



KOMMISSIONEN FOR DE EUROPÆISKE FÆLLESSKABER

Bruxelles, den 04.02.2005  
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Forslag til

**EUROPA-PARLAMENTETS OG RÅDETS FORORDNING**

**om ændring af forordning (EF) nr. 1177/2003 om EF-statistikker over indkomstforhold  
og levevilkår (EU-SILC)**

(forelagt af Kommissionen)

## BEGRUNDELSE

### 1. BAGGRUND

1. Den 16. juni 2003 vedtog Europa-Parlamentet og Rådet forordning (EF) nr. 1177/2003 om EF-statistikker over indkomstforhold og levevilkår (EU-SILC), som efterfølgende blev offentliggjort i EUT den 3. juli 2003. I henhold til denne forordning vil EU-SILC blive iværksat i 2004 eller 2005 i alle EU-medlemsstater, Island og Norge.
2. Formålet med forordningen er at fastlægge en fælles ramme for en systematisk udarbejdelse af EF-statistikker over indkomstforhold og levevilkår (EU-SILC). EU-SILC vil blive referencekilden for sammenlignende statistikker over indkomst.
3. Eftersom det nye SILC-projekt er en kilde til vigtige socioøkonomiske indikatorer og vil blive anvendt af Rådet og Kommissionen i kampen mod fattigdom og social udstødelse i EU, skal det opfylde høje standarder for statistisk kvalitet, især en høj svarprocent og en lav fejlprocent og fuld geografisk dækning.

### 2. KONTEKST

4. SILC-projektet skal også iværksættes i de ti nye medlemsstater. Det viser sig imidlertid, at de nye medlemsstater med undtagelse af Estland har behov for længere tid til at tilpasse deres systemer til de harmoniserede metoder og definitioner, der anvendes til at udarbejde EF-statistikker. Stikprøvestørrelserne for disse lande skal også defineres.

### 3. FORMÅLET MED DEN NYE FORORDNING

5. I forslaget til Europa-Parlamentets og Rådets forordning om ændring af forordning (EF) nr. 1177/2003:
  - indføres en undtagelse fra artikel 4 for at give de nye medlemsstater undtagen Estland mulighed for at igangsætte SILC-projektet i 2005
  - anføres det i artikel 13, at EU's finansielle bidrag til Estland ikke vil blive ydet for de første fire år, hvor der indsamles data, men for fire år at regne fra 2005
  - defineres i bilag II den mindste effektive stikprøvestørrelse for hver af de ti nye medlemsstater.

### 4. FINANSIELLE VIRKNINGER

6. Forslaget til Europa-Parlamentets og Rådets forordning har en finansiell virkning for Kommissionen. EU's bidrag til finansiering af de første fire år af indsamlingen af SILC-data i de gamle EU-medlemsstater, Island og Norge beløb sig til €38 650 000. Bidraget til de nye medlemsstater beløber sig til €9 556 000.

**5. NÆSTE SKRIDT**

7. Den foreslåede forordning vil blive forelagt for Europa-Parlamentet og Rådet.

Forslag til

## **EUROPA-PARLAMENTETS OG RÅDETS FORORDNING**

**om ændring af forordning (EF) Nr. 1177/2003 om EF-statistikker over indkomstforhold og levevilkår (EU-SILC)**

**(EØS-relevant tekst)**

EUROPA-PARLAMENTET OG RÅDET FOR DEN EUROPÆISKE UNION HAR -

under henvisning til traktaten om oprettelse af Det Europæiske Fællesskab, særlig artikel 285,

under henvisning til forslag fra Kommissionen<sup>1</sup>,

i henhold til fremgangsmåden i traktatens artikel 251<sup>2</sup>, og

ud fra følgende betragtninger:

- (1) Europa-Parlamentets og Rådets forordning (EF) nr. 1177/2003 af 16. juni 2003 om EF-statistikker over indkomstforhold og levevilkår (EU-SILC)<sup>3</sup> fastlægger en fælles ramme for en systematisk udarbejdelse af EF-statistikker over indkomstforhold og levevilkår omfattende sammenlignelige og aktuelle tværsnits- og tidsseriedata om indkomstforhold og om omfanget af fattigdom og social udstødelse og om de berørte gruppers sammensætning på nationalt plan og EU-plan.
- (2) Som følge af de nye medlemsstaters tiltrædelse af Den Europæiske Union den 1. maj 2004 er det nødvendigt at udvide bilag II til forordning (EF) nr. 1177/2003, eftersom der i dette bilag for hver medlemsstat er fastsat den mindste effektive stikprøvestørrelse, der kræves i henhold til EU-SILC.
- (3) Desuden har det vist sig, at de fleste nye medlemsstater og flere af de eksisterende medlemsstater har behov for længere tid til at tilpasse deres systemer til de harmoniserede metoder og definitioner, der anvendes til udarbejdelse af EF-statistikker.
- (4) Forordning (EF) nr. 1177/2003 bør derfor ændres i overensstemmelse hermed -

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<sup>1</sup> EUT

<sup>2</sup> Europa-Parlamentets udtalelse af 14.5.2002 (endnu ikke offentliggjort i EUT), Rådets fælles holdning af 6.3.2003 (EUT C 107 E af 6.5.2003, s. 26) og Europa-Parlamentets afgørelse af 13. maj 2003 (endnu ikke offentliggjort i EUT).

<sup>3</sup> EUT L 165 af 3.7.2003, s. 1.

UDSTEDT FØLGENDE FORORDNING:

*Artikel 1*

I forordning (EF) nr. 1177/2003 foretages følgende ændringer:

(1) Artikel 4, stk. 2, affattes således:

"2. Som undtagelse fra stk. 1 kan Tjekkiet, Tyskland, Cypern, Letland, Litauen, Ungarn, Malta, Nederlandene, Polen, Slovenien, Slovakiet og Det Forenede Kongerige påbegynde den årlige tværsnits- og tidsseriedataindsamling i 2005.

Dette forudsætter, at disse medlemsstater for 2004 indsender sammenlignelige data for de fælles tværsnitsbaserede EU-indikatorer, som kan afledes af EU-SILC-instrumentet, og som Rådet vedtog som led i den åbne koordinationsmetode før den 1. januar 2003."

(2) I artikel 13 indsættes som stk. 4 og 5:

"4. Som undtagelse fra stk. 1 modtager Estland for de fire år at regne fra 2005, hvor dataindsamlingen finder sted, et finansielt bidrag fra Fællesskabet til dækning af de omkostninger, som arbejdet medfører.

5. Året 2007 vil blive finansieret via et kommende fællesskabsprogram."

(3) Bilag II ændres som angivet i bilaget til nærværende forordning.

*Artikel 2*

Denne forordning træder i kraft på tyvendedagen efter offentliggørelsen i *Den Europæiske Unions Tidende*

Denne forordning er bindende i alle enkeltheder og gælder umiddelbart i hver medlemsstat.

Udfærdiget i Bruxelles, den .

*På Europa-Parlamentets vegne*

*På Rådets vegne*

*Formand*

*Formand*

## BILAG

### "BILAG II

#### Mindste effektive stikprøvestørrelse

	Husstande		Personer på 16 år og derover, der skal interviewes	
	Tværsnit	Tidsserie	Tværsnit	Tidsserie
	1	2	3	4
<b>EU-medlemsstater</b>				
Belgien	4 750	3 500	8 750	6 500
Tjekkiet	4 750	3 500	10 000	7 500
Danmark	4 250	3 250	7 250	5 500
Tyskland	8 250	6 000	14 500	10 500
Estland	3 500	2 750	7 750	5 750
Grækenland	4 750	3 500	10 000	7 250
Spanien	6 500	5 000	16 000	12 250
Frankrig	7 250	5 500	13 500	10 250
Irland	3 750	2 750	8 000	6 000
Italien	7 250	5 500	15 500	11 750
Cypern	3 250	2 500	7 500	5 500
Letland	3 750	2 750	8 500	6 500
Litauen	4 000	3 000	9 000	6 750
Luxembourg	3 250	2 500	6 500	5 000
Ungarn	4 750	3 500	10 250	7 750
Malta	3 000	2 250	7 000	5 250
Nederlandene	5 000	3 750	8 750	6 500
Østrig	4 500	3 250	8 750	6 250
Polen	6 000	4 500	15 000	11 250
Portugal	4 500	3 250	10 500	7 500
Slovenien	3 750	2 750	9 000	6 750
Slovakiet	4 250	3 250	11 000	8 250
Finland	4 000	3 000	6 750	5 000
Sverige	4 500	3 500	7 500	5 750
Det Forenede Kongerige	7 500	5 750	13 750	10 500
<b>EU-medlemsstater i alt</b>	<b>121 000</b>	<b>90 750</b>	<b>251 000</b>	<b>187 750</b>
Island	2 250	1 700	3 750	2 800
Norge	3 750	2 750	6 250	4 650
<b>I alt med Island og Norge</b>	<b>127 000</b>	<b>95 200</b>	<b>261 000</b>	<b>195 200</b>

NB:

Der er tale om den effektive stikprøvestørrelse, som er den størrelse, der kræves, hvis undersøgelsen var baseret på simpel tilfældig stikprøveudvælgelse (stikprøveplaneffekt i forhold til fattigdomsrisikovariablen = 1,0). De faktiske stikprøvestørrelser skal være større, hvis stikprøveplaneffekten overstiger 1,0 og for at kompensere for alle former for manglende besvarelse. Desuden er stikprøvestørrelsen antallet af gyldige husstande, dvs. husstande - og samtlige medlemmer heraf - hvor samtlige eller næsten samtlige krævede oplysninger er blevet indhentet."

## LEGISLATIVE FINANCIAL STATEMENT

**Policy area(s): Statistics**

**Activity(ies): Social Statistics**

**TITLE OF ACTION: EU-SILC (COMMUNITY STATISTICS ON INCOME AND LIVING CONDITIONS)**

### 1. BUDGET LINE(S) + HEADING(S)

29 02 01: Politique d'informations statistiques

04 04 02 02: Actions visant à combattre et à prévenir l'exclusion sociale

### 2. OVERALL FIGURES

**2.1. Total allocation for action (Operational part): €46 982 000 for commitment for EU-25**

**2.2. Period of application: 2003 - 2007**

**2.3. Overall multi-annual estimate of expenditure**

(a) Schedule of commitment appropriations/payment appropriations (financial intervention) (*see point 6.1.1*)

€ Million

	2003	2004	2005	2006	2007	2008	2009	Total
Commitments	6,423	12,057	11,681	11,692	5,127			46,980
Payments	1,927	6,185	10,255	11,797	9,718	5,560	1,538	46,980

(b) Overall financial impact of human resources and other administrative expenditure

€ Million

Commitments/ payments	1,080	1,080	1,080	1,080				4,320
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TOTAL a+b

€ Million

Commitments	7,503	13,137	12,761	12,772	5,127			51,300
Payments	3,007	7,265	11,335	12,877	9,718	5,560	1,538	51,300

**2.4. Compatibility with financial programming and financial perspective**

Proposal compatible with the existing financial programming 2000-2006

**2.5. Financial impact on revenue**

No financial implications (involves technical aspects regarding implementation of a measure)

### 3. BUDGET CHARACTERISTICS

Type of expenditure		New	EFTA participation	Participation applicant countries	Heading Financial Perspective
Non-comp	Diff	YES	YES	NO	Non-comp

### 4. LEGAL BASIS

- Articles 285, 136, and 137 of the Amsterdam Treaty establishing the European Community
- Council Regulation (EC) No 322/97 on Community Statistics
- Proposal for a decision of the European Parliament and of the Council on the Community Statistical Programme 2003 to 2007 (COM(2001) 683 final)
- Decision No 50/2002/EC of the European Parliament and of the Council of 7 December 2001 establishing a programme of Community action to encourage cooperation between Member States to combat social exclusion
- Regulation (EC) No 1177/2003 of the European Parliament and of the Council of 16 June 2003 concerning Community statistics on income and living conditions (EU-SILC)

### 5. DESCRIPTION AND GROUNDS

#### 5.1. Need for Community intervention

##### 5.1.1. Objectives pursued

The general objective of EU-SILC (Community Statistics on Income and Living Conditions) is to produce timely and comparable cross-sectional and longitudinal data on income and on the level and composition of poverty and social exclusion at national and EU levels.

The high priority given by the Council and the Commission to the fight against poverty and social exclusion in the EU requires comparable and timely statistics to monitor this process.

##### 5.1.2. Measures taken in connection with ex ante evaluation

The EU-SILC project was launched in 2003 on the basis of a general agreement and in 2004-2005 under the Framework Regulation in place of the European Community Household Panel (ECHP) survey that ran for the 1994-2001 period.

In 1999, the Directors of Social Statistics of the National Statistical Institutes decided to stop the ECHP project in 2001. This decision was taken in view of both the need to update the content according to the new political demands, and the request for operational improvement, i.e. mainly the timeliness of the data produced.

In 2000, the Directors of Social Statistics supported the introduction of a legal act for EU-SILC. The draft of the related Framework Regulation was then presented and amended following decisions taken during the meetings of the Statistical Programme Committee (SPC) on 30/05/01 and of the Directors of Social Statistics on 11-12/06/01.

The total costs for the collection of the EU-SILC data will be around €47 million over a five-year period. Fifty-five percent of the data collection costs will be supported by the Commission for the first four year of the project in each country, since it is a new project. Depending on the country between 37% and two-thirds of the data collection will be given to the countries.

The yearly data collection costs for the ECHP project were lower (€10 million). However, the Commission was not financing more than half of the costs.

### EU-SILC evaluation

It is planned to carry out a regular evaluation of the EU-SILC project:

- Annual intermediate quality reports relating to the common cross-sectional EU indicators, as well as annual final quality reports covering both cross-sectional and longitudinal components of EU-SILC and focusing on the internal accuracy, will be produced by each Member State as well as by Iceland and Norway.
- The Commission will produce annual comparative intermediate and final quality reports on the basis of the reports mentioned above.
- From 2004 on, the Commission will organise methodological studies to estimate the impact on comparability of the national data sources used and to identify best practices to be followed.
- In addition, no later than 31 December 2007, the Commission will submit a report to the European Parliament and the Council on the work done in the preceding years under the Regulation.

## **5.2. Action envisaged and budget intervention arrangements**

- The target population(s): Community policies, national governments, businesses, universities, research organisations, and the general public.
- The concrete measures to be taken to implement the action: launching of household/individual surveys in all EU Member States and Iceland and Norway, combined with register information in some countries.
- On average, the countries will support 45% of the costs, but country contributions will vary from 33.3% to 63%.
- The immediate outputs of each action: annual production of survey (combined with register) data.

- The expected outcomes solving needs or problems: annual production of comparable and timely data on income and on the level and composition of poverty and social exclusion for the EU as a whole and for each EU Member State as well as for Iceland and Norway.

### 5.3. Methods of implementation

Method used to implement the planned actions: direct management by the Commission using either regular or outside staff.

## 6. FINANCIAL IMPACT

### 6.1. Total financial impact on Part B - (over the entire programming period)

#### 6.1.1. Financial intervention

	€ Million				
	2003	2004	2005	2006	2007
Eurostat 29 02 01	3,2115	6,0285	5,8405	5,846	2,5635
EMPL 04 04 02 02	3,2115	6,0285	5,8405	5,846	2,5635 <sup>4</sup>
<b>TOTAL</b>	<b>6,423</b>	<b>12,057</b>	<b>11,681</b>	<b>11,692</b>	<b>5,127</b>

National shares of the Community funds will be allocated among EU and EEA countries as follows:

	€					
	2003	2004	2005	2006	2007	<b>TOTAL</b>
Belgium	571 441	567 841	567 841	567 841		<b>2 274 964</b>
Czech Republic		351 825	351 825	351 825	351 825	<b>1 407 300</b>
Denmark	261 651	261 651	261 651	261 651		<b>1 046 604</b>
Germany		1 133 175	1 133 175	1 133 175	1 133 175	<b>4 532 700</b>
Estonia		181 787	160 616	162 471	164 325	<b>669 199</b>
Greece	277 783	277 783	277 783	277 783		<b>1 111 132</b>
Spain	820 691	820 691	820 691	820 691		<b>3 282 764</b>
France	874 964	1 065 150	1 065 150	1 065 150		<b>4 070 414</b>
Ireland	619 800	619 800	619 800	619 800		<b>2 479 200</b>
Italy	1 005 563	1 005 563	1 005 563	1 005 563		<b>4 022 252</b>
Cyprus		236 000	206 000	213 667	221 533	<b>877 200</b>
Latvia		112 171	121 486	126 153	136 218	<b>496 028</b>
Lithuania		149 172	151 144	161 327	173 333	<b>634 976</b>
Luxembourg	475 800	475 800	475 800	475 800		<b>1 903 200</b>

<sup>4</sup> The financing for the year 2007 shall still be ensured by a future Community programme.

Hungary		274 985	284 041	292 302	309 398	<b>1 160 726</b>
Malta		198 204	209 635	213 192	216 819	<b>837 850</b>
Netherlands		502 365	502 365	502 365	502 365	<b>2 009 460</b>
Austria	664 781	664 781	664 781	664 781		<b>2 659 124</b>
Poland		463 813	355 422	329 567	319 245	<b>1 468 047</b>
Portugal	220 339	253 672	253 672	253 672		<b>981 355</b>
Slovenia		282 879	287 227	292 859	298 491	<b>1 161 456</b>
Slovakia		282 167	185 553	185 553	188 167	<b>841 440</b>
Finland	295 000	295 000	295 000	295 000		<b>1 180 000</b>
Sweden	335 367	335 367	335 367	335 367		<b>1 341 468</b>
United Kingdom		1 245 296	1 089 101	1 084 789	1 112 500	<b>4 531 686</b>
<b>TOTAL EU25</b>	<b>6 423 180</b>	<b>12 056 938</b>	<b>11 680 689</b>	<b>11 692 344</b>	<b>5 127394</b>	<b>46 980 545</b>
Iceland	65 481	68 835	74 025	74 025		<b>282 366</b>
Norway	235 372	235 372	235 372	235 372		<b>941 488</b>

**6.2. Calculation of costs by measure envisaged in Part B (over the entire programming period)<sup>5</sup>**

Commitments in € million

Breakdown	Type of outputs (projects, files )	Number of outputs (total for years 1...n)	Average unit cost	Total cost (total for years 2003-2007)
	1	2	3	4=(2X3)
<u>Action 1</u>				
- Data collection for the cross-sectional component	Data	- 2004: 65 250 households - 2005: 127 000 households - 2006: 127 000 households - 2007: 127 000 households -2008: 61 750 households	79,864 € per household	40,571 million €
- Additional data collection for the longitudinal component <sup>1</sup>	Data	- 2004: 10 000 households - 2005: 21 500 households - 2006: 21 500 households - 2007: 21 500 households - 2008: 5 750 households	79,864 € per household	6,409 million €
<b>TOTAL COST</b>				<b>46,980 million €<sup>2</sup></b>

<sup>5</sup> For further information, see separate explanatory note.

<sup>1</sup> In most countries, the cross-sectional and longitudinal components will be combined into one operation; in a few countries, two separate operations will be carried out: the additional number of households corresponding to the additional data collection for the longitudinal component will be around 20.000 households.

<sup>2</sup> €38 686 million will be borne by countries

## 7. IMPACT ON STAFF AND ADMINISTRATIVE EXPENDITURE

### 7.1. Impact on human resources

Types of posts		Staff to be assigned to management of the action using existing resources		Total	Description of tasks deriving from the action
		Number of permanent posts	Number of temporary posts		
Permanent officials or Temporary staff	A	2	2		
	B	2	3		
	C	1			
Other human resources					
Total		5	5	10	

### 7.2. Overall financial impact of human resources

Type of human resources	Amount €	Method of calculation *
Officials	540 000	5*108 000 € per year
Temporary staff	540 000	5*108 000 € per year
Other human resources (give budget line)		
Total	1 080 000	

The amounts are the total expenditure for twelve months.

### 7.3. Other administrative expenditure deriving from the action

Budget line (number and heading)	Amount €	Method of calculation
<b>Overall allocation (Title A7)</b>		
A0701 – Missions		
A07030 – Meetings		
A07031 – Compulsory committees <sup>6</sup>		
A07032 – Non-compulsory committees <sup>4</sup>		
A07040 – Conferences		
A0705 – Studies and consultations		
... Other expenditure (state which)		
<b>Information systems (A-5001/A-4300)</b>		
<b>Other expenditure - Part A (state which)</b>		
Total		

The amounts are the total expenditure for twelve months.

I.	Annual total (7.2 + 7.3)	1 080 000 €
II.	Duration of action	4 Years
III.	Total cost of action (I x II)	4 320 000 €

### 7.4. Allocation

The need for human and administrative resources shall be covered within the allocation granted to the managing DG in the framework of the annual allocation procedure.

## 8. FOLLOW-UP AND EVALUATION

### 8.1. Follow-up arrangements

Implementation of the EU-SILC project will be handled by comitology procedure. Commission Regulations will be developed in relation to the list of variables to be included in EU-SILC: the updated definitions, the sampling and tracing and fieldwork aspects including imputation, and the content of the quality reports to be transmitted by Member States as well as by Iceland and Norway to Eurostat.

### 8.2. Arrangements and schedule for the planned evaluation

The main instruments used for the evaluation of the EU-SILC project are the annual intermediate quality reports relating to the common cross-sectional EU indicators and the annual quality reports covering both cross-sectional and longitudinal components of EU-SILC. The latter will also focus on the internal accuracy produced

<sup>6</sup> Specify the type of committee and the group to which it belongs.

by each country, as well as the report produced no later than 31 December 2007 by the Commission to the European Parliament and the Council on the work done in the preceding years under the Regulation.

In addition, rolling reviews will be used for the evaluation of the EU-SILC project during its implementation.

User surveys will be carried out in order to give a clear picture of strengths and weaknesses. These evaluation activities will take place in the context of Eurostat's Corporate Plan.

## **9. ANTI-FRAUD MEASURES**

A revised system of internal management and control was put in place following the Commission's Reform initiative on financial management. This system included a reinforced internal audit capability.

Annual monitoring of progress with implementation of the Commission's Internal Control Standards is designed to give assurance on the existence and functioning of procedures for the prevention and detection of fraud and irregularities.

New rules and procedures have been adopted for the principal budgetary process: calls for tenders, grants, commitments, contracts and payments. The manual of procedures is made available to everyone involved in financial acts with a view to clarifying responsibilities, simplifying workflows and indicating key control points. Training on their use is provided. The manuals are subject to regular review and updating.