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Proposal for a

COUNCIL DECISION

on the dissemination and exploitation of knowledge resulting from the
specific programmes of research and technological development of
the Community

(presented by the Commission)

COM(90) 611 final

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EXPLANATORY STATEMENT

1. Science and technology play a dominant role in today's world and influence the economic and social environment. Research is, moreover, becoming a subject of study, and an interdisciplinary approach to its functioning shows great promise.
2. In this context, dissemination and exploitation activities - situated as they are at the interface between research and economic and social life - are assuming an increasing importance which is reflected in the third framework programme.

The legal basis:

3. Article 130 G(c) of the Treaty states that the Community may carry out dissemination and exploitation activities to complement the activities carried out in the Member States.
4. The present proposal is also based on Council Decision 90/221/Euratom, EEC concerning the third framework programme, the third paragraph of Article 4 of which states that "The detailed arrangements for the dissemination and exploitation of the knowledge gained, in particular the definition and implementation of the centralized action, shall be the subject of a Council Decision".
5. In accordance with this Article, the proposal relates to the definition and implementation of the centralized action on the one hand, and to the general arrangements for dissemination and exploitation of the knowledge on the other.
6. The amount deemed necessary for the centralized action is ECU 57 million, this amount being levied proportionally on each of the actions under the framework programme, as laid down in Annex I of the third framework programme.

General arrangements for dissemination and exploitation

7. The arrangements for disseminating the knowledge resulting from the specific programmes must be cohesive and must be based on the rules which guarantee the protection of the legitimate interests of the contracting parties and of the rights linked to the obtaining and exploitation of the results.
8. The general provisions described in Article 7 of this proposal lay down the rules to which the actions for the dissemination and exploitation of the knowledge are subject. These concern, in particular, protection of intellectual and industrial rights, the arrangements for the dissemination of knowledge and the conditions for exploitation of the knowledge, in conformity with the Communities' interests, in particular with respect to its economic and social cohesion.

Definition and Implementation of the centralized action

9. The general aim of the centralized action is to give a specific added value to the RTD activities which are the subject of the third framework programme. The centralized action, while providing the necessary continuity for some of the measures carried out under the VALUE programme, must not be considered simply as an extension of the programme.
10. In fact, it introduces a new component relating, in particular, to the impact of RTD activities and their results on the social fabric. While intensifying its activities relating to the research/industry interface, it will at the same time extend them to the research/scientific community and research/society interfaces.
11. The content of the centralized action is defined in Annex I to the proposal for a Decision and comprises three main fields. The "research/industry" interface aims to help to improve the international competitiveness of European industry, providing for new channels of information for companies, and in particular the setting-up of a network of relay stations, and measures for the utilization, protection and promotion of the results of RTD. The research/scientific community interface aims to encourage an interdisciplinary review of research as a subject of study from four angles - institutions, communications, economics and management of research. The research/society interface aims to measure and analyse the impact on society of the scientific and technical knowledge resulting from Community RTD activities. It comprises three parts: evaluation of the social impact, communication with the public, and analysis of public demand and new requirements.
12. Implementation of the centralized action should, moreover, be based on three principles - a principle of horizontality, which is inherent in the content of the action and places it amongst the activities designed to come up with scenarios and strategies for future research, a principle of internal complementarity in relation to the knowledge dissemination measures taken under each specific programme, and a principle of subsidiarity based on cooperation both with other Community programmes (regional development programmes, SPRINT) and with the national and regional authorities responsible.

Decision requested of the Council

The Commission requests the Council to adopt the proposal for a Decision on the dissemination and exploitation of knowledge resulting from the specific research and technological development programmes.

Proposal for a Council Decision on the dissemination and exploitation of knowledge resulting from the specific programmes of research and technological development of the Community

COM(90) 611 final — SYN 323

(Submitted by the Commission on 17 December 1990)

(91/C 53/05)

THE COUNCIL OF THE EUROPEAN COMMUNITIES,

Having regard to the Treaty establishing the European Economic Community, and in particular Article 130q (2) thereof,

Having regard to the proposal from the Commission,

In cooperation with the European Parliament,

Having regard to the opinion of the Economic and Social Committee,

Whereas Article 130g (c) of the Treaty states that the Community, complementing the activities carried out in the Member States, is to carry out activities for the 'dissemination and optimization of the results of activities in Community research, technological development and demonstration';

Whereas the second paragraph of Article 130k of the Treaty stipulates that the Council shall define the detailed arrangements for the dissemination of knowledge resulting from the specific programmes;

Whereas the Treaty establishing the European Coal and Steel Community stipulates that the Commission is to carry out activities in the Coal and Steel sector which do not form part of the framework programme for research and technological development, the results of which must be disseminated and used by means of suitable separate activities, using the resources of the ECSC 'operating budget';

Whereas by Decision 90/221/Euratom, EEC ⁽¹⁾, the Council adopted a third framework programme for Community activities in the field of research and technological development (1990 to 1994), specifying *inter alia* the activities to be pursued for developing the scientific knowledge and technical know-how needed by the Community, and providing that the detailed arrangements for the dissemination of the knowledge gained, in particular the definition and the implementation of the centralized action, should be the subject of a Council Decision;

Whereas it is necessary to ensure the coherence of schemes for disseminating the knowledge resulting from specific

programmes in the framework programme and whereas such coherence must be based on general rules which guarantee the protection of the legitimate interests of the public and private contracting parties and of the rights linked to the obtaining and exploitation of the results, as well as their exploitation in conformity with the Community's interests, in particular with respect to its economic and social cohesion;

Whereas, in order to improve the insertion of Community research into a broader context and to optimize the utilization of the knowledge which results from it, it is important that the centralized action should both intensify its emphasis on the research-industry interface and widen its scope to the research-science and research-society interfaces;

Whereas an estimate should be made of the amount of Community financial resources needed to carry out this action; whereas the definitive amounts will be fixed by the budgetary authority in line with the financial perspectives covering the period 1988 to 1992 included in the interinstitutional Agreement of 29 June 1988 ⁽²⁾ and with any future financial perspectives covering the period 1993 to 1994;

Whereas the Scientific and Technical Research Committee (Crest) has delivered its opinion,

HAS ADOPTED THIS DECISION:

I. Definition and implementation of the centralized action

Article 1

1. The dissemination and exploitation of knowledge shall be carried out as part of the specific programmes and by means of a centralized action.

2. The centralized action, as defined in Annex I, shall ensure overall coordination and cohesion in the field covered by the framework programme. It is adopted for the period between the date of publication in the Official Journal of the First Decision adopting a specific programme under the framework programme (1990 to 1994) and 31 December 1994.

⁽¹⁾ OJ No L 117, 8. 5. 1990, p. 28.

⁽²⁾ OJ No L 185, 15. 7. 1988, p. 33.

Article 2

1. The amount of Community expenditure deriving from the levies on the sums considered necessary for the specific programmes, with a view to the implementation of the centralized action established by this Decision, is estimated at ECU 57 million.

The amount includes staff costs, which may amount to a maximum of 6%. An indicative breakdown of expenditure is set out in Annex II.

2. Should the Council take a decision in implementation of Article 1 (4) of Decision 90/221/Euratom, EEC, this Decision shall be adapted to take account of the abovementioned Council Decision.

3. The budgetary authority shall decide on the appropriations available for each financial year.

Article 3

1. Before the end of 1992 the Commission shall review the action and address a report on the results of the review to the Council and the European Parliament, together with proposals for any necessary changes.

2. At the end of the action the Commission shall assess the results obtained. It shall address a report thereon to the Council and the European Parliament.

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

Article 4

The Commission shall be responsible for the execution of the action. It shall be assisted by a committee of an advisory nature, hereinafter referred to as 'the Committee', composed of the representatives of the Member States and chaired by the representative of the Commission.

Article 5

1. In the cases referred to in Article 6 (1), the representative of the Commission shall submit to the Committee a draft of the measures to be taken. The Committee shall deliver its opinion on the draft within a time limit which the Chairman may lay down according to the urgency of the matter, if necessary by taking a vote.

2. The opinion shall be recorded in the minutes; in addition, each Member State shall have the right to ask to have its position recorded in the minutes.

3. The Commission shall take the utmost account of the opinion delivered by the Committee. It shall inform the Committee of the manner in which its opinion has been taken into account.

Article 6

1. The procedure laid down in Article 5 shall apply to:

- the evaluation of the projects proposed, as well as the estimated amount of the Community's financial contribution,
- the definition of the confidentiality criteria applicable to the dissemination of the results,
- the precise implementing arrangements resulting from agreements concluded with non-Community countries,
- measures for evaluating the action.

2. The Commission may consult the Committee on any matter falling within the scope of the action.

II. General provisions*Article 7*

1. The dissemination and exploitation of knowledge resulting from the Community's specific research and technological development programmes shall be subject to the following rules:

- (a) The knowledge resulting from work undertaken directly or financed wholly by the Community shall be the property of the Community.

That resulting from work under a shared-cost contract shall be the property of the contractors who carry out the work.

- (b) Knowledge which could be used in an industrial application, if its nature justifies such a measure, shall be protected to the extent required in the light of the interests of the Community and its co-contractors and in accordance with any applicable legislation or conventions.

- (c) The Community and its co-contractors shall exploit the knowledge in their possession, or have it exploited, in conformity with the Community's interests, and taking full account of the objective of strengthening economic and social cohesion in the Community.

- (d) Knowledge belonging to the Community shall be made available to its co-contractors and to interested third parties established in the Community who can prove that they need the knowledge and who undertake to exploit it or have it exploited in conformity with the Community's interests. Such provision of knowledge may be subject to appropriate conditions, particularly concerning the payment of fees.

All contractors shall make the knowledge in their possession, together with any information necessary for

its use, available to the co-contractors and to interested third parties who satisfy contractually defined conditions.

- (e) The Commission shall ensure that knowledge suitable for dissemination is disseminated or published either by the Commission itself or by its co-contractors, without any restrictions other than those imposed by the need to

safeguard intellectual property, confidentiality or legitimate commercial interests.

2. The Commission shall lay down the arrangements for implementing the rules laid down in paragraph 1.

Article 8

This Decision is addressed to the Member States.

ANNEX I

AIMS AND CONTENT

The general aim of the centralized action for the dissemination and exploitation of knowledge resulting from Community research activities, carried out under this programme, is to give specific added value to the R&D activities which are the subject of the third framework programme for 1990 to 1994. On the one hand, it provides the necessary continuity for some of the measures carried out under the Value programme; on the other, it introduces new topics concerned particularly with the repercussions of research and technological development activities and their results on society as a whole.

This centralized action is to be conducted in accordance with the following guiding principles.

(a) *Horizontality*

Measures to publish and utilize research results must apply to the whole range of Community R&D activities, irrespective of the nature of programmes, the persons involved and the administrative authorities responsible. This criterion means that this centralized action is one of a series of horizontal measures including programmes like Monitor which is designed to come up with scenarios and strategies for future research.

(b) *Internal complementarity*

The centralized action does not rule out, in fact to some extent it presupposes, measures taken within each specific programme to promote the dissemination of the results. It supplements and coordinates the measures taken under specific programmes. It also concentrates on activities requiring special infrastructure (computerized information systems, a network of 'relay stations', etc.) or special capabilities for transferring know-how to fields of activity in other disciplines.

(c) *Subsidiarity*

The centralized action takes account of the synergies between decentralized (public and private) and Community R&D activities and is designed, in conjunction with other Community measures (regional development programmes, Sprint), and in cooperation with the national and regional authorities responsible, to establish a single space for the utilization and transfer of the technologies and the know-how obtained from research and technological development.

As far as the content of the present programme is concerned, those measures already launched to forge closer links between research and industry will be supplemented by other new measures designed to forge closer links between research and society and between research and the scientific community. These are measures which reflect the new scientific and technological objectives and constraints set by society and its institutions, and the increasing interest in an interdisciplinary approach to research and technological development activities. At this stage, and now that its activities are more developed, this centralized action will incorporate these new topics into its conceptual and operational framework.

1. **Research — industry interface**

The aim is to help to improve the international competitiveness of Europe's industry in accordance with the provisions of the EEC Treaty by means of specific projects designed to maximize the impact of Community R&D activities on industry as a whole. It is up to companies, first and foremost, to make good use of the results.

Cooperation between universities and industry is encouraged within the framework of specific programmes. The centralized action will help organizations involved in Community R&D projects to protect their findings, but at the same time to exploit and promote them. The following measures are proposed.

A. *New channels of information for companies*

A network of 'relay stations' will be set up to promote Community R&D. This will be done by developing the channels already made available for providing companies with information and for disseminating results. It will provide multifunctional support for the measures planned under the present programme. These relay stations will have special access to Community information and will be able to tailor this information to the various needs which arise at decentralized level. They will also allow companies, particularly small businesses and businesses located in the more peripheral and least favoured areas of the Community, to enter into contact with centres of excellence.

The relay stations will have a role to play both downstream and upstream of specific programmes. Upstream, these relay stations will provide information (by publishing newsletters, translating documents, organizing conferences, etc.), advice and assistance (by helping small businesses to define their Community strategy and to find, and negotiate contracts with, partners). Downstream, they will help with the centralized action to publish and utilize research results consolidating links between the companies and laboratories requiring information at local or national level and the supply of information at Community level (by organizing targeted dissemination projects and information and training campaigns).

The scientific, technical and industrial community will help to select the relay stations in the Member States and to define their specific tasks. In order to make them as dynamic as possible, the quality of information flows will be improved and be made more efficient.

Once the Value programme has been completed, a basic service, Cordis, should become available. As of 1991, the availability of this service can be speeded up by allocating more resources to it within the framework of the centralized action. After 1993, the aim of the centralized action will be to update and add to Cordis data in order to ensure that there is no breakdown in the service. The service will have to provide new functions and continue to expand by including other sources of information. The proposed pattern of development will include: making the service more user-friendly; extending the service by integrating other databases from European bodies or programmes; using electronic storage devices (CD ROM and video discs); developing systems for electronic data exchange between selected users, including the relay stations, which could allow additional information services or special access facilities for certain private data providers.

The development of computerized methods does not exclude the use of more traditional methods like the publication of bulletins and bibliographies which will provide wider access to information services.

B. *Utilization of results*

This action, which was already started in the Value programme, should be extended to the new fields covered by the framework programme and developed in line with the results that become available in the years ahead. This means utilizing the research and development results of which the Community is the owner and, where needed, helping to utilize the results of research and development projects undertaken on a shared-cost basis. In the latter case, the aim will be to help contractors who do not have sufficient expertise, in particular the universities and SMEs, to take advantage of the results of their research and development work.

The work to be undertaken as part of a real Community design engineering service could take different forms depending on each specific case: — identifying, controlling and appraising the results of research in order to develop and target utilization plans, — finding licensees especially for the JRC and, more generally, parties interested in utilizing results, — providing adequate financial support for studies or tests and experimental developments.

This work will be carried out with the help of outside experts and competent organizations in the Member States.

C. *Protection of results*

The protection of results belonging to the Community and management of the patents portfolio that it holds will be continued, as in the past, through systematic examination of the final reports and results obtained by the JRC. The actions described below, which have already been started in the Value programme, will be developed more intensively by the centralized action.

Those universities, research centres and SMEs which do not have a patents department will, on request, be provided with aid by the centralized action. It will supply expertise on patents and financial support limited to the costs of searches for prior claims to novelty and first patent applications.

Public awareness campaigns can also be organized on the importance of protecting results for the research scientists participating in Community R&D programmes.

D. *Promotional activities*

Promotion of the results among the scientific and educational community and in the world of business could take the following form: financial support for organizations making an active contribution to the promotion of results and, in general, for organizations within a transnational network set up in order to facilitate, promote and coordinate access to Community programmes; organization of seminars, conferences and other means of communication, including in association with the respective bodies in the Member States and, in particular with the 'relay stations'; attendance at trade fairs. Specific activities are planned to provide economic and social cohesion in countries where dissemination and utilization structures do not exist or are still in their infancy.

2. **Interface between research and the scientific community**

The objective of the activities under this heading is to contribute to the inter-disciplinary reflection already underway about research, and the methods, problems and position of research in the whole range of human activities. The actions in question open a new chapter on 'research on research'. They will involve inter-disciplinary contributions and will be structured around the four following axes:

A. *Institutions of research*

The aim is to apply the disciplines of law, political sciences, social and human sciences to a series of aspects of R&D. In particular, the following topics will be studied: questions of intellectual property and other civil law and public law aspects; ethics; history and comparative analysis of public and private research structures; international rules on scientific and technological information, especially with regard to the constraints or opportunities for the optimal dissemination and exploitation of knowledge resulting from specific programmes.

B. *Communication of research*

The objective is to apply findings in certain disciplines, such as logic, semiotics, epistemology and cognitive sciences, to the analysis and development of the communication of research. This will involve, in particular: the transfer of scientific and technological know-how to the various classes of user; scientific language in relation to external variables of a socio-cultural nature; the aspects of communication which, by using transcriptional and translational models, allow an interdisciplinary fabric to be constructed which covers the wealth of scientific and technological knowledge.

C. *Economics of research*

Macroeconomic instruments and business sciences must be used to determine the optimum use of resources to be channelled into research as part of general economic development objectives and company objectives. The economic and econometric bases must also be provided for research investment policies, in particular with reference to commitments from the Member States and the Community. Taking account also of studies conducted in other contexts, the cost-benefit aspects of the cycle of research and development, and the economic obstacles to its exploitation, will be examined.

D. *Management of research*

Management studies will help with the organization of research and laboratory management. They can make a contribution to project management, administrative procedures and methods of management. Particular attention will be paid to subjects relating to decentralized management and making more efficient use of human resources in the departments which manage research. Comparative studies will be conducted on the different management models used by university and industrial research institutes.

From an operational point of view, measures to consolidate links between research and the scientific community will take three forms:

- (a) support for studies and research by institutes and academics in the four subject areas described above, usually according to the additional costs formula;
- (b) contributions to studies, monographs, theses and articles, according to special selection procedures;
- (c) contributions to conferences and other academic events.

3. Interface between research and society

This heading covers measures designed to identify and study the impact on society of the new scientific and technological knowledge acquired as a result of Community activities. The aim is to spread scientific know-how widely through Europe. This is a new and essential component of the centralized action, the aim being to make changes in the contemporary approach to science compatible with future plans for our society.

This reflects the more mature and at the same time more critical attitude now being adopted by the public. There is an increasing reluctance to accept implicitly the principle that scientific and technological progress is *a priori* and in every case beneficial to man and society.

The centralized action can help better to direct the Community's R&D policy by paying particular attention to the areas where interaction between science and technology on the one hand and society on the other is particularly critical (or is perceived as such). To this end, it should take its place in an efficient interactive process consisting of the following stages: research, research results, public perception and reaction, assessment of social impact, modification of research activities where necessary. In order to ensure that this procedure works effectively, close links will have to be forged across the board with the specific study programmes developed prior to the policy making process. The centralized action will be in three parts.

A. *Contribution to assessment of the social impact of science and technology*

In conjunction with the more specific activities provided for in the individual specific programmes and with the activities of the Monitor programme, more general 'technology assessment' schemes will be developed. Those areas which will be specially monitored and studied are not only those which relate to the exploitation of new technologies affecting health, safety, and the environment, but also ethical and legal questions relating to the exploitation of results. These studies will be conducted with the help of experts in these various fields while maintaining close contact and dialogue with those who are specifically involved in defining strategies and programmes.

B. *Communication with the public*

Appropriate channels of communication, particularly through the mass media, will be used to provide information for the public. Special use will be made of the relay stations mentioned above. The Member States will be involved with providing information and for coordination between Community, national and regional channels of information.

C. *Analysing public demand and new requirements*

In conjunction with the other programmes concerned, the centralized action will provide studies and surveys designed to identify the latest social needs. Through its direct contact with actual or potential users of the knowledge resulting from R&D programmes, it will offer a rich and varied source of information concerning needs related to the standard of living and the quality of life, as well as in terms of the need to provide greater production and economic opportunities in a coherent Community context.

ANNEX II

INDICATIVE BREAKDOWN OF EXPENDITURE

	<i>as a percentage</i>
Research-industry interface	70/75
Research-scientific community interface	15/12
Research-society interface	15/12
	<u>100/99</u>

The above amounts include administrative and staff costs.

Despite this breakdown into different areas, projects may nevertheless fall under several areas.

Proposal for a Council Directive concerning the minimum requirements for the provision of safety and/or health signs at work

COM(90) 664 final — SYN 322

(Submitted by the Commission on 21 December 1990)

(91/C 53/06)

THE COUNCIL OF THE EUROPEAN COMMUNITIES,

Having regard to the Treaty establishing the European Economic Community, and in particular Article 118a thereof,

Having regard to the proposal from the Commission, which was presented following consultations with the Advisory Committee on Safety, Hygiene and Health Protection at Work,

In cooperation with the European Parliament,

Having regard to the opinion of the Economic and Social Committee,

Whereas Article 118a of the Treaty provides that the Council must adopt, by means of Directives, minimum requirements to encourage improvements especially in the working environment, in order to ensure better protection for the health and safety of workers;

Whereas, under that Article, such Directives must avoid imposing administrative, financial and legal constraints in a way which would hold back the creation and development of small and medium-sized undertakings;

Whereas the Commission communication on its programme concerning safety, hygiene and health at work ⁽¹⁾ provides for a revision and extension of the scope of Council Directive 77/576/EEC of 25 July 1977 on the approximation of the laws, regulations and administrative provisions of the Member States relating to the provision of safety signs at places of work ⁽²⁾, as last amended by Commission Directive 79/640/EEC ⁽³⁾;

Whereas, in its resolution of 21 December 1987 on safety, hygiene, and health at work ⁽⁴⁾, the Council took note of the Commission's intention of submitting to the Council within a short period of time a proposal for revising and extending the abovementioned Directive;

Whereas Directive 77/576/EEC requires substantial amendment and should be redrafted for the sake of consistency and clarity;

Whereas this Directive is an individual Directive within the meaning of Article 16 (1) of Council Directive 89/391/EEC of 12 June 1989 on the introduction of measures to encourage improvements in the safety and health of workers at work ⁽⁵⁾; whereas the provisions of Directive 89/391/EEC therefore apply in full to safety and health signs at work, without prejudice to more stringent and/or specific provisions in this Directive;

Whereas existing Community provisions mainly relate to safety signs and the marking of obstacles and dangerous locations, and are therefore restricted to a limited number of types of signs;

Whereas the effect of this restriction is that some hazards are not appropriately marked and that new types of signs should therefore be introduced in order to provide better protection for the health and safety of workers;

Whereas the many differences between the safety and/or health signs currently in use in the Member States lead to uncertainty, and this may become more widespread with the free movement of workers within the internal market;

Whereas the use of standardized signs at work is, in general, likely to reduce the risks which may arise from linguistic and cultural differences between workers;

Whereas this Directive constitutes a tangible step towards developing the social dimension of the internal market;

Whereas, pursuant to Council Decision 74/325/EEC ⁽⁶⁾, as last amended by the Act of Accession of Spain and Portugal, the Advisory Committee on Safety, Hygiene and Health Protection at Work is consulted by the Commission on the drafting of proposals in this field,

⁽¹⁾ OJ No C 28, 3. 2. 1988, p. 3.

⁽²⁾ OJ No L 229, 7. 9. 1977, p. 12.

⁽³⁾ OJ No L 183, 19. 7. 1979, p. 11.

⁽⁴⁾ OJ No C 28, 3. 2. 1988, p. 1.

⁽⁵⁾ OJ No L 183, 29. 6. 1989, p. 1.

⁽⁶⁾ OJ No L 185, 9. 7. 1974, p. 15.

FINANCIAL STATEMENT

1. Budget heading and title

B 6 - 711

Dissemination and exploitation of knowledge resulting from specific programmes (centralized action).

2. Legal base

Article 130 Q (2) of the Treaty.

3. Objectives and description

See Annex I of the proposal.

4. Financial implications

The Council decision 90/221/Euratom, EEC, relating to the third framework programme, indicates in the article 4 - § 2 that the funds estimated as necessary for the centralized action would amount to ECU 57 million, as detailed in annex I (with proportional deduction on each action).

The indicative internal breakdown is given in Annex II of the proposal.

Indicative multiannual schedules

(in MioECU)	1990	1991	1992	1993	1994(*)	Total
Commitments		11	14	18	14	57
Payments		4	12	18	23	57

(*) for the payment appropriations : 1994 and beyond.

The definitive yearly amounts will be determined by the budgetary authority in accordance with the financial perspectives for the period 1990 - 1992 (annexed to the interinstitutional Agreement of 29 June 1988) and subsequent financial perspectives which may be adopted for 1993 and 1994.

5. Staff and administrative expenditure

These amounts include the staff and administrative expenditure estimated at ECU 9,5 million. The expenditure on staff shall account for a maximum of 6 % of the amount estimated as being necessary for the execution of the centralized action. It should cover the prolongation of the 20 posts appropriated in the Value Programme (9A, 4B, 7C) and the recruitment of 2 new agents of grade A during the term of the action.

ANNEX I I

INDICATIVE BREAKDOWN OF EXPENDITURE

as a percentage

Research-Industry Interface	70-75
Research-scientific community Interface	15-12
Research-society Interface	15-12

The above amounts include administrative and staff costs.

Despite this breakdown into different areas, projects may nevertheless fall under several areas.

6. Implications for revenue

The eventual contributions by third country contractants towards the cost of administration of the programme will be reused in accordance with articles 27.2 and 96 of the Financial Regulation.

7. Types of control

Control will be exercised by :

- the Advisory Committee for the exploitation and dissemination
- the services of the DG responsible for the execution of the programme, possibly assisted by independent experts
- the Commission's Financial Controller.

In accordance with Article 2 of the Financial Regulation (1), the use of appropriations will be subject to analyses of cost-effectiveness and the realization of quantified objectives will be monitored.

External audits may be carried out by the Court of Auditors in accordance with the Treaty.

(1) Financial Regulation of 21 December 1977, as last amended by Regulation 610/90 of 13 March 1990.

IMPACT ON EMPLOYMENT AND COMPETITIVENESS

I- PRINCIPAL REASONS FOR INTRODUCING THE MEASURES

- 1) The present proposal for a Decision on the dissemination and exploitation of the knowledge resulting from the specific programmes is submitted in implementation of the third paragraph of Article 4 of the Council Decision of 23 April 1990, which states:

"The detailed arrangements for the dissemination and exploitation of the knowledge gained, in particular the definition and implementation of the centralized action, shall be the subject of a Council Decision."

- 2) The dissemination and exploitation activity, while strengthening the "research/industry" interface, will contribute directly to an improvement in the international competitiveness of European industry.
- 3) The activities under the centralized action will extend to the research/scientific community and research/society interfaces and will acquire a new dimension with implications for society.

II- CHARACTERISTICS OF THE UNDERTAKINGS CONCERNED

- 1) The centralized action for dissemination and exploitation, the objectives and content of which are described in Annex I to the present proposal for a Decision, covers three fields of action relating to the research/industry, research/scientific community and research/society interfaces.
- 2) The proposal has direct implications for undertakings, since it proposes, in particular:
 - a) to improve information on Community R&D activities aimed at undertakings through a Community electronic information service and a network of relay stations in the Member States;
 - b) to provide assistance to undertakings participating in Community R&D programmes for the dissemination, utilization, protection and promotion of their results;
 - c) to match technology supply to the needs expressed by undertakings and society;
 - d) to promote a review of research from an economic viewpoint, which may be of benefit to undertakings.

- 3) Implementation of the centralized action will also involve various professions and sectors of activity, such as research centres, prominent academics, specialists in communication, publishers, specialists in data processing and telecommunications, legal advisers, experts and consultants in exploitation.

III- WHAT OBLIGATIONS DOES THIS MEASURE IMPOSE DIRECTLY ON UNDERTAKINGS

- 1) The proposal forms part of the administrative principles and procedures (calls for proposals, calls for tenders etc.) governing Community RTD activities.
- 2) Of the criteria likely to be applied, particular attention will be paid to the transnational dimension of the projects and the interdisciplinary aspect of the centralized action.
- 3) Participation in the centralized action imposes few obligations on undertakings, other than completion of a proposal file of several pages and the contractual obligations deriving from shared-cost contracts.

IV- INDIRECT OBLIGATIONS WHICH MIGHT BE IMPOSED BY LOCAL, REGIONAL OR NATIONAL AUTHORITIES

None foreseen.

V- SPECIAL PROVISIONS IN FAVOUR OF SMEs

- 1) The dissemination and exploitation measures will mainly benefit small and medium-sized enterprises, universities and research centres.
- 2) The size of the undertaking may be one of the criteria applied (after qualitative criteria) in granting aid for exploitation.
- 3) Setting up a network of relay stations in the Member States should be of particular benefit to SMEs, not only as regards information, but also because it will enable them to make better use of the technological opportunities resulting from the Community RTD programmes.
- 4) Furthermore, the advisers, experts and consultants participating in implementation of the action usually come from SMEs in the services sector.

VI- PROBABLE EFFECTS

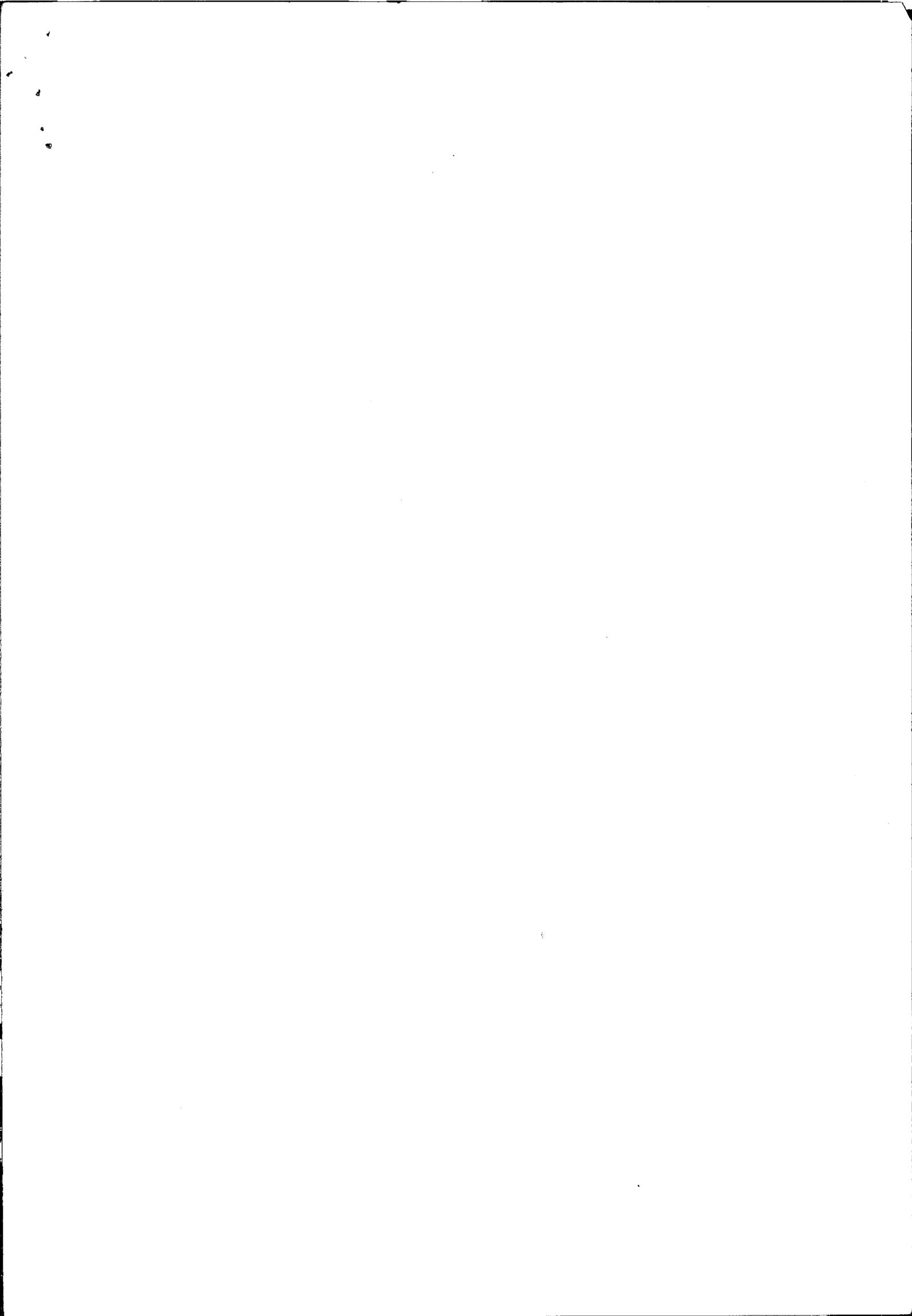
1) On the competitiveness of undertakings

- Improved dissemination and exploitation of the results of RTD are essential in order to strengthen the international competitiveness of European undertakings, especially since they frequently face more difficulties than their American and - particularly - Japanese competitors in converting their results into competitive advantages in the market.
- By extending to the "research/scientific community" and "research/society" interfaces, the centralized action will also make for progress in knowledge of the system of research, methods of communication and management, and the social and economic impact. This progress should have positive indirect effects on the economy as a whole.
- Other effects worthy of mention include the following:
 - . stimulation of technology supply and demand
 - . interregional transfers of technology and knowledge
 - . modernization of the production process of SMEs
 - . a slight, but real possibility of making "breakthrough" discoveries which could produce major benefits for European industry.

On employment

The effects are essentially indirect and difficult to quantify, but overall the strengthening of industry's international competitiveness brought about by this action can only have a positive effect on employment.

In conclusion, this action under the extension of the EEC Treaty (Article 130 G(c)) and Decision 90/221/Euratom, EEC on the third framework programme is indispensable in order to strengthen the research/industry interface, and hence its competitiveness, and to improve the interfaces between research on the one hand, and the scientific community and society on the other.



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