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Proposal for a

REGULATION OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL

amending Council Regulation (EC) No 1225/2009 on protection against dumped imports from countries not members of the European Community and Council Regulation (EC) No 597/2009 on protection against subsidised imports from countries not members of the European Community

{SWD(2013) 105 final}

{SWD(2013) 106 final}

EXPLANATORY MEMORANDUM

1. CONTEXT OF THE PROPOSAL

Grounds for and objectives of the proposal

This proposal concerns amendments to Regulation (EC) No 1225/2009 (“the basic anti-dumping regulation”) and Regulation (EC) No 597/2009 (“the basic anti-subsidy regulation”). Taking account of the fact that these Regulations have not been substantially revised since the completion of the Uruguay Round in 1995 and taking account of the conclusions of the evaluation study carried out into the functioning of these instruments, it is proposed to update and modernise the instruments.

General context

Article 207 of the Treaty on the Functioning of the European Union provides, *inter alia*, for measures to be established to protect trade such as those to be taken in the event of dumping or subsidies.

Existing provisions in the area of the proposal

The above-mentioned Council Regulations.

Consistency with the other policies and objectives of the Union

There is no conflict with any policy or objective of the Union.

2. RESULTS OF CONSULTATIONS WITH THE INTERESTED PARTIES AND IMPACT ASSESSMENTS

Consultation of interested parties

Interested parties concerned by this proposal have had the opportunity to participate in the Public consultation carried out from April to July 2012. A summary of the results of the public consultation has been available on DG Trade’s website since October 2012.

Collection and use of expertise

An evaluation study into the functioning of the EU’s anti-dumping and anti-subsidy instruments was finalised in early-2012 and has been available on DG Trade’s website since then.

Impact Assessment

Taking into account the results of the public consultation, the evaluation study and the Commission's extensive practice in the use of the instruments an impact assessment was carried out in autumn 2012. The impact assessment report identified problems in the functioning of the trade defence instruments and proposed various solutions. The Impact Assessment Board considered the report in December 2012 and gave a favourable opinion subject to some revisions to the report. The report has since been revised and finalised. The preferred solutions form the basis for this proposal.

3. LEGAL ELEMENTS OF THE PROPOSAL

Summary of the proposed action

It is proposed to amend the basic anti-dumping and basic anti-subsidy Regulations in order to improve them in a number of areas. Regarding transparency and predictability, these will be enhanced by providing that interested parties are informed two weeks in advance of the

imposition of provisional measures that such measures are going to be imposed. Parties will also be given a guarantee that the measures will not be imposed within this two week period. A summary of the basis on which it is intended to impose the measures will be sent to interested parties and they will have the opportunity to comment on the calculation of the dumping and injury margins. Furthermore, when it is decided not to impose provisional measures but to continue the investigation, interested parties will be informed of the intention not to impose such measures two weeks in advance of the ultimate date for imposition.

Concerning threats of retaliation against Union producers who are considering lodging an anti-dumping and/or anti-subsidy complaint, such threats can be considered to constitute special circumstances that warrant the ex-officio opening of an investigation. Furthermore, when investigations are opened on an ex-officio basis, it is proposed to oblige Union producers to cooperate in the proceeding.

In regard to the effectiveness of the instruments, it is proposed to remove the lesser duty rule in cases of circumvention, or where structural raw material distortions have been found to exist, and subsidisation. Concerning reviews, it is proposed to reimburse duties collected during an expiry review investigation that is concluded by the repeal of the measures.

Finally, there are a number of areas where it is proposed to codify certain practices which stem from ECJ or WTO rulings that have been handed down in recent years. These concern the definition of Union industry, the consequences for exporting producers found not to be dumping or to be dumping at *de-minimis* levels in an original investigation, dealing with changed circumstances in a review investigation, the treatment of related companies in anti-circumvention investigations, the conditions for the registration of imports and the basis for choosing a sample of Union producers.

Legal basis

Article 207 of the Treaty on the Functioning of the European Union.

Subsidiarity principle

The proposal falls under the exclusive competence of the Union. The subsidiarity principle therefore does not apply.

Proportionality principle

The proposal complies with the proportionality principle for the following reasons:

The form of action is described in the aforementioned basic Regulations and leaves no scope for national decisions.

It will not entail any increased financial or administrative burden on the Union, national governments, regional and local authorities, economic operators and citizens. However, the reimbursement of duties collected during an ongoing expiry review, if such an expiry review does not lead to a prolongation of measures, is handled by national customs authorities. The additional workload on customs authorities is considered to be small and proportionate to the objective of the proposal, i.e. increasing fairness of the instruments.

The non-application of the lesser duty rule in cases of circumvention, or where structural raw material distortions have been found to exist, and subsidisation is proportionate to the additional need to protect trade in these situations.

Choice of instruments

Proposed instruments: Regulation.

Other means would not be adequate for the following reason(s):

The aforementioned basic Regulations do not provide for alternative options.

4. BUDGETARY IMPLICATION

The proposal has implications for the Union budget. The non-application of the lesser duty rule under certain circumstances will in some cases lead to higher duty levels and is thus revenue enhancing. The reimbursement of duties in cases where measures are terminated after an expiry review represents an expense for the Union budget. Quantification is very difficult since any revenue or expense depends on the circumstances of each individual case.

The proposed legislative changes will also entail some changes to the practice. These will not have any budgetary implications but changes to the working routines (e.g.: pre-disclosure, advance notice, summary document). The upgrading of the SME helpdesk (explained in the communication) has resource implications set out in the attached legislative financial statement.

5. OPTIONAL ELEMENTS

Not applicable.

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THE EUROPEAN PARLIAMENT AND THE COUNCIL OF THE EUROPEAN UNION

Having regard to the Treaty on the Functioning of the European Union, and in particular Article 207(2) thereof,

Having regard to the proposal from the European Commission,

After transmission of the draft legislative act to the national parliaments,

Acting in accordance with the ordinary legislative procedure,

Whereas:

- (1) The common rules for protection against dumped and subsidised imports from countries which are not members of the European Union are contained in Council Regulation (EC) No 1225/2009 of 30 November 2009 on protection against dumped imports from countries not members of the European Community¹ and Council Regulation (EC) No 597/2009 of 11 June 2009 on protection against subsidised imports from countries not members of the European Community² respectively (hereinafter jointly referred to as the 'Regulations'). The Regulations were initially adopted in 1995 following the conclusion of the Uruguay Round. Given that a number of amendments were made to the Regulations since then, the Council decided in 2009 to codify the regulations in the interest of clarity and rationality.
- (2) While the Regulations have been amended, there has not been a fundamental review of the functioning of these instruments since 1995. As a result, the Commission launched a review of the Regulations in 2011 in order to, *inter alia*, better reflect the needs of business at the beginning of the 21st century.
- (3) Following the review, certain provisions of the Regulations should be amended in order to improve transparency and predictability, provide for effective measures

¹ OJ L 343, 22.12.2009, p. 51.

² OJ L 188, 18.7.2009, p. 93.

to fight against retaliation, improve effectiveness and enforcement and optimise review practice. In addition, certain practices that in recent years have been applied in the context of anti-dumping and anti-subsidy investigations should be included in the Regulations.

- (4) In order to improve transparency and predictability of anti-dumping and anti-subsidy investigations, the parties affected by the imposition of provisional anti-dumping and countervailing measures, in particular importers, should be made aware of the impending imposition of such measures. The time given should correspond to the period between the submission of the draft implementing act to the anti-dumping committee established pursuant to Article 15 of Regulation (EC) No 1225/2009 and the anti-subsidy committee established pursuant to Article 25 of Regulation (EC) No 597/2009 and the adoption of that act by the Commission. This period is fixed in Article 3(3) of Regulation (EU) No 182/2011. Also, in investigations where it is not appropriate to impose provisional measures, it is desirable that parties are aware sufficiently in advance of such non-imposition.
- (5) A short period of time in advance of the imposition of provisional measures should be allowed for exporters or producers to check the calculation of their individual dumping or subsidy margin. Calculation errors could then be corrected in advance of the imposition of measures.
- (6) In order to ensure effective measures to fight against retaliation, Union producers should be able to rely on the Regulations without fear of retaliation by third parties. Existing provisions, under special circumstances, provide for the initiation of an investigation without having received a complaint, where sufficient evidence of the existence of dumping, countervailable subsidies, injury and causal link exists. Such special circumstances should include threat of retaliation.
- (7) When an investigation is not initiated by a complaint, an obligation should be imposed on Union producers to provide the necessary information in order for the investigation to proceed, in order to ensure that sufficient information is available for carrying out the investigation in case of such threats of retaliation.
- (8) Third countries increasingly interfere in trade of raw materials with a view to keeping raw materials in those countries for the benefit of domestic downstream users, for instance by imposing export taxes or operating dual pricing schemes. As a result, the costs of raw materials do not result from the operation of normal market forces reflecting supply and demand for a given raw material. Such interference creates additional distortions of trade. As a consequence, Union producers are not only harmed by dumping, but suffer, compared to downstream producers from third countries engaged in such practices, additional distortions of trade. In order to protect trade adequately, the lesser duty rule shall not apply in such cases of structural raw material distortions.
- (9) Within the Union, countervailable subsidies are in principle prohibited pursuant to Article 107 (1) TFEU. Therefore, countervailable subsidies granted by third countries are particularly distortive of trade. The amount of State aid authorized by the Commission has steadily been reduced over time. For the anti-subsidy

instrument, the lesser duty rule should hence no longer be applied to imports from a country/countries engaged in subsidisation.

- (10) In order to optimise the review practice, duties collected during the investigation should be reimbursed to importers, where measures are not prolonged after the conclusion of an expiry review investigation. This is appropriate given that the conditions required for the continuation of the measures have not been found to exist during the investigation period.
- (11) Certain practices which in recent years have been applied in the context of anti-dumping and anti-subsidy investigations should be included into the Regulations.
- (12) The Union industry should no longer be defined by reference to the initiation thresholds set out in the Regulations.
- (13) In initial investigations where dumping or subsidy margins have been found to be less than the *de minimis* thresholds, the investigation should be immediately terminated in relation to exporters that will not be subject to subsequent review investigations.
- (14) In the framework of anti-dumping and anti-subsidy review investigations, it seems appropriate to be able to change methodology as compared to the investigation that led to the imposition of the measure in order to ensure that, *inter alia*, coherent methodologies are used across different investigations at a given point in time. This will allow, in particular, scope to change methodologies which are revised over time as situations change.
- (15) When the conditions are met for initiating an anti-circumvention investigation, imports should in all cases be made subject to registration.
- (16) In anti-circumvention investigations, it seems advisable to remove the condition that, in order to be granted an exemption from registration or extended duties, producers of the product concerned should not be related to any producer subject to the original measures. This is because experience shows that sometimes producers of the product concerned are found not to be engaged in circumvention practices but are found to be related to a producer subject to the original measures. In such cases the producer should not be denied an exemption merely on the grounds that the company is related to a producer subject to the original measures. Also, when the circumvention practice takes place in the Union, the fact that importers are related to producers subject to the measures should not be decisive in determining whether the importer may be granted an exemption.
- (17) Where the number of producers in the Union is so large that resort must be made to sampling, a sample of producers should be chosen from among all producers in the Union and not just from among producers lodging the complaint.
- (18) In making the Union interest assessment, the opportunity to provide comments should be given to all producers in the Union and not just those producers lodging the complaint.

(19) Regulation (EC) No 1225/2009 and Regulation (EC) No 597/2009 should therefore be amended accordingly,

HAVE ADOPTED THIS REGULATION:

Article 1

Regulation (EC) No 1225/2009 is amended as follows:

1. In Article 4(1), the introductory wording is replaced by the following:

'1. For the purposes of this Regulation, the term 'Union industry' shall be interpreted as referring to the Union producers as a whole of the like products or to those of them whose collective output of the products constitutes a major proportion of the total Union production of those products, except that:'

2. In Article 6, the following paragraph 10 is added:

'10. Union producers of the like product are obliged to cooperate in proceedings that have been initiated pursuant to Article 5(6).'

3. Article 7 is amended as follows:

(a) in paragraph 1, the following sentence is added:

'Provisional duties shall not be applied within a period of two weeks after the information is sent to interested parties under Article 19a. The provision of such information shall not prejudice any subsequent decision that may be taken by the Commission.'

(b) paragraph 2 is replaced by the following:

'The amount of the provisional anti-dumping duty shall not exceed the margin of dumping as provisionally established. Unless structural raw material distortions were found to exist with regard to the product concerned in the exporting country, it should be less than the margin of dumping if such lesser duty would be adequate to remove the injury to the Union industry.'

4. Article 9 is amended as follows:

(a) paragraph 3 is replaced by the following:

'3. For a proceeding initiated pursuant to Article 5(9), injury shall normally be regarded as negligible where the imports concerned represent less than the volumes set out in Article 5(7). For the same proceeding, there shall be immediate termination where it is

determined that the margin of dumping is less than 2 %, expressed as a percentage of the export price.'

(b) in paragraph 4, the last sentence is replaced by the following:

'The amount of the anti-dumping duty shall not exceed the margin of dumping established. Unless structural raw material distortions were found to exist with regard to the product concerned in the exporting country, it shall be less than the margin of dumping if such lesser duty would be adequate to remove the injury to the Union industry.'

5. Article 11 is amended as follows:

(a) in paragraph 5, the following subparagraph is added:

'If following an investigation pursuant to paragraph 2, the measure expires, any duties collected from the date of the initiation of such investigation shall be repaid provided that this is requested from national customs authorities and granted by those authorities in accordance with the applicable Union customs legislation concerning repayment and remission of duty. Such repayment does not give rise to the payment of interest by the national customs authorities concerned.'

(b) paragraph 9 is deleted.

6. Article 13 is amended as follows:

(a) in paragraph 3, the second sentence is replaced by the following:

'Initiations shall be made, after consultation of the Advisory Committee, by Commission Regulation which shall also instruct the customs authorities to make imports subject to registration in accordance with Article 14(5) or to request guarantees.'

(b) in paragraph 4, the first subparagraph is replaced by the following:

'Imports shall not be subject to registration pursuant to Article 14(5) or measures where they are traded by companies which benefit from exemptions. Requests for exemptions duly supported by evidence shall be submitted within the time-limits established in the Commission regulation initiating the investigation. Where the circumventing practice, process or work takes place outside the Union, exemptions may be granted to producers of the product concerned that are found not to be engaged in circumvention practices as defined in paragraphs 1 and 2 of this Article. Where the circumventing practice, process or work takes place inside the Union, exemptions may be granted to importers that can

show that they are not engaged in circumvention practices as defined in paragraphs 1 and 2 of this Article.'

7. Article 17(1) is replaced by the following:

'1. In cases where the number of Union producers, exporters or importers, types of product or transactions is large, the investigation may be limited to a reasonable number of parties, products or transactions by using samples which are statistically valid on the basis of information available at the time of the selection, or to the largest representative volume of production, sales or exports which can reasonably be investigated within the time available.'

8. After Article 19, the following Article is inserted:

'Article 19a

Information about provisional measures

1. The Union producers, importers and exporters and their representative associations, and representatives of the exporting country, may request information on the planned imposition of provisional duties. Requests for such information shall be made in writing within the time limit prescribed in the notice of initiation. Such information shall be provided to those parties, at least two weeks before the expiry of the deadline mentioned in Article 7(1) for the imposition of provisional duties. Such information shall include:

(a) a summary of the proposed duties for information purposes only, and

(b) details of the calculation of the dumping margin and the margin adequate to remove the injury to the Union industry, due account being taken of the need to respect the confidentiality obligations contained in Article 19. Parties shall have a period of three working days to provide comments on the accuracy of the calculations.

2. In cases where it is intended not to impose provisional duties but to continue the investigation, interested parties shall be informed of the non-imposition of duties two weeks before the expiry of the deadline mentioned in Article 7(1) for the imposition of provisional duties.'

9. Article 21(2) is replaced by the following:

'2. In order to provide a sound basis on which the authorities can take account of all views and information in the decision as to whether or not the imposition of measures is in the Union interest, the Union producers, importers and their representative associations, representative users and representative consumer organisations may, within the time-limits specified in the notice of initiation of the anti-dumping investigation, make themselves known and provide information to the Commission. Such information,

or appropriate summaries thereof, shall be made available to the other parties specified in this Article, and they shall be entitled to respond to such information.'

Article 2

Regulation (EC) No 597/2009 is amended as follows:

1. In Article 9(1), the introductory wording is replaced by the following:

'1. For the purposes of this Regulation, the term 'Union industry' shall be interpreted as referring to the Union producers as a whole of the like products or to those of them whose collective output of the products constitutes a major proportion of the total Union production of those products, except that:'

2. In Article 11, a new paragraph is added:

'11. Union producers of the like product are obliged to cooperate in proceedings that have been initiated pursuant to Article 10(8).'

3. Article 12(1) is amended as follows:

(a) subparagraph 3 is replaced by the following:

'The amount of the provisional countervailing duty shall not exceed the total amount of countervailable subsidies as provisionally established.'

(b) the following subparagraph is added at the end:

'Provisional duties shall not be applied within a period of two weeks after the information is sent to interested parties under Article 29b. The provision of such information shall not prejudice any subsequent decision that may be taken by the Commission.'

4. In Article 14, paragraph 5 is replaced by the following:

'5. The amount of the countervailable subsidies shall be considered to be *de minimis* if such amount is less than 1% *ad valorem*, except where, as regards investigations concerning imports from developing countries, the *de minimis* threshold shall be 2% *ad valorem*.'

5. In Article 15(1), the last subparagraph is replaced by the following:

'The amount of the countervailing duty shall not exceed the amount of countervailable subsidies established.'

6. Article 22 is amended as follows:

(a) in paragraph 1 the following subparagraph is added:

'If following an investigation pursuant to Article 18, the measure expires, any duties collected after the date of the initiation of such investigation shall be reimbursed. The reimbursement should be requested from national customs authorities in accordance with the applicable Union customs legislation.'

(b) paragraph 6 is deleted.

7. Article 23 is amended as follows:

(a) in paragraph 4 second sentence, the word “may” is replaced by “shall”.

(b) in paragraph 6, the second subparagraph is replaced by the following:

'Where the circumventing practice, process or work takes place outside the Union, exemptions may be granted to producers of the product concerned that are found not to be engaged in circumvention practices as defined in paragraph 3.'

(c) in paragraph 6, the third subparagraph is replaced by the following:

'Where the circumventing practice, process or work takes place inside the Union, exemptions may be granted to importers that can show that they are not engaged in circumvention practices as defined in paragraph 3.'

8. In Article 27(1), the first subparagraph is replaced by the following:

'1. In cases where the number of Union producers, exporters or importers, types of product or transactions is large, the investigation may be limited to:'

9. After Article 29, the following Article is inserted:

'Article 29b

Information about provisional measures

1. The Union producers, importers and exporters and their representative associations, and the country of origin and/or export, may request information on the planned imposition of provisional duties. Requests for such information shall be made in writing within the time limit prescribed in the notice of initiation. Such information shall be

provided to those parties, at least two weeks before the expiry of the deadline mentioned in Article 12(1) for the imposition of provisional duties.

Such information shall include:

(a) a summary of the proposed duties for information purposes only, and

(b) details of the calculation of the subsidy margin and the margin adequate to remove the injury to the Union industry, due account being taken of the need to respect the confidentiality obligations contained in Article 29. Parties shall have a period of three working days to provide comments on the accuracy of the calculations.

2. In cases where it is intended not to impose provisional duties but to continue the investigation, interested parties shall be informed of the non-imposition of duties two weeks before the expiry of the deadline mentioned in Article 12(1) for the imposition of provisional duties.'

10. Article 31(2) is replaced by the following:

'2. In order to provide a sound basis on which the authorities can take account of all views and information in the decision as to whether or not the imposition of measures is in the Union interest, the Union producers, importers and their representative associations, representative users and representative consumer organisations may, within the time-limits specified in the notice of initiation of the countervailing investigation, make themselves known and provide information to the Commission. Such information, or appropriate summaries thereof, shall be made available to the other parties specified in this paragraph, and they shall be entitled to respond to such information.'

Article 3

This Regulation shall enter into force on the day following that of its publication in the *Official Journal of the European Union*.

Article 4

This Regulation shall apply to all investigations for which the notice of initiation pursuant to Article 10 (11) of Regulation (EC) No 597/2009 or Article 5 (9) of Regulation (EC) No 1225/2009 has been published in the Official Journal after the date of entry into force of this regulation.

This Regulation shall be binding in its entirety and directly applicable in all Member States.

Done at Brussels,

For the European Parliament
The President

For the Council
The President

SIMPLIFIED FINANCIAL STATEMENT

(to be used for any internal Commission Regulation of general significance with a budgetary impact on appropriations of an administrative nature or on human resources, when use of any other type of financial statement is not appropriate – Article 23 of the Internal Rules)

1 Title of draft Regulation:

Modernisation of trade defence instruments

2 Policy area(s) and ABB activity(ies) concerned:

20: Trade policy

3 Legal basis:

Administrative autonomy Other (specify):

Council Regulation (EC) No 1225/2009 on protection against dumped imports from countries not members of the European Community and

Council Regulation (EC) No 597/2009 on protection against subsidised imports from countries not members of the European Community

4 Description and grounds:

The current EU Trade defence instruments are being modernised in order to improve their efficiency and effectiveness. The initiative consists of a communication, a legislative proposal and guidelines.

5 Duration and estimated financial impact:

5.1 Period of application:

Regulation with a limited duration: Regulation in force from [date] to [date]

Regulation with an indefinite duration: in force from [date]

5.2 Estimated budgetary impact:

The draft Regulation entails:

savings

additional costs (if so, specify the heading(s) of the multiannual financial framework concerned):

Heading 5: administrative costs

Complete the estimated financial impact table in the annex for appropriations of an administrative nature or for human resources. If the draft Regulation is of indefinite duration, the costs must be indicated for each year of development and then for each year of operation at full capacity (in the column "Total/annual cost").

5.3 Third-party contributions to the financing of the draft Regulation:

If the proposal provides for co-financing by Member States or other bodies (please specify which), you should give an estimate of the level of co-financing, if known.

appropriations in EUR million (to 3 decimal places)

| | Year n | Year n+1 | Year n+2 | Year n+3 | Year n+4 | Year n+5 | Year n+6 | Total |
|------------------------------------|-----------|-------------|-------------|-------------|-------------|-------------|-------------|-------|
| Specify cofinancing source/body | | | | | | | | |
| TOTAL appropriations cofinanced | | | | | | | | |

5.4 Explanation of figures:

Average staff costs are shown at the foot of page http://www.cc.cec/budg/pre/legalbasis/pre-040-020_preparation_en.html

6 Compatibility with the current multiannual financial framework:

- The proposal is compatible with existing financial programming.
- The proposal will entail reprogramming of the relevant heading in the multiannual financial framework.
- The proposal requires use of the flexibility instrument or revision of the multiannual financial framework³.

7 Impact of savings or additional costs on the allocation of resources:

- Resources to be obtained by means of internal redeployment within departments
- Resources already allocated to the department(s) concerned
- Resources to be requested during the next allocation procedure

The human and administrative resources required will be covered by the allocation which may be granted to the managing DG under the annual allocation procedure in the light of existing budgetary constraints.

³ See points 19 and 24 of the Interinstitutional Agreement.

ANNEX:

ESTIMATED FINANCIAL IMPACT (savings or additional costs) FOR APPROPRIATIONS OF AN ADMINISTRATIVE NATURE OR FOR HUMAN RESOURCES

FTE=Full-time equivalent XX is the policy area or title concerned EUR million (to three decimal places)

| FTE in persons/year | Year | | Year | | Year | | Year | | Year | | Year | | TOTAL /Annual cost | |
|---------------------------------------------------------------------------|----------|---------|------------|---------|------------|---------|------------|---------|------------|---------|------------|---------|--------------------|-------------|
| | n | | n+1 | | n+2 | | n+3 | | n+4 | | n+5 | | n+6 | |
| Heading 5 | FTE | approp. | FTE | approp. | FTE | approp. | FTE | approp. | FTE | approp. | FTE | approp. | FTE | approp. |
| Establishment plan posts (officials and/or temporary staff) | | | | | | | | | | | | | | |
| XX 01 01 01 (Headquarters and Commission's Representation Offices) | 1 | 0,13 | 1 | 0,13 | 1 | 0,13 | 1 | 0,13 | 1 | 0,13 | 1 | 0,13 | 1 | 0,13 |
| XX 01 01 02 (Delegations) | | | | | | | | | | | | | | |
| External staff | | | | | | | | | | | | | | |
| XX 01 02 01 ('global envelope') | | | | | | | | | | | | | | |
| XX 01 02 02 (Delegations) | | | | | | | | | | | | | | |
| Other budget lines (specify) | | | | | | | | | | | | | | |
| Subtotal – Heading 5 | | | | | | | | | | | | | | |
| Outside Heading 5 | | | | | | | | | | | | | | |
| Establishment plan posts (officials and/or temporary staff) | | | | | | | | | | | | | | |
| XX 01 05 01 (Indirect research) | | | | | | | | | | | | | | |
| 10 01 05 01 (Direct research) | | | | | | | | | | | | | | |
| External staff | | | | | | | | | | | | | | |

| | | | | | | | | | | |
|----------------------------------------|--|--|--|--|--|--|--|--|--|--|
| XX 01 04 yy | | | | | | | | | | |
| - Headquarters | | | | | | | | | | |
| - Delegations | | | | | | | | | | |
| XX 01 05 02 (Indirect research) | | | | | | | | | | |
| 10 01 05 02 (Direct research) | | | | | | | | | | |
| Other budget lines (specify) | | | | | | | | | | |
| Subtotal – Outside Heading 5 | | | | | | | | | | |
| TOTAL | | | | | | | | | | |

The human and administrative resources required will be covered by the allocation which may be granted to the managing DG under the annual allocation procedure in the light of existing budgetary constraints.

Other administrative appropriations XX is the policy area or title concerned EUR million (to three decimal places)

| | Year n | Year n+1 | Year n+2 | Year n+3 | Year n+4 | Year n+5 | Year n+6 | TOTAL |
|--------------------------------------------------------------------|------------------|--------------------|--------------------|--------------------|--------------------|--------------------|--------------------|--------------|
| Heading 5 | | | | | | | | |
| <u>Headquarters:</u> | | | | | | | | |
| XX 01 02 11 01 - Mission and representation expenses | | | | | | | | |
| XX 01 02 11 02 – Conference and meeting costs | | | | | | | | |
| XX 01 02 11 03 – Committees | | | | | | | | |
| XX 01 02 11 04 - Studies and consultations | | | | | | | | |
| XX 01 03 01 03 - Equipment and furniture | | | | | | | | |
| XX 01 03 01 04 - Services and other operating expenditure | | | | | | | | |
| Other budget lines (specify where appropriate) | | | | | | | | |
| <u>Delegations:</u> | | | | | | | | |
| XX 01 02 12 01 – Missions, conferences and representation expenses | | | | | | | | |
| XX 01 02 12 02 - Further training of staff | | | | | | | | |
| XX 01 03 02 01 – Acquisition, renting and related expenditure | | | | | | | | |
| XX 01 03 02 02 Equipment, furniture, supplies and services | | | | | | | | |
| Subtotal – Heading 5 | | | | | | | | |
| Outside Heading 5 | | | | | | | | |

| | | | | | | | | |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|--|--|--|--|--|--|--|
| XX 01 04 yy - Expenditure on technical and administrative assistance (<u>not including external staff</u>) from operational appropriations (former "BA" lines) | | | | | | | | |
| - Headquarters | | | | | | | | |
| - Delegations | | | | | | | | |
| XX 01 05 03 - Other management expenditure for indirect research | | | | | | | | |
| 10 01 05 03 - Other management expenditure for direct research | | | | | | | | |
| Other budget lines (specify where appropriate) | | | | | | | | |
| Subtotal – Outside Heading 5 | | | | | | | | |
| GRAND TOTAL | | | | | | | | |

The human and administrative resources required will be covered by the allocation which may be granted to the managing DG under the annual allocation procedure in the light of existing budgetary constraints.