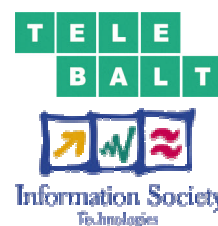


# Introductory Lecture: Training Course on EU, Fifth and Sixth Framework Programmes for Baltic States



## What is this course for and about?

This course of lectures is designed for the audience of Baltic States Estonia, Latvia and Lithuania. These lectures present European Union and its programmes and can be of a great use for those who want to participate in EU programmes, particularly in two of them considered in the lectures – the Fifth Framework and the Sixth Framework Programmes. Besides these lectures comprise web-addresses where additional appropriate data could be found. In the table below you will find the contents of the four lectures.

<b>Introductory lecture</b>
<b>Lecture 1: European Union</b>  EU History EU Institutions EU Objectives and Activities
<b>Lecture 2: Enlarging European Union Introduction</b>  Conditions for Accession Pre-accession States Pre-accession Strategy Next Steps in the Process of EU Enlargement
<b>Lecture 3: Fifth and Sixth Framework Programmes</b>  FP5: Introduction FP5: Participants FP5: Structure FP6: Introduction The Seven Priority Orientations of FP6
<b>Lecture 4: Sixth Framework Programme: Participation for Pre-accession States</b>  FP6: Structure, Budget FP6: Instruments Participation in FP6 Contact Information

At present the Baltic States are in process of joining the European Union and are named the Pre-Accession States. The first two lectures tell about the European Union itself and about its initiative of enlargement.

## **United Europe and Process of Enlargement.**

The idea of United Europe appeared in the years of World War I, but it was not realized at that time. Only devastation resulted by World War II made European leaders see that cooperation and common efforts were the best way to ensure peace, stability and prosperity in Europe. Winston Churchill called for a "kind of United States of Europe" in a speech he gave at the Zurich University in September 1946, then in a month the European Federalists Union was set into place in Paris, France.

In 1947 fostered by Winston Churchill, the United Europe Movement was created; it was hostile to supranational organs and in favor of an intergovernmental cooperation. The Marshall Plan, set up for the economic revival of Europe, was announced also in 1947. The European Union Federalists Congress was held in Montreux, Switzerland and Federalist and Unionist organizations met within the International Coordination of Movements for the Unification of Europe Committee in 1947.

The Schengen Agreement was signed on June 14, 1985 in the village of Schengen, on the borders of Luxembourg, France and Germany. Member States signatories to the Schengen Agreement were Belgium, the Netherlands, Luxembourg, France, Germany, Portugal and Spain.

When a Member State fully applies the Schengen Convention and has removed its border controls in relation to other Schengen states, that country is an operative member. As of 25 March 2001 Sweden is an operative member of Schengen cooperation. "Schengenland" is not a new member of the EU, but an area of free circulation within the Union created by European countries. Its purpose is to remove all controls at internal land, sea and airport frontiers. In order to maintain internal security, a variety of measures have been undertaken as e.g. coordination of visa controls at the external borders of the Member States through a common approach to visa policies and asylum procedures.

Intergovernmental Conference for accession negotiations of Malta, Romania, Slovakia, Latvia, Lithuania and Bulgaria was held in Brussels in January 2000. The candidate countries presented their strategic objectives alongside their political, cultural and socio-economic aspirations into accession. It will take some time before these countries become members of European Unions, because their level of economic development should meet European standards. To help them a number of Association Agreements were signed by EU between 1991 and 1993.

As it was declared the European Union enlargement and admission of new member-states, especially from Central and Eastern Europe, are the main goals for the new century.

## European Union structure, goals and activities.

The first lecture also presents **structure**, goals and activities of the European Union. There are three main institutions heading the EU: the European Parliament, the European Commission, and the Council of the European Union. Other institutions are the Court of Justice, the European Court of Auditors, the European System of Central Banks (ESCB) and the European Central Bank (ECB), the European Investment Bank, the Economical and Social Committee, the Committee of the Regions, the European Ombudsman.

The European Union's **mission** is to unite the Member States and their people on the basis of common legal, economic, political and cultural foundations, and thus to create and maintain a new level of relations between them.

Pursuing the declared objectives the European Union performs its **activities** and solves problems in a great number of fields: agriculture, audiovisual policy, budget, competition, consumers, culture, development, economic and monetary affairs, education, employment and social affairs, energy, enlargement, environment, enterprise, equal opportunities, external relations, fisheries, foreign and security policy, humanitarian aid, information society, internal market, justice and home affairs, public health, regional policy, research and technology (research and technological development (RTD)), trade, trans-European networks, transport.

In the framework of its activities the European Union adopts acts and regulations, establishes new organizations and institutions, initiates various programmes and projects. Managing the policy in each of these fields at the level of the Union (not of a separate Member State) contributes to unification, opening up of new opportunities, solving problems fully, and brings other advantages. Thus it is both rational and efficient to exercise administration at a European level in some fields (named above).

In this respect the Fifth and the Sixth Framework Programmes (which are discussed in detail in Lectures 3 and 4) are instruments of EU activity in the field of research and technological development (RTD). The role and importance of RTD in Europe is significant. This scope of activity is of a particular attention since it has a crucial influence on European economy as a whole, standard of live in the EU, etc. Since 1984 EU-level research and their financing activities are realized under five-year framework programmes.

## **Fifth Framework Programmes.**

The Fifth Framework Programme (FP5) constitutes the priorities for the European Union's research, technological development and demonstration (RTD) activities for the period 1998-2002. The FP5 is aimed to help solve problems and to respond to the major socio-economic challenges facing Europe. By focusing on a limited number of research areas combining technological, industrial, economic, social and cultural aspects the FP5 maximizes its impact. This programme provides a coherent and truly European framework for supporting research and technological development as part of Community research policy and constitutes a four-year strategic plan for the period 1999-2002. During this period, it will stimulate transnational collaboration in research, particularly between industry and universities, and the establishment of networks of excellence.

The Fifth Framework Programme, and its corresponding financial support, is open to all legal entities established in the 15 Member States of the European Union that are involved in research, or the dissemination or use of research results. For example: individuals, industrial and commercial firms, including small and medium-sized enterprises (SMEs), universities, research bodies, technology dissemination bodies. The programme is also open to all legal entities established in one of the Associated States, which enjoy the same participation conditions as the Member States. The countries that are not members of the EU can be subdivided into three categories.

In exceptional cases, if this is essential in order to achieve the objectives of the project, Community funding for a participant from a third country or for an international organization may be granted under the programme. Details about the participation of third countries can be obtained from the INCO Internet home page: <http://www.cordis.lu/inco2/src/participation.htm>

Projects co-financed under the Fifth Framework Programme are, in principle, carried out by consortia comprising at least two partners from different countries. It is important to clearly negotiate the role, rights and obligations of each participant beforehand. These points must be clearly stated in the proposal.

### ***FP5: Structure***

The Fifth Framework Programme (FP5) has two distinct parts:

- the Fifth European Community (EC) Framework Programme covering research, technological development and demonstration (RTD) activities, and
- the Fifth Euratom Framework Programme covering research and training activities in the nuclear sector.

### **Fifth European Community (EC) Framework Programme**

The Fifth (EC) Framework Programme has a multi-theme structure, consisting of four *Thematic* and three *Horizontal Programmes*.

Thematic Programmes represent the First Activity in the FP5, which is devoted to research, technological development and demonstration.

Each thematic programme comprises three elements: key actions (KAs), research and technological development activities of a generic nature, activities in support of research infrastructures.

Thematic Programmes that cover a series of well-defined problems are

- Quality of Life and management of living resources (Quality of Life);
- User-friendly information society (IST);
- Competitive and sustainable growth (GROWTH);

- Energy, environment and sustainable development (EESD).

Horizontal Programmes, which underpin and complement the Thematic Programmes by responding to common needs across all research areas, are

- Confirming the international role of Community research (INCO 2);
- Promotion of innovation and encouragement of SME participation (Innovation/SMEs);
- Improving the human research potential and the socio-economic knowledge base (Improving).

The horizontal themes are at the crossroads of the Community's research policy and its policies for external relations, innovation, SMEs and human resources, and for social and employment issues.

Each of them comprises:

- specific activities - including, where necessary, key actions - linked to the general objectives of the Community's policy with regard to external relations, innovation, SMEs and human resources which are not carried out as part of the themes of the first activity;
- activities essentially in the form of coordination, support and accompanying activities to ensure the coherence of equivalent activities carried out under the themes of the first activity.

Horizontal programmes fulfill the three other activities within the Fifth (EC) Framework Programme: the second activity – promotion of cooperation in the field of Community RTD with third countries and international organizations; the third activity – dissemination and optimization of the results of activities in Community RTD; the fourth activity – simulation of the training and mobility of researchers in the Community.

#### *Fifth Euratom Framework Programme*

This specific programme of research and training in the field of nuclear energy implements the section of the Fifth Framework Programme covered by the European Atomic Energy Community (Euratom) Treaty.

## Sixth Framework Programme

The Treaty establishing the European Community (part 3, title XVIII, art. 166, pag.114) provides for the creation of multiannual RTD programs. The Sixth Framework Programme will span the period 2002-2006 to replace the current FP5. This programme will be one of the most important instruments to implement the "Europe Research Area". Budget of FP6 will be 17,5 billion euro.

To understand better what the ERA is read the abstract from a Commission Communication "Towards a European Research Area" proposed in January 2000: *"The European Union's overall research effort, both in the private and public sector, has been steadily declining for 10 years. The gap is widening in relation to the United States and Japan. To tackle the problem, the European Commission has issued a Communication paving the way towards a European research area."*

The **Sixth EC Framework Programme** 2002-2006 will be restructured around three main approaches in implementing the European Research Area:

- Integrating European research;
- Structuring the European Research Area (ERA);
- Strengthening the foundations of the ERA.

**1. Integrating European research** are activities that represent the thematic approach of the Programme and are intended to integrate research efforts and activities on a European scale. The efforts will be carried out in a limited number of priority thematic areas, as well as in areas covering a wider field of research in the form of certain specific needs of EU policies or new emerging needs.

Priority areas of research. There are seven priority areas of research covered by the FP6. They are:

- Genomics and biotechnology for health (€2.2 billion, or one-eighth of the total budget);
- Information Society technologies (€3.6 billion, one-fifth of total resources);
- Nanotechnologies, intelligent materials, and new production processes (€1.3 billion);
- Aeronautics and space (€1.1 billion);
- Food safety and health risks (almost €700 million);
- Sustainable development and the environment - energy, transport, global change and ecosystems (€2.1 billion);
- Citizens and governance in an open European knowledge-based society (€225 million).

«Integrating research»: Specific activities covering a wider field of research. The budget allocated is €1 320 million. They will complement research within the thematic priority areas of research and comprise the following:

- Supporting policies and anticipating scientific and technological needs: activities in support of EU policies and research responding to new and emerging needs (annual programming);
- Horizontal research activities for small and medium-sized enterprises (SMEs): to boost technological capacities of SMEs in traditional or new areas and develop their ability to operate internationally (co-operative and collective research);
- Specific measures in support of international co-operation: developing countries, Mediterranean countries including the Western Balkans; Russia and the NIS;

**2. Structuring the European Research Area (ERA).** These activities are intended to stimulate technological innovation, utilization of research results, transfer of knowledge and technologies and the setting up of technology businesses in the Community and in all its regions, including in the less developed areas. They will be carried out around four main areas:

1. Research and innovation (€300 million)
2. Human resources and mobility (€1 630 million)
3. Research infrastructures (€665 million)
4. Science and society (€60 million)

**3. Strengthening the foundations of the ERA.** This presupposes measures to simplify and streamline the implementation arrangements on the basis of the intervention methods defined and the decentralized management procedures envisaged.

These measures include:

- support for the co-ordination of activities at the European level and co-ordination of national activities in such areas as health, biotechnology, environment, energy (€280 million);
- coherent development of research and innovation policies in Europe (€50 million).

The **Sixth Euratom Framework Programme**. This programme is a continuation of the Fifth Euratom Framework Programme. The Programme includes the following activities:

1. Management of radioactive waste (90 million euro)
2. Controlled thermonuclear fusion (750 million euro)
3. Radiation protection (50 million euro)
4. Other activities (50 million euro)
5. Activities of the Joint Research Center (290 million euro)

#### ***FP6 Instruments***

As stated on the European Commission speaking notes the following instruments will be available for implementing the FP6 priority thematic areas and for funding research:

- Integrated projects;
- Networks of excellence;
- Article 169 participation of the Community in programmes implemented jointly by several Member States) (for the joint implementation of national programmes);
- as a "stairway of excellence"
- specific targeted research projects,
- coordination actions;
- specific support actions.

#### ***Participation in FP6***

First of all we should answer a question 'who can participate in the Sixth Framework Programme'. There are three types of participants that can be involved in it:

- Every legal entity
- Associated Candidate Countries
- International European interest organizations.

It is stated that candidate countries associated to the FP and international European interest organizations will participate under that same conditions as EU Member States (MS).

### **Conclusion**

You will find the complete information on all these matters in the lectures. Have a pleasant reading!