1. During 1992 the Commission shall review the programme and address a report on the results of the review to the Council and the European Parliament and on the prospects for the specific programme beyond 1994,

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Text proposed by the Commission

Text amended by Parliament

(Amendment No. 10)
Article 5(3)

3. The reports shall be drawn up having regard to the objectives set out in Annex I to this Decision and in accordance with Article 2(4) of Decision 90/221/Euratom, EEC.

3. The reports shall be drawn up having regard to the objectives set out in Annex I to this decision, in conformity with the provisions of Article 2(4) of Decision 90/221/Euratom, EEC, and shall assess the coherence of the programme's measurable implementation with the six major concerns set out in Annex II of Council Decision 90/221/Euratom, EEC.

Text proposed by the Commission

Text amended by Parliament

(Amendment No. 11)

Article 6

1. The Commission shall assure the implementation of the programme. It shall be assisted by a Committee, hereinafter referred to as 'the Committee', composed of representatives of the Member States, and chaired by a Commission representative.

2. The contracts concluded by the Commission shall govern the rights and obligations of each party, inducing the procedures for disseminating, protecting and exploiting the research results, in accordance with the arrangements adopted pursuant to the second paragraph of Article 130k of the Treaty.

3. A work programme for each year shall be drawn up and updated where necessary. It shall set out the detailed objectives and types of projects to be undertaken, and the financial arrangements to be made for them.

2. The contracts concluded by the Commission shall govern the rights and obligations of each party, inducing the procedures for disseminating, protecting and exploiting the research results, in accordance with the arrangements adopted pursuant to the second paragraph of Article 130k of the Treaty and, where appropriate, procedures for training and evaluation

3. A work programme shall be drawn up at the start of the programme and shall be regularly revised. It shall set out the detailed objectives and types of projects to be undertaken, and the financial arrangements to be made for them.

Text proposed by the Commission

Text amended by Parliament

(Amendment No. 14)
Article 10

Where co-operation with third countries and international organizations in pursuing the objectives of this programme requires legal undertakings between the Community and the third parties concerned, the Commission shall be authorized to negotiate, in accordance with Article 130n of the Treaty, international agreements establishing the arrangements for such co-operation.

The decision on the conclusion of such agreements shall be adopted in accordance with the procedure described in Article 130q(2) of the Treaty.

Where co-operation with third countries and international organizations in pursuing the objectives of this programme requires legal undertakings between the Community and the third parties concerned, the Commission shall be authorized to negotiate, in accordance with Article 130n of the Treaty, international agreements establishing the arrangements for such co-operation.

Priority will also be given to co-operation with EFTA countries and European countries not members of the European Community and in accordance with the guidelines agreed between the Council of Ministers and the European Parliament¹.

The negotiations for such international agreements may only be initiated with third countries who are already signatories of an Agreement with the Community which explicitly cites research and technological development or scientific progress as one of the objectives of cooperation.

The decision on the conclusion of such international agreements shall be adopted in accordance with the procedure described in Article 130q(2) of the Treaty.

¹ Drawn up during the conciliation on the Framework Programme for Community activities in research and technological development 1990-1994

Text proposed by the Commission

Text amended by Parliament

(Amendment No. 15)

Annex I

Scientific and technical objectives and content,
third sentence

They include acquisition of information both within the programme and from the IT Community at large, as well as measures to create awareness of opportunities and availability of results, and to develop synergies between participants and with the IT Community at large.

They include acquisition of information both within the programme and from the IT Community at large, programme-related training measures to increase skill levels of researchers and engineers, as well as measures to create awareness of opportunities and availability of results, including standardization-oriented results, and to develop synergies between participants and with the IT Community at large.

(Amendment No. 16)
Annex I, Area 1 (Microelectronics),
first paragraph (new)

In microelectronics, which provides the technology foundation for information technology and telecommunications, the three main strategic actions will be to:

- contribute to the strengthening of a European technology base on which future manufacturing capability of a broad range of leading-edge ICs can be based. This will be done by stimulating the exploitation, and building on and extending the work which has been performed in the previous phases of ESPRIT and in the national programmes. Strategic work on submicron CMOS technologies will be carried out in conjunction with the Joint European Submicron Silicon project (JESSI);
- strengthen the capabilities in the Community with respect to the chain of designing, manufacturing, testing and applying advanced and reliable integrated circuits;
- draw on all resources available, ensuring wide participation of the largest number of potential actors (large and small industries, both producers and users, universities and research centres) in the Community.

Text proposed by the Commission

Text amended by Parliament

(Amendment No. 17)

Annex I, Area 1, first paragraph

Emphasis will be on Application Specific Integrated Circuits (ASICs), including notably multi-function circuits, high speed circuits, optoelectronic circuits, advanced power circuits ('smart power'), new equipment, manufacturing technology and materials for integrated circuits and, in conjunction with other initiatives in the Community such as the joint European Submicron Silicon project (JESSI), the advanced technologies linked to submicron silicon.

Emphasis will be on Application Specific Integrated Circuits (ASICs), including notably multi-function circuits, high speed circuits, optoelectronic circuits, advanced power circuits ('smart power'), new equipment, manufacturing technology and materials for advanced circuits.

Text proposed by the Commission

Text amended by Parliament

(Amendment No. 18)
Annex I, Area 1, sixth paragraph
third sentence

Work on high-density integrated circuits will be carried out in conjunction with JESSI.

Work on high-density integrated circuits will be carried out in conjunction with JESSI, taking into consideration the different research activity characteristics performed by Community programmes and EUREKA, the need to avoid overlaps, and the need to safeguard the cohesion requirements and subsidiarity principle.

Text proposed by the Commission

Text amended by Parliament

(Amendment No. 19)

Annex I, Area I, ninth paragraph
first and second sentences

Technology transfer, training and other accompanying measures will be undertaken where there is a specific need for action; special emphasis will be put on prenormative work on a standard CAD framework with interfaces allowing for an effective integration of CAD systems. Measures to tackle specific skills deficits that can only be addressed in cooperation with industry (for instance, those that require access to industrial facilities) will be undertaken. Measures to promote uptake of ASIC technology in innovative products, especially by small and medium-sized enterprises (SMEs), will also be undertaken.

The longer-term, most innovative aspects of the work in microelectronics will be carried out taking into account the achievements and the objectives of the basic research area, thus securing overall coherence in this sector, within the programme.

Technology transfer, training and other accompanying measures will be undertaken where there is a specific need for action to establish closer links and access to sources of IC supply in Europe. In particular a set of measures will be established, building on the achievements of projects addressing ASICs and bringing coherence to initiatives undertaken to provide support and stimulation for small and medium-sized enterprises in the use of microelectronics; specific skills deficits that can only be addressed in cooperation with industry (for instance, those that require access to industrial facilities) will be tackled.

Text proposed by the Commission

Text amended by Parliament

(Amendment No. 20)

Annex I, Area 2: Information Processing Systems and Software.
first paragraph, seventh and eighth sentences

Operating systems allowing information sharing between existing systems and newly emerging parallel operating systems will be addressed. Technical and scientific workstations with very high performance will be based on parallel architectures.

Operating systems allowing information sharing between existing systems and newly emerging parallel operating systems, and languages will be addressed. Enabling research for high-performance technical and scientific workstations based on parallel architectures will be performed. Together with the substantial increases in computing power, there is a need to manage and process great increases in the volume of information currently available. Current data management technologies are estimated to be able to cope with only 5% of the information available to the average organization, yet information is increasingly an organization's most critical asset. New technologies based on a convergence of knowledge-based techniques and highly parallel architectures are needed. These must deal with volumes and data rates several orders of magnitude greater than those currently managed. The ranges of data types and media should be substantially increased.

Text proposed by the Commission

Text amended by Parliament

(Amendment No. 21)

Annex I, Area 2, second paragraph

Add to last sentence

Such interfaces will employ not only conventional techniques with improved integration but increasingly the understanding of direct speech, the use of animated graphics and the introduction of new techniques of interaction using movement and gesture. Furthermore, systems are increasingly required to interact with their external environment in a fully automatic manner via vision, acoustic and other sensory elements. The need for automatic inspection and scene interpretation is growing rapidly and covers applications ranging from improved industrial robotics, through environmental monitoring to medical imaging. Of particular relevance are architectures that will include a range of sensory devices, cope with an increasing range of signal types and rates and deal with real-time interpretation.

Text proposed by the Commission

Text amended by Parliament

(Amendment No. 22)
Annex I, Area 2, third paragraph
Third and fourth sentences

Tools and methods to support systems integration and to increase software productivity will be enhanced where significant progress can be expected. The work will build on existing or emerging standards.

Tools and methods to support systems integration and to increase software productivity will be enhanced where significant progress can be expected, for instance in real-time applications. The work will build on existing or emerging standards and aim at harmonizing European activities.

Text proposed by the Commission

Text amended by Parliament

(Amendment No. 23)

Annex I, Area 3: Advanced Business and Home Systems; peripherals
first paragraph, third sentence (new)

In this area in particular, impact
on society and on the individual
must be an integral component of
research and development and taken
account of accordingly.

Text proposed by the Commission

Text amended by Parliament

(Amendment No. 24)

Annex I, Area 3, third paragraph, from second sentence

It includes the integration of mobile terminals into business information systems. In this context, systems for cooperative work play an important role. They allow cooperation through the provision of, e.g., the following facilities: cooperative writing, file processing, project management, decision making, informal interaction, problem definition and conferencing. The improvement of working conditions and job-level qualifications are of major concern.

It includes the integration of mobile terminals into business information systems, where close links need to be established with the work undertaken in the specific programmes on communication technologies and telematic systems. In this context, systems for cooperative work play an important role. They allow cooperation through the provision of, e.g., the following facilities: cooperative writing, file processing, project management, decision making, informal interaction, problem definition and conferencing. Another strategically important research direction is open systems for the integration of heterogeneous software components supporting different applications, including multimedia systems. The improvement of working conditions and job-level qualifications are of major concern.

Text proposed by the Commission

Text amended by Parliament

(Amendment No. 25)

Annex I, Area 3, sixth paragraph

The peripherals technology activities include R & D aspects of specific peripheral technologies for printers, displays, input and storage devices. Special emphasis will be put on flat panel display technologies, magneto-optical storage systems, non-impact printing technologies, and scanning technologies.

The peripherals technology activities will focus on selected areas where there are routes to exploitation and where there is a chance of industrial viability. The work will include R & D aspects of specific peripheral technologies for future generations of peripherals. Special emphasis will be put on flat panel display technologies, magneto-optical storage systems, non-impact printing technologies, and scanning technologies.

Text proposed by the Commission

Text amended by Parliament

(Amendment No. 26)

Annex I, Area 5: Basic research
first paragraph, first indent

- their potential to produce future breakthroughs or important advances even if they have no immediately visible application,

- their potential to produce future breakthroughs or important advances even if they have no immediately visible application; particular emphasis will be given to topics which are expected to have long-term industrial potential.

Text proposed by the Commission

Text amended by Parliament

(Amendment No. 27)

Annex I, Area 5, third paragraph, second sentence

Therefore the logical and algebraic foundations of computer science will be addressed providing the necessary framework for the development of concurrent systems, specification and verification techniques, as well as the next generation of programming languages and algorithms.

Therefore the logical and algebraic foundations of computer science will be addressed providing the necessary framework for the development of concurrent systems, efficient parallel and sequential algorithms, specification and verification techniques, as well as the next generation of programming languages and algorithms.

Text proposed by the Commission

Text amended by Parliament

(Amendment No. 28)

Annex I, Area 5, final paragraph, second and third sentences

Both technology transfer and training demand the emergence of European centres of excellence in different areas of IT. Basic research is uniquely positioned to play an important role in meeting this demand by acting as a catalyst for the emergence of such centres of excellence.

Both technology transfer and training demand the emergence of European networks of excellence in different areas of IT. Basic research is uniquely positioned to play an important role in meeting this demand by acting as a catalyst for the emergence of such networks of excellence.

Text proposed by the Commission

Text amended by Parliament

(Amendment No. 31)

Annex II, last paragraph b (new)

In areas 1 to 4, at least 5% of appropriations shall be used for the training of researchers.

Text proposed by the Commission

Text amended by Parliament

(Amendment No. 33)

Annex III

Point 2, fourth paragraph

The concerted actions shall be as defined in the Financial Regulation.

The concerted actions shall be as defined in Article 92 of the Financial Regulation.

Text proposed by the Commission

Text amended by Parliament

(Amendment No. 35)

Annex III

Point 3, paragraph 1, first sentence

The participants in the projects must be natural or legal persons established in the Community¹, such as universities, research organizations and industrial firms, including small and medium-sized enterprises, or associations thereof, in particular European Economic Interest Groupings (EEIGs)

The participants in the projects must be natural or legal persons established in the Community¹, such as universities, research organizations and industrial firms, including small and medium-sized enterprises, or associations thereof, for example European Economic Interest Groupings (EEIGs).

¹ For the purposes of this programme the European Centre for Nuclear Research (CERN), whose headquarters are in Geneva and most of whose installations are on Community territory, may be a party to the contracts

Text proposed by the Commission

Text amended by Parliament

(Amendment No. 38)

Annex III

Point 3, second paragraph

Natural or legal persons established in countries which have concluded co-operation agreements on scientific and technical research with the Community may, on the principle of mutual benefit, participate in the projects undertaken in the framework of this programme. Such contracting parties will not benefit from Community financing. They will contribute to the general administrative costs.

Natural or legal persons established in countries which have concluded co-operation agreements on scientific and technical research with the Community may, on the principle of mutual benefit, participate in the projects undertaken in the framework of this programme. Such contracting parties will not benefit from Community financing under the Framework Programme. They will contribute to the general administrative costs.

Text proposed by the Commission

Text amended by Parliament

(Amendment No. 39)

Annex III

Point 3, add to second paragraph

Central and Eastern European organizations may be exempted from mandatory cost-sharing. They may furthermore benefit from Community funding, provided that monies for this are made available from special programmes (e.g. PHARE).

Text proposed by the Commission

Text amended by Parliament

(Amendment No. 40)

Annex III

Point 4, paragraph 2a (new)

Where other criteria of scientific excellence are satisfied, and in accordance with the guidelines agreed between Council and the European Parliament, in the case of a number of project proposals of equal scientific value, preference shall be given:

(i) to project proposals whose implementation involves project participants in less-developed regions and/or regions in industrial decline as defined by Articles 8 and 9 of Council Regulation EEC No. 2052/88

(ii) to project proposals involving small and medium-sized enterprises or an association of such enterprises.

The Commission shall determine in each case whether the management of the programme, or parts thereof, can be undertaken by organizations or institutions outside the Commission without delegating its decision-making powers.

(modified)

(Amendment No. 41)

Annex III

Point 4, fifth and sixth paragraphs

The exceptional procedure must be completed before the ordinary procedure in such a way that the available amount for the Community's financial participation in projects retained by the ordinary procedure can be determined precisely. The closing date for the exceptional procedure shall be published each year in the Official Journal.

The amount of the financial participation of the Community for all the projects retained by the exceptional procedure will be decided each year, in relation to the projects selected according to particularly strict criteria of excellence. In any case this amount may not exceed 15%; it may be revised each year in the light of experience.

The exceptional procedure shall take effect after the first call for proposals and must be completed before the ordinary procedure in such a way that the available amount for the Community's financial participation in projects retained by the ordinary procedure can be determined precisely. The closing date for the exceptional procedure shall be published each year in the Official Journal.

The amount of the financial participation of the Community for all the projects retained by the exceptional procedure will be decided each year, in relation to the projects selected according to particularly strict criteria of excellence. In any case this amount may not exceed 10% of the annual budget appropriation; it may be revised after two years in the light of experience.

Text proposed by the Commission

Text amended by Parliament

(Amendment No 44)

Annex III

Point 5, add

Except in connection with projects relating to the area of basic research, these two partners should, as a rule, be industrial firms.

Text proposed by the Commission

Text amended by Parliament

(Amendment No. 45)

Annex III

Point 7

7. The knowledge acquired during the course of the projects shall be disseminated on the one hand within the specific programme and on the other hand by means of a centralized activity, pursuant to the decision referred to in the third paragraph of Article 4 in Decision 90/221/Euratom, EEC.

7. To take due account of the impact on society and on the individual of the measures under this programme, the Commission shall apply the following procedure:

- When calls are made for projects/project clusters, proposers shall be required to take account, in their proposals, of social impact and to indicate the relevant accompanying research that has been carried out in this regard;

- When projects are selected, special importance shall be attached to these factors;

(modified)

- The activities concerned, in both the projects or project clusters and accompanying studies, shall be funded from the monies made available in connection with the exceptional procedure, accounting for 0.8 to 3.5% of the total for the programme.

Text proposed by the Commission

Text amended by Parliament

(Amendment No 46)

Annex III

Point 8 (new)

(modified)

8. With a view to establishing synergy, there shall be close interaction with the specific programme on human capital and mobility, in particular with respect to the activities undertaken in area 5 referred to in Annex I.

Text proposed by the Commission

Text amended by Parliament

(Amendment No. 58)

Article 8(1), second indent

- evaluation of the projects referred to in point 2 of Annex III, as well as the estimated amount of the Community's financial contribution when these projects are submitted through the ordinary procedure referred to in point 4 of Annex III and the above-mentioned amount is more than 5 million ecus;

- evaluation of the projects referred to in point 2 of Annex III, as well as the estimated amount of the Community's financial contribution when these projects are submitted through the ordinary procedure referred to in point 4 of Annex III and the above-mentioned amount is more than 1 million ecus per year;

Text proposed by the Commission

Text amended by Parliament

(Amendment No. 59)
Article 8(3), third indent

- projects, referred to in point 2 of Annex III, submitted through the ordinary procedure, for which the Community contribution is less than 5 million ecus, and the results of their evaluation;

- projects, referred to in point 2 of Annex III, submitted through the ordinary procedure, for which the Community contribution is less than 1 million ecus per year, and the results of their evaluation;

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