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**R E P O R T**

of the Committee on Energy, Research and Technology

on the proposal from the Commission to the Council for a decision adopting a specific research and technological development programme in the field of Marine Science and Technology (1990-1994)

(COM(90) 159 final - C3-0162/90 - SYN 264)

Rapporteur: Mr Didier ANGER

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*A Series Reports - B series Motions for Resolutions, Oral Questions, Written Declarations, etc - C Series Documents received from other Institutions (e.g. Consultations)*

**\*** = Consultation procedure requiring a single reading

**\*\*II** = Cooperation procedure (second reading) which requires the votes of the majority of the Members of Parliament

**\*\*I** = Cooperation procedure (first reading)

**\*\*\*** = Parliamentary assent which requires the votes of the majority of the current Members of Parliament

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By letter of 11 June 1990 the Council consulted the European Parliament, pursuant to Rule 130q(2) of the EEC Treaty, on the Commission proposal for a Council decision adopting a specific research and technological development programme in the field of Marine Science and Technology (1990-1994).

At the sitting of 15 June 1990, the President of Parliament announced that he had referred this proposal to the Committee on Energy, Research and Technology as the committee responsible and to the Committee on Budgets and the Committee on the Environment, Public Health and Consumer Protection for their opinions.

At its meeting of 22 May 1990 the Committee on Energy, Research and Technology appointed Mr Anger rapporteur.

At its meetings of 27 and 28 September, 16 and 17 October and 6, 7 and 8 October 1990 it considered the Commission proposal and the draft report.

At the last meeting it adopted the draft legislative resolution unanimously.

The following took part in the vote: Sälzer, vice-chairman and acting chairman; Lannoye, vice-chairman; Adam vice-chairman; Anger (rapporteur), Bettini, Chiabrando, Desama, Hervé, Linkohr, Pompidou, Porrazzini, Regge, Rinsche, Sanz Fernandez, Samland (for Schinzel), Seligman, Verwaerde and West.

The opinion of the Committee on Budgets is attached. The opinion of the Committee on the Environment, Public Health and Consumer Protection will be tabled separately.

The report was tabled on 8 November 1990.

The deadline for tabling amendments will appear on the draft agenda of the part-session at which the report is to be considered.

A  
AMENDMENTS

Commission proposal for a Council decision adopting a specific  
research and technological and development programme on  
Marine Science and Technology (1990-1994)

Commission text<sup>1</sup>

Amendments

(Amendment No. 1)  
Third recital a (new)

Whereas fundamental research must be specifically encouraged Community-wide in each of the strategic research sectors of the Framework Programme;

(Amendment No. 2)  
Third recital b (new)

Whereas in addition to the specific programme on human capital and mobility, training of researchers in each of the strategic research sectors of the Framework Programme must be ensured;

(Amendment No. 3)  
Third recital c (new)

Whereas the economic and social (human and environmental) impact of the programme must be assessed by an independent panel, and technology and risk assessment be undertaken;

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<sup>1</sup> For full text see COM(90) 0159 final - OJ No. C 174, 16.7.1990, p. 48

(Amendment No. 4)  
Sixth recital

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 to come into effect between calls for proposals, 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;

(Amendment No. 5)  
Seventh recital

Whereas the projects to be carried out under the programme must be selected with special attention to the principle of economic and social cohesion in the Community, the transnational nature of the projects and the support to be given to small and medium-sized enterprises;

Whereas the projects to be carried out under the programme must be selected with special attention to the principle of economic and social cohesion in the Community, the transnational nature of the projects and the support to be given to small and medium-sized enterprises and to research institutes and universities;

(Amendment No. 6)  
Article 1

A specific research and technological development programme for the European Economic Community in the field of marine science and 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 marine science and 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.

(Amendment No. 7)  
Article 2(1)

1. The Community funds estimated as necessary for the execution of the programme under this Decision amount to 104 million ecus. Of this amount 1.04 million ecus is drawn for the centralized dissemination and exploitation of results. The amount thus reduced to 102.96 million ecus includes staff costs which may not exceed 5%. An indicative breakdown of expenditure is set out in Annex II.

This programme is not intended to replace but to complement the preceding programme.

(Amendment No. 8)  
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 and in accordance with 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<sup>1</sup>.

<sup>1</sup> OJ No. L 117, 8.5.1990

(Amendment No. 9)  
Article 6

1. The Commission shall be responsible for the execution 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 representative of the Commission.

2. The contracts concluded by the Commission shall govern the rights and obligations of each party, including 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. The Commission shall make calls for proposals for projects on the basis of the annual work programmes.

1. The Commission shall be responsible for the execution of the programme. It shall be assisted by a committee, hereinafter referred to as 'the Committee', composed of representatives of the Member States including scientific experts and chaired by a representative of the Commission.

The European Parliament shall be informed of the deliberations of the Committee in a comprehensive and timely manner.

2. The contracts concluded by the Commission shall govern the rights and obligations of each party, including 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. The Commission shall make calls for proposals for projects on the basis of the work programme.

(Amendment No. 10)

Article 7

1. In the cases referred to in Article 8(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 this within a time limit that can be set by the Chairman in accordance with the urgency of the matter. The opinion shall be delivered by the majority provided for in Article 148(2) of the Treaty for the adoption of decisions which the Council is called upon to make on a proposal from the Commission. When voting takes place in the Committee, the votes of the representatives of the Member States shall be weighted as specified in the above-mentioned Article. The Chairman shall not take part in the voting.
2. The Commission shall adopt the measures envisaged when they conform to the opinion of the Committee.
3. When the measures envisaged do not conform to the opinion of the Committee, or when no opinion has been delivered, the Commission shall without delay submit to the Council a proposal on the measures to be taken. The Council shall act by a qualified majority.
4. If the Council has not acted within one month of submission of the proposal, the measures proposed shall be adopted by the Commission.
1. In the cases referred to in Article 8(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 this 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.
4. Delete.



(Amendment No. 11)  
Article 8

1. The procedure laid down in Article 7 shall apply to:

- the preparation and updating of the work programmes referred to in Article 6(3),
- 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 all projects submitted through the exceptional procedure referred to in point 4 of Annex III, as well as the estimated amount of the Community's financial contribution,
- measures for evaluating the programme.

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

3. The Commission shall inform the Committee with regard to:

- the progress of the programme,
- planned calls for proposals, referred to in Article 6(3),
- 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,
- accompanying measures, referred to in point 2 of Annex III,
- concerted actions, referred to in point 2 of Annex III.

1. The procedure laid down in Article 7 shall apply to:

- the preparation and updating of the work programme referred to in Article 6(3),
- the contents of calls for proposals, referred to in Annex III,
- the participation in any project by non-Community organizations and enterprises referred to in Article 10,
- any adaptation of the indicative breakdown of funds set out in Annex II,
- the measures to be undertaken to evaluate the programme and those projects submitted through the exceptional procedure,
- accompanying measures and arrangements for the dissemination, protection and exploitation of the results of the research, for encouraging fundamental research, training of researchers and technological assessment carried out under the programme,
- concerted actions, referred to in point 2 of Annex III.

The Commission will notify the European Parliament of draft decisions which, in the exercise of the Commission's implementing powers, are forwarded to the Committee.

(Amendment No. 12)  
Article 10

Where cooperation 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 for such cooperation.

Where cooperation 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 for such cooperation.

Priority will also be given to cooperation with regional groupings and European countries not members of the European Community and in accordance with the guidelines agreed between the Council and the European Parliament<sup>1</sup>.

The negotiations for such international agreements may only be initiated with third countries which 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 agreements shall be adopted in accordance with the procedure described in Article 130q(2) of the Treaty.

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.

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

(Amendment No. 13)  
Annex I, third paragraph

The intention is to develop certain activities begun under the MAST pilot programme (1989-1992), to introduce new topics and expand the geographical coverage.

The intention is to develop certain activities begun under the MAST pilot programme (1989-1992), to introduce new topics and expand the geographical coverage to take in the north Atlantic, the epicontinental seas and the Arctic seas, even if it is necessary to step up previous action in the Mediterranean.

(Amendment No. 14)  
Annex I, Area 1, second paragraph

Detailed and expanded studies of ocean circulation systems and dynamics of water masses will be carried out in order to determine the water movement and physical processes in European seas and adjacent oceans. Special attention will be paid to the shelf edge. The influence of sea ice on deep water formation and on ocean circulation will be studied.

Detailed and expanded studies of ocean circulation systems and dynamics of water masses will be carried out in order to determine the water movement and physical processes in European seas and adjacent oceans. Special attention will be paid to the shelf edge and to the intertidal zone. The influence of sea ice on deep water formation and on ocean circulation will be studied, as will the effect of the possible melting of ice due to the greenhouse effect on the rise in the sea level, (in connection with the STEP/EPOCH programme).

(Amendment No. 15)  
Annex 1, Area 1, fourth paragraph

Studies will be undertaken to evaluate rates of exchange of substances at interactive sites (e.g. various interfaces: air-sea, sea floor-water column, etc.), particularly during bad weather conditions.

Studies will be undertaken to evaluate rates of exchange of substances at interactive sites (e.g. various interfaces: land-sea, air-sea, sea floor-water column, etc.), particularly during bad weather conditions.

(Amendment No. 16)  
Annex I, Area 1, fifth paragraph

Research will be aimed at deriving mathematical expressions and reliable models for biological processes. Particular attention will be given to projects which examine the link between physico-chemical influences and the corresponding biological responses at all trophic levels.

Research will be aimed at deriving mathematical expressions and reliable models for biological processes and ecosystems, but not under any circumstances to the exclusion of the so-called 'chaotic' or 'neutral' models. All variations of whatever magnitude will be taken into account. Particular attention will be given to projects which examine the link between physico-chemical influences and the corresponding biological responses at all trophic levels.

(Amendment No. 17)  
Annex I, Area 1, eighth paragraph

These activities will involve the Community in on-going international programmes (e.g. World Ocean Circulation Experiment, Joint Global Ocean Flux Studies, etc.), and will contribute to their long term objectives. Work in this area will be carried out in cooperation with related Community programmes on the marine environment (e.g. STEP, EPOCH, FAR, and JRC actions). In marine geosciences, complementarity with the Ocean Drilling Programme will be sought where necessary in order to avoid any overlap of work.

These activities will involve the Community in on-going international programmes (e.g. World Ocean Circulation Experiment, Joint Global Ocean Flux Studies, International Geosphere-Biosphere Programme, etc.), and will contribute to their long term objectives. Work in this area will be carried out in cooperation with related Community programmes on the marine environment (e.g. STEP, EPOCH, FAR, and JRC actions) and, possibly, renewable energy sources (tides, waves, etc.), aquaculture and fisheries, with particular reference, in the case of the latter, to means of avoiding the destruction of species without impairing the industry's efficiency. In marine geosciences, complementarity with the Ocean Drilling Programme will be sought where necessary in order to avoid any overlap of work.

(Amendment No. 18)  
Annex I, Area 2, second paragraph

Research will therefore concentrate on the study of currents, waves, the behaviour of sediments (mobilization, transport, deposition, geotechnical properties), as well as changes in sea floor and coastline morphology. Coastal engineering research will further develop work on the impact of waves and other coastal processes on the stability of breakwaters and other structures. A particular aim is to maintain and promulgate Europe's lead in these fields by formulating European guidelines for coastal engineering. Research to improve beach nourishment schemes will also be undertaken. Synergy with climatology and natural hazards research will be assured.

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(Amendment No. 19)  
Annex I, Area 3, second paragraph

The research will concern the development of new sensors, (quasi) real-time data transmission and two-way communication links. Further work will be aimed at instruments for measuring and sampling in the water column and on and below the sea floor. Research in underwater acoustics will be aimed at self-navigation of vehicles, determination of sea floor properties, acoustic communication, sub-bottom profiling and innovative acoustic measurements in particular. Selective actions in the development of new or improved enabling technologies, e.g. acoustic imaging and optics, will be undertaken. Studies on the identification and exploitation of natural chemical substances in the marine environment, and impact studies on the exploitation of marine mineral resources will also be implemented.

The research will concern the development of new sensors, (quasi) real-time data transmission and two-way communication links. Further work will be aimed at instruments for measuring and sampling in the water column and on and below the sea floor. A better knowledge of the dynamics of the oceanic crust and the mantle will allow improved forecasting of risk of seismic activity. Research in underwater acoustics will be aimed at self-navigation of vehicles, determination of sea floor properties, acoustic communication, sub-bottom profiling and innovative acoustic measurements in particular. Selective actions in the development of new or improved enabling technologies, e.g. acoustic imaging and optics, will be undertaken. Studies on the identification and exploitation of natural chemical substances in the marine environment, and impact studies will also be implemented not only on the exploitation of marine mineral resources (sands and gravels, nodules, algae, substances for pharmaceutical use), but also to gain a better knowledge of the effects of waste stemming from human activity (urban waste, toxic industrial waste, nuclear, chemical, oil and agricultural waste, pollution from fish farming and ports, etc.). No research concerned with the intentional disposal of toxic matter in the marine environment shall be eligible for Community funding, the aim being to achieve properly-managed aquaculture, fisheries and tourism.

(Amendment No. 20)  
Annex I, Area 4 (new)

Area 4. Supporting Initiatives

The Supporting Initiatives which commenced under the MAST pilot programme will be continued, and thus include the following: the establishment of a European ocean data and information system, including a system on the management of data on remote sensing; the preparation of norms and standards for marine science and technology; a modelling coordination initiative which includes modelling for management purposes; development of a pilot communication system for exchange of information on research cruises and research facilities; studies on the scientific and design requirements for new large scale facilities; advanced training; and new approaches to mapping and bathymetric/hydrographic surveying.

(Amendment No. 21)  
Annex I, Area 5, (new)

Area 5. Integrated Projects

Integrated projects will be developed to address particular problems which require large scale multidisciplinary coordinated research effort. These problems could be defined on the basis of scientific and technological requirements or established on the basis of the scientific requirements of a particular geographical area. The need to balance the deficit of scientific capabilities in some countries will also be taken into account when defining the integrated projects.

(Amendment No. 22)  
Annex II  
Indicative Breakdown of Expenditures

in %, for the period 1990-1994

Area 1. Marine science, including  
integrated projects 45-50

Area 2. Coastal engineering 15-20

Area 3. Marine technology 30-35

The breakdown between different areas does not exclude the possibility that projects could cover several areas.

in %, for the period 1990-1994

Area 1. Marine science 40-45

Area 1. Coastal engineering 15-20

Area 3. Marine technology 25-30

Area 4. Ancillary initiatives 5-10

Area 5. Integrated projects 5-10

The breakdown between different areas does not exclude the possibility that projects could cover several areas.

1. The principle of encouraging the training of researchers in the fields covered by this specific programme shall be accepted, but the amount devoted to such projects shall not exceed 8% of the total.

2. The projects mentioned in paragraph 1 shall be the subject of agreements concluded with the universities and research institutes organized in research networks.

3. An amount of 936 000 ECU, equivalent to 3% of the total amount deemed necessary for Area 3 (Marine technology), shall be used for technological option and risk assessment, the results of which shall be communicated to Parliament with the evaluation reports.



(Amendment No. 23)  
ANNEX III  
RULES FOR IMPLEMENTING THE PROGRAMME AND ACTIVITIES FOR  
DISSEMINATING AND EXPLOITING THE RESULTS

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.

Rates of Community participation will be in accordance with Annex IV of Council Decision 90/221/Euratom EEC.

(Amendment No. 24)  
ANNEX III, paragraph 3

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

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

Natural or legal persons established in countries which have concluded cooperation 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 cooperation 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.

(Amendment No. 25)  
Annex III, paragraph 4

4. The choice of projects shall be carried out according to the following order of priority, the first method being the rule, the second the exception.

4. The choice of projects shall be carried out according to the following order of priority, the first method being the rule, the second the exception.

The participants in the projects shall be selected on the basis of the ordinary procedure of calls for proposals referred to in Article 6(3) and published in the Official Journal of the European Communities.

The participants in the projects shall be selected on the basis of the ordinary procedure of calls for proposals referred to in Article 6(3) and published in the Official Journal of the European Communities.

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, and it shall delegate the work accordingly.

The Commission may also accept proposals according to an exceptional procedure and under the conditions mentioned below, when they make a particularly promising and significant contribution as regards the originality of the theme proposed, the novelty of the scientific and technical approach and the methodology of execution, also taking into account the particular nature of the proposers.

The Commission may also accept proposals according to an exceptional procedure and under the conditions mentioned below, when they make a particularly promising and significant contribution as regards the originality of the theme proposed, the novelty of the scientific and technical approach and the methodology of execution, also taking into account the particular nature of the proposers.

(Amendment No. 26)  
Annex III (4), fifth paragraph

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 exceptional procedure shall come into 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.

(Amendment No. 27)  
Annex III(4), sixth paragraph

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 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%; it may be revised each year in the light of experience.

The Commission shall draw up a vade mecum setting out all the rules applicable to this exceptional procedure in order to guarantee full transparency.

The Commission shall draw up a vade mecum setting out all the rules applicable to this exceptional procedure in order to guarantee full transparency.

(Amendment No. 28)  
Paragraph 4a (new)

4a. No Member State may attribute to a national, regional, local, departmental or other governmental budget any Community funds allocated to organizations of that Member State in implementation of projects accepted under the terms of the project selection procedure described in paragraph 4 above.

DRAFT LEGISLATIVE RESOLUTION  
(Cooperation procedure: first reading)

embodying the opinion of the European Parliament on the proposal from the Commission to the Council for a decision adopting a specific research and technological development programme in the field of Marine Science and Technology (1990-1994)

The European Parliament,

- having regard to the proposal from the Commission to the Council (COM(90) 0159 final - SYN 264)<sup>1</sup>,
  - having been consulted by the Council pursuant to Article 130q(2) of the EEC Treaty (C3-0162/90),
  - having regard to the report of the Committee on Energy, Research and Technology and the opinions of the Committee on Budgets and the Committee on the Environment, Public Health and Consumer Protection (A3-0290/90),
  - having regard to the Commission position on the amendments adopted by Parliament,
1. Approves the Commission proposal subject to Parliament's amendments and in accordance with the vote thereon;
  2. Calls on the Commission to amend its proposal accordingly pursuant to Article 149(3) of the EEC Treaty;
  3. Calls for the conciliation procedure to be opened if the Council should intend to depart from the text approved by Parliament;
  4. Asks to be consulted again should the Council intend to make substantial modifications to the Commission proposal;
  5. Calls on the Council to incorporate Parliament's amendments in the common position that it adopts in accordance with Article 149(2)(a) of the EEC Treaty;
  6. Instructs its President to forward this opinion to the Council and the Commission.

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<sup>1</sup> OJ No. C 174, 16.7.1990, p. 48

B  
EXPLANATORY STATEMENT

1. Despite its name, our planet should have been called the Sea - 72% of its surface is not dry land, and according to some evolutionists, human beings emerged from the sea in the first place.

Mankind has been using the sea for travel and for food since prehistory, a stage we have scarcely begun to leave as far as our conscious awareness of the sea and its potential are concerned: land-based stock breeding and cultivation have existed for millennia, but at sea we remain simple hunters and predators. Worse: we regard the sea as a vast waste disposal plant.

Such primitive attitudes ill accord with the sheer significance of the sea to the European Community, with its 80 000 km of coastline shared amongst eleven of the twelve Member States, whose waters reach from the Arctic circle (indeed, from the Antarctic) to the subtropics, and range in nature from inland or virtually enclosed seas to the ocean.

These coastlines are suffering greatly from today's massive influx of both seasonal and permanent populations, a chaotic economic development. The marine environment's natural equilibrium has been broken and disasters have become the norm: oil-clogged beaches in Brittany and the North Sea, chemical pollution in the Seine Bay, mercury in the Baltic, red sludge in the Mediterranean, eutrophication in the Adriatic, green algae everywhere, radioactive waste, while entire species such as whales are simply disappearing. And now the greenhouse effect is raising ominous questions about the future of low-lying countries.

Against this background, the Community continues its efforts to develop fish farming and maritime cultivation - aquaculture - and to extract substances for the pharmaceuticals industry and even metallic nodules in an attempt to harness the sea.

But if we are to make proper use of the sea, we need to know it far better than we do at present, and we need to be able to think simultaneously in economic, environmental and sociological terms. Marine research has to be seen as an essential element in the process of restoring equilibrium in every sense of the word.

2. The European Parliament demonstrated the extent of its interest in the framework programme in the autumn of 1989, when it requested a 50% increase in funding over the five years, destined above all for basic research, university level research, environmental research and research into non-nuclear energy sources - a faithful reflection of the new awareness of the imbalances which threaten the planet. The Council, however, decided otherwise and reduced the funding called for by Parliament, so that even if the chapter on the marine environment has been separated from that on the environment as such and has acquired its own identity, this could mean little more than backtracking from priority environmental research with regard to the sea in favour of more purely technological research. Is the goal of the framework programme still long-term conservation and management of the marine environment? The behaviour of the Council in this matter was a glaring instance of the 'democratic deficit', for behind the fairly contemptuous attitude to the elected Parliament of Europe's peoples lies an indubitable contempt for those peoples and their concern for the environment. Even if the budget for the 'marine environment' aspect of the framework programme were to be doubled for four years against that of the previous MAST programme, it would still be

inadequate to cope with the tasks in the coming four years, while the introduction of a fourth (supporting initiatives) and fifth (integrated projects) area in the wake of discussions with CREST should have meant that an increase of at least 10% for these areas was provided for.

Will this framework programme really allow us to acquire the new scientific knowledge we need if we are to restore the equilibrium we have lost and be the masters of our own future development?

3. As has already been said, this is neither the first nor the last marine research programme; continuity with the first MAST programme (1989-1992) needs to be ensured in terms of both funding and activity. For this reason the new framework programme has to be seen not as a replacement but as an extension of MAST. However, this does not mean we should accept - as PAGIS (1982-1987) did and MAST I appears to do - research designed to find ways of using the sea as a dumping ground for waste, whether nuclear, chemical or urban. All such research must be resolutely opposed. The political rather than scientific impulses behind the technical justification of such dumping (outside territorial waters), for example in the case of popular opposition to storing waste on land, cannot ever be a justification for using the sea as a garbage can.

Possible future projects, such as NEREIS (European research, experiment and underwater operations vessel) must be coordinated with the present framework programme and have their own budgets. They must not draw on the budget of the framework programme itself. In the same way, avenues for coordinating with other programmes (in transport, non-nuclear energy, etc.) should be explored.

4. The sea knows no frontiers, despite the existence of territorial waters. Pollution, changes in its composition, variations in sea level, etc. are transnational problems. Research projects can thus justifiably be required to be international in order to be adopted.

Moreover, duplication of identical research programmes in different Member States is simply bad financial management, and for that reason, laboratories - whether public or private or in universities -, SMUs and research groups should operate on a bilateral international basis at the very least, both at national level and at the level of international cooperation between regions.

5. The principle of subsidiarity, taken in conjunction with Community co-funding of projects, means that the upper limit originally set for Community aid is quite unrealistic and indeed capable of destroying the viability of essential projects being carried out by scientists working in small laboratories in the Community's less wealthy countries and regions. A higher limit, applicable in exceptional cases, would therefore be a contribution to the process of removing the imbalances which exist between the regions of Europe.

6. Both the scientific and the financial aspects of these projects require monitoring, and the principle of a 'Committee' for that purpose has already been established. The Committee should include scientific experts amongst the national representatives envisaged; MEPs should also be able to sit on this committee to check the validity of its decisions, as well as representatives of the Commission. This would be a small step in the highly desirable direction of increasing the democratic transparency of our European institutions.

OPINION

(Rule 120 of the Rules of Procedure)  
of the Committee on Budgets  
for the Committee on Energy, Research and Technology

Draftsman: Mr PAPOUTSIS

At its meeting of 21 September 1989, the Committee on Budgets appointed Mr Papoutsis draftsman.

At its meeting of 7 November 1990, it considered the draft opinion.

At the latter meeting, it adopted all the conclusions unanimously.

The following were present for the vote: von der Vring, chairman; Lamassoure, first vice-chairman; Cornelissen, second vice-chairman; Papoutsis, draftsman; Arias Cañete, Böge, Colajanni, Elles, Forte, Holzfuss, Kellett-Bowman, Langes, Lo Giudice, Miranda da Silva, Samland and Theato.



## Preliminary remark

The fact that the legislative proposals for the specific programmes under the 1990-1994 framework programme - Decision 90/221/EEC EURATOM - were tabled virtually simultaneously along with the identical wording of the financial provisions makes it possible for them to be considered jointly and facilitates overall decision-making. This opinion deals with the specific programme in the field of marine science and technology (1990-1994).

## Introduction

1. On 23 April 1990, the Council adopted Decision 90/221/EURATOM, EEC<sup>2</sup>, concerning the framework programme of Community activities in the field of research and development (1990 to 1994). Article 1 of the decision provides for the carrying out of the following activities:

- enabling technologies:

1. information and communications technologies;
2. industrial and materials technologies.

- management of natural resources:

3. environment;
4. life sciences and technologies;
5. energy.

- management of intellectual resources:

6. human capital and mobility.

The amount deemed necessary for Community financial participation in the entire programme is 5700 million ECU.

2. On 11 June, 30 September and 22 October 1990, the Council consulted the European Parliament on fourteen specific programmes. The programme on nuclear fusion and the proposal on the centralized action were not submitted for consideration.

This virtually simultaneous presentation of the new proposals meets the wishes expressed by the Committee on Budgets (see PE 134.413/fin.). This situation can create the conditions necessary for to measure the effects of a series of legal instruments against the financial reality defined by the financial perspective and the budgets concerned.

Consideration of the specific proposals is subject to the rules governing the cooperation procedure.

3. During consideration of the framework proposal for the framework programme (1990-1994), and also throughout the conciliation procedure up to the adoption of the decision by the Council, the Committee on Budgets had put forward a number of observations.

Its observations concerned, in particular, the financing of the new framework programme, the period which covered financing of both framework programmes

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<sup>2</sup> OJ No. L 117, 8.5.1990, p. 28

(1987-1991 and 1991-1992) and the procedures for implementing the new framework programme, with particular reference to the question of committology.

#### The Commission proposals

4. The Commission's approach consists of presenting a harmonized text concerning the financial provisions for each specific activity together with annexes giving an indicative breakdown of the amount deemed necessary and the procedures for implementing each programme. The Commission also devotes an annex specific to each programme solely to the aims and the scientific and technical content.

5. As regards the amount estimated as necessary for each specific activity (Article 2), the Commission proposes a double levy:

- a single-rate levy of 1% on the amount estimated as necessary for each specific programme earmarked for the financing of the centralized dissemination and exploitation of the results;

and on the remainder,

- a variable-rate levy for staff costs. This second levy varies between 2% and 16% according to the specific activity.

6. As regards the 1% levy, Article 4 of the framework decision 90/221/EEC provides for an amount 'deemed necessary of 57 million ECU', which represents in fact the 1% of the amount deemed necessary for the framework programme as a whole. However, while this proposal has the merit at first sight of constituting the amount of 57 million ECU, it does not take account of a number of considerations:

- The total appropriations for the specific activities are not of the same amount, so the impact of the 1% in each of them will not necessarily be the same.
- It is not stipulated in the framework decision that each specific programme must contribute on the basis of a single rate to the financing of the centralized action. The framework decision merely states that the 57 million ECU are drawn 'proportionally' from each activity (see Annex 1, footnote 2).
- It is not stipulated that this levy must precede the levy for staff costs.
- The profile of the partners of each programme is different, and therefore the framework of the implementation of the projects may vary.
- The knowledge acquired on each programme is different, and the means of disseminating it may take various forms.

There is therefore no reason to assume that the single-rate levy meets the requirements of each programme.

7. On the other hand, the Commission has not yet submitted its proposal on the centralized action. Is it then conceivable to start adopting all the specific programmes without seeking to settle, for example, matters relating to intellectual property or industrial property?

On the basis of what guarantees will the partnership which will form around each programme ensure dissemination of the results? And how will the Community dimension of each programme be preserved in the absence of information on the dissemination of the results obtained by its implementation?

8. A second point to be raised concerns the percentage earmarked for staff costs.

The Commission proposes a variable-rate levy for this expenditure. On the basis of the financial statements accompanying the various proposals, the implementation of the framework programme (1990-94) will involve a total staff complement of 866 persons, regardless of category.

This establishment plan for the framework programme (1990-94) will consist partly of staff to be redeployed from the programmes implemented under the framework programme (1987-91) and partly of newly-recruited staff.

9. Experience shows that the demand for staff is a function of the demand for commitment appropriations for each activity.

How, then, does the Commission intend:

- to coordinate demand for staff for each new specific activity in the light of the real staff requirements still presented by earlier activities which will in fact be acting as a reserve supply and, in addition, respect the rules of transparency in the management of the appropriations concerned?
- to inform the budgetary authority of the actual allocation of staff and the budgetary impact, when the implementation of the new activities does not rule out implementation of the projects under the exceptional procedure which may be justified on the scientific basis of several specific activities?

Does the Commission intend to perpetuate the phenomenon of osmosis already referred to in respect of the specific activities arising from the previous framework programme (1987-1991)? (See in this connection PE 143.199).

10. The implementation of these specific activities involves some innovations as regards management, and the Commission, aware of this new situation, has already deemed it necessary that a study be made of this subject.

At the same time, the Commission had promised to 'inform Parliament' of the findings of that study. That study, which would be very useful for the budgetary authority, has not yet been published. However, the Commission has agreed that the question of staff is one of the points, but not the only one, which would require correction and rationalization measures.

11. Another observation concerns the rules for implementing each specific activity set out in Annex III to each proposal.

The Commission proposes the introduction of an exceptional procedure to make the decision-making process concerning the choice of projects more flexible. This exceptional procedure may call on a sum which may in no case exceed 15% of the amount deemed necessary.

The introduction of this new procedure, which will have to co-exist with the ordinary procedure as well as with the continuation of the activities developed under the specific programmes arising from the framework programme (1987-1991), raises certain questions, namely:

- how does the Commission intend to maintain the partners' interest in the previous activities since there are still appropriations in the budget to be committed for the earlier activities?;
- how can the Commission ensure that there will be no abuse in using this exceptional procedure instead of the ordinary procedure?;
- how does the Commission intend to budgetize projects selected on the scientific basis of several specific activities?

12. The Commission is not sufficiently clear about how it intends to coordinate the timetable of tenders, selection of projects and conclusion of contracts in the context of the ordinary procedure with consideration of the proposals submitted in the context of the exceptional procedure. This situation may well create bottlenecks in the decision-making process as regards the choice of projects and their management. It is important to stress the growing volume of requests submitted to the Commission by the partners and, consequently, to consider whether the administrative deadlines governing the selection of projects do not hamper the optimum allocation of the appropriations approved in the budget. The Commission does refer in Annex III to the drawing up of a vade mecum, but to date, this vade mecum has not been forwarded to the budgetary authority.

13. While the experience acquired argues in favour of the introduction of innovative procedures, they will have a positive impact on Community research only if they preserve the cardinal objectives of that research and also ensure optimal allocation of the financial resources provided for.

14. The new framework programme is a year behind schedule as regards the amounts provided for in the financial perspective and, while part of the financial year 1991 will be devoted to adopting the various decisions, the Commission's firm determination to ensure the vital progression of one of the most important new policies (see PE 140.148) becomes an empty statement.

15. Another observation concerns commitology. The fears expressed by the Committee on Budgets in its opinion (see PE 134.413/fin.) are confirmed. When a specific activity concerns the industrial sector, the committee involved is of type III. However, in the conciliation procedure for the adoption of the framework programme (1990-1994) and, in particular, in its letter to the President of Parliament (see PE 140.148), the Commission had stated perfectly clearly the merits of the type I committee (i.e. a purely consultative committee) which confers the greatest speed and efficiency on the decision-making process.

The question is whether that efficiency can be guaranteed, for example, in the case of the selection of projects under the exceptional procedure, which is proposed precisely in order to strengthen the operational aspect of each specific activity in the case of activities involving a type III committee.

It may be pointed out that, in the recent decisions on provisional measures concerning the unification of Germany, the Council agreed to replace a type III by a type IIa committee.

16. The Commission gives no details concerning the choice to be made where a project subject to the exceptional procedure concerns two specific activities which are not covered by the same type of committee. In such a case, which of the two types of committee will be giving its opinion?

17. A final observation concerns the evaluation of the programmes. The research and technological development policy constitutes one of the objectives laid down in the Single Act.

The European Parliament has stressed on many occasions the need to develop this policy while drawing attention to the increased funding requirements. This position will be best strengthened on the basis of the results obtained, with particular regard to sound financial management and increased profitability of the funds allocated to this policy.

18. In its proposals (Article 5), the Commission raises the matter of the evaluation of the programme but nevertheless refrains from providing any additional information regarding the criteria to be taken into account for that evaluation.

It is important for the budgetary authority, particularly where a multiannual activity is involved, to have figures showing trends in the performance indicators interpreting analyses made on the basis of cost-effectiveness, and also on the basis of the indicators which measure the cost of non-research.

Experience shows that there is no pattern to the participation of the Member States in the various activities. A thorough analysis of the cost of non-research is vital because of the complementarity of this policy with other Community policies sometimes acting as infrastructure.

## Conclusions

19. In these circumstances, the Committee on Budgets proposes that the proposal be adopted subject to the following remarks:

It asks the Committee on Energy, Research and Technology:

- (a) to amend the provisions of Article 7 concerning commitology in accordance with the provisions of Article 2 - procedure I of Decision 87/373/EEC.
- (b) to ascertain, with the Commission, whether measures have been taken on the basis of the funds available to ensure, at administrative level, a rational decision-making process as regards selection of projects and their management as well as on the provisions concerning the evaluation of all the specific programmes, in accordance with Article 5 of the framework decision 90/221/EURATOM, EEC.

The Committee on Budgets also asks the Committee on Energy, Research and Technology to take into account the following amendments:

Commission text

Amendments

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 'environment' action the estimate of the financial resources needed by this programme is to be reduced by 1.04 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 which is to be the subject of a decision of the Council in cooperation with Parliament; whereas, in view of the importance of this specific programme within the 'environment' action a financial contribution to the centralized activities is required; whereas this contribution is proportional to the financial capacity of the programme and corresponds to the effective demand for the results of research from the socio-economic operators in all the Member States;

Amendment No. 2  
Article 2

1. The Community funds estimated as necessary for the execution of the programme under this Decision amount to 1.04 million ECU. Of this amount 1.04 million ECU is drawn for the centralized dissemination and exploitation of results. The amount thus reduced to 102.96 million ECU includes staff costs which may not exceed 5%. 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 decision.

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

1. The Community funds estimated as necessary for the execution of the programme under this Decision amount to 1.04 million ECU, including staff costs and a contribution to the centralized dissemination and exploitation of results. An indicative breakdown of expenditure for the implementation of this programme is set out in Annex II. The procedures for the dissemination and exploitation of results are set out in Annex III. An indicative breakdown of expenditure and the procedures concerning staff are set out in Annex II.

2. Unchanged

3. Unchanged



Amendment No. 3

Annex II

After the heading 'Indicative breakdown of amounts', add the following new paragraph:

The establishment plan deemed necessary for the duration of the programme consists of 19 established posts (A, B and/or C). The Commission shall indicate each year in the preliminary draft budget the number of staff deemed necessary and the corresponding expenditure.  
The budgetary authority shall decide on the appropriations.

Amendment No. 4

Annex III

Rules for Implementing the Programme and Activities  
for Dissemination and Exploitation of the Results

Paragraphs 1, 2 and 3 unchanged

4. The choice of projects shall be carried out according to the following order of priority, the first method being the rule, the second the exception.

4. Unchanged.

The participants in the projects shall be selected on the basis of the ordinary procedure of calls for proposals referred to in Article 6(3) and published in the Official Journal of the European Communities.

Unchanged

The Commission may also accept proposals according to an exceptional procedure and under the conditions mentioned below, when they make a particularly promising and significant contribution as regards the originality of the theme proposed, the novelty of the scientific and technical approach and the methodology of execution, also taking into account the particular nature of the proposers.

Unchanged.

A favourable technical evaluation of such proposals shall not by itself be a sufficient justification for accepting a project; this exceptional procedure may only apply after verification that the nature of the project, as defined above, does not justify the use of the normal procedure for calls for proposals.

Unchanged.

The exceptional procedure must be completed before the ordinary procedure is such a way that the available amount for the Community's financial participation in the 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.

Unchanged.

When it submits the preliminary draft budget the Commission shall inform the budgetary authority whether the appropriations approved in the budget of the previous year have also financed projects retained by the exceptional procedure and the amounts allocated. Should these projects cover several programmes, it shall state the type of committee which assisted it.

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 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.

The Commission shall draw up a vade mecum setting out all the rules applicable to this exceptional procedure in order to guarantee full transparency.

The Commission shall draw up a vade mecum setting out all the rules applicable to this exceptional procedure in order to guarantee full transparency.

It shall forward this vade mecum to Parliament at the latest before this Decision is adopted.

Paragraphs 5 and 6 unchanged.

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. The knowledge acquired during the course of the projects shall be disseminated with the specific programme and by means of, and in compliance with, the provisions governing the centralized action to be the subject of a decision taken by the Council in cooperation with Parliament pursuant to the third paragraph of Article 4 in Decision 90/221/EURATOM, EEC. The financial contribution of this programme amounts to .... ECU, in accordance with the financial provisions of Council Decision .... concerning centralized activities.

