

STRUCTURING THE EUROPEAN RESEARCH AREA

Work programme "Research and Innovation"

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1.1 Introduction and objectives

This specific programme attacks a number of key structural weaknesses that prevent the maximum economic and social benefits being drawn from the European research effort.

The “Research and innovation” theme of the specific programme aims to encourage a more innovation-friendly environment throughout the EU, and to stimulate technological innovation and the setting up of innovative technology businesses.

With these aims, implementation of the “Research and innovation” work programme must be in interaction with other Community policies relevant to innovation and, in particular, with research policy of which the RTD framework programme is the main instrument.

Promotion of innovation is a cross-cutting objective throughout the framework programme. It is present in the specific programme “Integrating and strengthening the European Research Area”:

- as a fundamental preoccupation across the priority research themes
- as an important element of the policy development section, under the heading “Coherent development of research and innovation policies”.

The other three themes of the present specific programme will also contribute to innovation, especially “Science and society”. This theme addresses improved understanding between researchers, business, policy-makers and society in general, which would lead to a wider understanding and awareness of innovation and of its relationship with science.

The objectives of the "Research and innovation" theme are to:

- set up the basis of a European innovation system by networking players, promoting cooperation, breaking down barriers and encouraging transnational learning
- investigate and test new approaches, extract lessons from the experience of FP research projects and promote entrepreneurial innovation
- offer services that need to be provided on a European scale.

The full involvement of associated candidate countries is to be secured. The international dimension is to be taken into consideration when to do so is beneficial for the European innovation system.

Care will be taken to ensure that activities are coherent with each other and have the necessary degree of integration.

1.2 Technical content

1.2.1 Networking the players and users, and encouraging interaction between them

Objectives

Connecting key players, users and stakeholders to promote change, entrepreneurial innovation and interlinkages in the European innovation system.

Content

A) Connecting key players

- 1) Building on the Gate2Growth experience, connection at European level of key players on specific innovation issues, in order, for example, to exchange updated information on the current state-of-the-art, and to discuss the main problems or to explore the most likely trends (e.g. venture capital operators, incubators, intellectual property, technology transfer and business support organisations, universities, etc).
- 2) Setting up of two specific networks facilitating the interaction of actors:
 - A network of areas of excellence, building on the PAXIS experience, to establish a learning platform involving players and users, in order to foster the transfer of knowledge on best practices by mapping and benchmarking clusters of excellence.
 - A network where start-up representatives and service providers representatives interact to provide benchmarks and quality criteria to service providers, such as incubators, hatcheries, etc.

B) Promote change and entrepreneurial innovation

The above mentioned networks, as well the Innovation Regions in Europe and Innovation Relay Centres networks (see 1.2.2 and 1.2.4.2 respectively) will contribute to dissemination of the outcome of the following activities:

- 1) **Agenda for change:** The objective is to identify cultural and other barriers to innovation and organise and/or support European events, workshops and debates to define an agenda for change and encourage a better understanding of innovation by society at large. Users (consumers, etc.) as well as the main stakeholders (trade union representatives, education and training representatives, etc.) will be involved in this process. Survey of attitudes and approaches to innovation (for instance, surveys building on the Innobarometer surveys launched under FP5) will complement these activities.
- 2) **Entrepreneurial innovation:** It is envisaged to set up a virtual academia and support packages to work on concepts associated with entrepreneurial innovation, involving business schools, universities and entrepreneurs, and to support analysis and good practices as well as a limited number of experimental actions (see 1.2.3). These experimental actions will include exploration of the added-value of an annual competition at Community level on the creation of companies based on innovative technologies, as a means to help elucidate priorities and new

directions at Community level to encourage the emergence and growth of such companies.

- 3) ***Supporting instruments*** are foreseen to facilitate the management and achievement of the above-mentioned activities by providing instruments and services (website, information, guidance and matching services, etc) and access to finance help desk (see also 1.2.4.3), promoting an integrated approach for dissemination and communication aspects and extracting lessons on the activities carried out.

Modalities of implementation

Instruments

- A) Coordination Actions.
- B)
 - Specific Support Actions
 - Specific Targeted Innovation Projects
 - Service contracts.

1.2.2 Encouraging regional innovation policies and transregional cooperation

Objectives

Facilitate transfers of good practices and the installation of innovation strategies in the associated candidate countries, in view of enlargement.

Consolidate a European platform for exchange of experience and dissemination of good practices on innovation-related themes among actors in regional structures and stimulate regional policy-making as regards innovation strategies.

Content

A) Networking of regions and dissemination of Regional Innovation Strategies methodology

- 1) Development of Regional Innovation Strategies (RIS) in associated candidate countries regions not having benefited from FP 5 funding. The initiative started under FP5 will be pursued with the aim of making this process a mainstream policy instrument at regional level. This includes methodological and expert support on specific regional measures identified under RIS action plans in associated candidate countries.
- 2) Continued operation of the “Innovating Regions in Europe” (IRE) network as a platform for collaboration and exchange of experiences in the development of regional innovation policies and schemes, enabling regions to access new tools and schemes for innovation promotion and to create an inter-regional learning process. Special attention will be paid to the “ad hoc assistance scheme” and its development into a European help-desk for questions related to regional innovation policies. This will be facilitated by the appointment of central services (IRE Network Secretariat) which will animate the IRE network, contribute to the enhancement of the forum for regional policy-makers, and stimulate diffusion and exchange of innovation policy good practices and schemes through, inter alia, coordination on specific regional innovation policy topics.

B) New approaches to regional innovation policies

- 1) Experimental projects are envisaged to serve as a test-bed for future trans-regional exchange of experience (see 1.2.3).

Activities will be carried out in cooperation with and complementary to the activities of the European Structural Funds and in coordination and synergy with the activities and findings under 1.2.1.

Modalities of implementation

Instruments

- A) 1. Specific Support Actions, 2. Service contract
- B) Specific Targeted Innovation Projects

Tentative timetable

Call for tenders for point A2 (IRE Network Secretariat): first half 2003

1.2.3 Experimenting with new tools and approaches

Objectives

Support for experimental actions that serve to elucidate the priorities and directions for promoting innovation in Europe, including in the areas covered by the other lines of action of the “Research and innovation” theme.

Exploration of the diverse facets of European patterns for innovation, including innovation clusters, adequate support initiatives and stimulation of innovation management in EU enterprises.

Content

Actions, coordinated as necessary with actions under other “lines” of the “Research and innovation” theme, will be further detailed in a future update of this work programme and could contribute in areas such as:

- Encouragement for new forms of innovation and promotion of entrepreneurial innovation (see 1.2.1).
- Identification of new methods of promoting and encouraging transnational technology transfer for delivery in the form of services, either directly to principal target groups or in support of intermediaries that themselves offer transnational technology transfer services (see 1.2.4.2).
- Testing of new approaches to the transfer and/or exchange of knowledge and experience, with a view to reducing regional disparities and to facilitating integration of enlargement countries into the European innovation system (see 1.2.2).
- Testing of new services, especially electronic services, for the promotion of innovation (see 1.2.4.1).

Modalities of implementation

Instruments

Specific Targeted Innovation Projects, Specific Support Actions, Coordination Actions, Service contracts.

1.2.4 Putting services in place and consolidating them

To assist the creation of a Europe-wide innovation system, a number of services will be operated that will counterbalance national compartmentalisation in order to contribute to the flow of information, the spreading of knowledge and the diffusion of innovation throughout the economy. These services comprise:

- the CORDIS research and innovation information service, supplemented by other media
- the network of Innovation Relay Centres (IRCs), as regional springboards for transnational technology cooperation and transfer
- specific information and support services, notably in the fields of intellectual and industrial property rights, and in access to innovation funding, in close coordination with activities under 1.2.1 having similar objectives.

1.2.4.1 CORDIS and other media

Objectives

Efficient, user friendly and multi-lingual information dissemination in order to facilitate participation in Community research and innovation activities.

Improved exploitation of research results with an emphasis on sectors crucial to Europe's competitiveness.

Diffusion of knowledge fostering the innovation performance of enterprises and the societal acceptance of new technology.

Content

A) Community R&D and Innovation Information Service (CORDIS)

Continuation and further consolidation of CORDIS as the publishing and communication service for the entire framework programme. Further development of CORDIS as a multi-purpose platform flexibly adapted to evolving user needs, as the portal for the European research and innovation area, and as an easy-to-use information tool to disseminate information to the public.

1) Communication and information services:

Disseminate all information to the public on Community and ERA RTD and innovation activities and trends, thus nurturing reflection and debate on innovation matters in Europe.

2) FP6 participation services:

Foster participation in Community research and innovation activities. Serve the implementation of FP6 taking account of developments in requirements of users and information providers, and of technological progress, through a set of complementary services (including: call-related services, project data-bases, programme services, participation services, news services, etc).

3) Innovation services:

The existing *Technology Marketplace* service will be further developed as an interactive brokerage service for exploitable technologies from Community, national

and industrial research activities. This concept will be evolved further to provide a *European Virtual Technology Fair*, employing a 3D multimedia platform to market successful research and innovation results to target user communities.

A *European Innovation Policy Portal* will be developed as a gateway for innovation matters in the European innovation area, offering information services (e.g. related to benchmarking and policy-related developments) and support services, in close coordination with activities developed under 1.2.1 (including as developed under other action lines of the work programmes).

The portal will also offer an easy-to-use information service for a wider public on matters relating to societal acceptance of technological progress and innovation. It could also serve as a tool for "electronic consultations" at the request of services responsible for innovation policy development.

As part of the portal, a dedicated service will be developed to address the specific needs of Candidate Countries for narrowing the gap in their innovation performance.

4) Experimental services:

Experimental services could also be introduced on CORDIS, and, for example, CORDIS may also be used to host services pertaining to the European research and innovation area.

B) Other communication activities

Other communication activities will be continued and further developed with a view to creating a community of interest among stakeholders in innovation policy development and the implementation of innovation-fostering measures:

- 1) Printed publications (periodicals and ad hoc publications)
- 2) Conferences, exhibitions, workshops, promotional activities

C) Monitoring, quality assurance and user feedback

External monitoring, quality assurance and user feedback will continue to be used to improve the electronic and non-electronic communication activities to meet user expectations.

Modalities of implementation

Instruments

Service contracts.

Tentative timetable

A) Call for tenders: 2002. Duration of contract: 4 years.

B1) Calls for tenders for editorial and printing services: 30.6.2003 (indicative).

Orders for services may also be placed on framework contracts managed by other Commission services.

1.2.4.2 Innovation Relay Centres Network

Objectives

Innovation Relay Centres (IRCs) are to provide cost-effective services that promote transnational technology co-operation and which are both pertinent to regional needs and provided in synergy with national and regional support structures.

Focus will be on developing and maintaining a high level of IRC service capability (i.e. high quality service provision) in delivering successful transnational technology transfer (TTT) to their local clientele whilst addressing capability deficits and encouraging the attainment of economic benefits for clientele through successful agreements. Individual IRCs will substantially employ the resources of the IRC network to carry out their work.

These objectives will, in part, be facilitated through the appointment of central services (Network Secretariat) which will help form the individual IRCs into a network, animate this IRC network and stimulate the delivery of entrepreneurial, quality and innovation oriented services throughout the network.

Content

The IRCs will concentrate on SMEs as the principal target group, but other organisations will be included, such as universities, research centres and, where appropriate, larger companies, as well as professional and trade associations, technology brokers and development agencies. Special attention will be paid to less-favoured regions.

The main tasks of the IRCs will be to:

- Promote the transnational transfer of technologies and knowledge, whatever their origin, in accordance with the needs of the local industrial, economic and social fabric
- Stimulate the capacity of firms to adopt new technologies by establishing their needs and ability for transnational co-operation and partnerships
- Promote the transnational dissemination and exploitation of the results of Community research, notably those results identified as suitable for third party exploitation and including co-operation with EUREKA and ESA (European Space Agency)
- Provide other key services which help promote or facilitate innovation and transnational technology transfer
- Pursue possible synergies between the IRCs and the Innovating Regions in Europe (IRE) network
- Develop new methods, e.g. for the promotion of transnational clusters and/or measures to facilitate the development of the European Research Area.

Specific services provided by the IRC would include but not be restricted to:

Promotion of the IRC service in the region. Technology audits and other means for identification of local needs. Development of databases of local requirements. Search for external technologies to match the identified local needs. Promotion and dissemination in the IRC region of external technology opportunities. Identification and promotion of local technologies with a view to seeking transnational technology cooperation. Various

one-to-one assistance services. Organisation of technology transfer events. Networking and joint transnational actions with other IRCs.

There will also be a separate action with a view to identifying new methods of promoting and encouraging transnational technology transfer (TTT) that can be delivered in the form of services either directly to principal target groups or in support of intermediaries which themselves offer TTT services (see 1.2.3).

Financial Regime

Community financial support by this programme will allow IRCs to be funded up to 45% of eligible costs for the foreseen 48 months of operations. However, it is recognised that it takes time for the IRC presence to take hold in any given geographical area. Therefore, in the case of countries that are participating in the project for the first time, or that formally joined the IRC Network after 1 January 2000, this support will be up to a level of 50% of eligible costs for the first 24 months, reducing to a maximum of 45% thereafter. All IRCs will be subject to a contractual "go/no go" clause based on performance following the first 24 months of operations.

Modalities of implementation

Instruments

IRCs: Specific Support Action.

IRC Network Secretariat: Service contract

Identification of new methods of promoting and encouraging TTT: Specific Support Action

Tentative timetable

IRC Call for proposals: 4.3.2003.

IRC Network Secretariat Call for tenders: first half 2003.

Identification of new methods of promoting and encouraging TTT Call for proposals: to be determined

1.2.4.3 <i>Specific information and support services</i>
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Objectives

Assist potential and current contractors taking part in Community-funded research and development projects with IPR, finance and exploitation issues and, in particular, issues such as those relating to Community diffusion and protection rules and intellectual property in transnational research projects.

Content

- Assistance, information dissemination and training activities as far as these have a European added value by tackling IPR and access to finance issues relevant to Community-funded transnational research projects (e.g. licensing, technology transfer, consortium agreements, etc). Information and support services in the field of access to finance are included in the supporting instruments foreseen under 1.2.1.

- Implementation of tools such as a website, a helpline, newsletters and other appropriate information and dissemination material, awareness raising and training actions.

Modalities of implementation

Instruments

Specific Support Action.

1.2.5 Analysing and evaluating innovation in Community research projects

Objectives

Observation and analysis of activities to promote innovation that are included in projects of the Community RTD framework programme (and possibly in other European programmes, such as Eureka), in particular those concerning the conversion of research results into innovation products, processes and services.

Extraction of lessons and good practices, and their dissemination, with a view to better integration of the innovation dimension in research projects.

Content

- Extraction of lessons from RTD projects and other actions in the Fifth RTD Framework Programme (including the innovation projects of the Innovation and SMEs Programme of FP5); definition of a methodology to analyse the innovation impact of the FP6 instruments
- Collection and analysis of information on measures to promote innovation in Community RTD projects, the obstacles encountered and actions to overcome them; comparison with similar information and analysis available from other research programmes and actions (European or non-European)
- Provision of an “Innovation exchange platform” in support of the exploitation and innovation activities of Community RTD projects, to assist in identification of common problems and possible solutions
- Establishment of sets of recommendations and good practices for the integration of innovation mechanisms in instruments for collaborative research, in particular integrated projects, networks of excellence and SME specific actions.
- Dissemination activities

Modalities of implementation

Instruments

Specific Support Actions, service contracts.

1.2.6 Stepping up economic and technological intelligence

Objectives

In the knowledge-based economy, economic and technological intelligence is a vital component of competitive research and innovation strategies. In the Sixth Framework Programme, this activity will build on the experience gained under the previous Framework Programme.

Content

Each economic and technological intelligence activity should address a specific research theme or industrial sector. In the first call, projects should concentrate on the participation of SMEs/SME Groupings in the Sixth Framework Programme, particularly in integrated projects and networks of excellence. This may be achieved by, for example:

- facilitating the creation of groupings or clusters of SMEs that have similar innovation needs;
- the promotion of transregional cooperation between SMEs;
- the stimulation of networks of industrial incubators.

These projects may include technology audits to identify SME needs and direct them towards the most appropriate instruments in the Framework Programme, and actions to create bridges across the research-innovation interface. The identification and dissemination of best practice will be encouraged.

The projects will be carried out mainly by intermediaries (e.g. SME National Contact Points, industrial federations, networks and associations of research performers, professional associations, chambers of commerce), working with/for the innovation players as well as organisations with expertise in economic and technological intelligence.

Scale of activities

Typically, the total costs of each project will be within the range of 0.2 to 2 M €

Duration

The duration of a project will be determined by the time necessary to obtain its objectives. Typically, the duration might be expected to be 1 to 3 years. Only exceptionally and in duly justified cases, will the duration exceed 3 years.

Modalities of implementation in 2003

Instruments: Specific Support Actions and Co-ordination Actions.

Budget and Calendar for implementation

The implementation of the Economic and Technological Intelligence action will be assured through calls for proposals and calls for tenders.

The first call for proposals will have a deadline for submission of proposals on 29 April 2003 with an indicative budget of 20M€

In order to complement the above activities, external support towards, in particular, the monitoring and creation of synergies between projects will be sought via calls for tenders.

1.3 Implementation Plan and Related Issues

Activities in 2003 (including calls for proposals and calls for tenders)

Activity Ref.	Description	Timetable	Indicative Budget
1.2.1	Stakeholder debates. Precise topics will be defined according to priorities and needs	Call for tenders, at a date in 2003 to be defined	€2 M*
	Innobarometer, by means of DG PRESS Eurobarometer framework contract	In collaboration with DG PRESS	€0.5 M*
	Eurotech data, by means of a DG ECFIN framework contract	In collaboration with DG ECFIN	€2 M*
1.2.2	IRE Network Secretariat	Call for tenders, first half of 2003	€5.5 M**
1.2.4.1	Open call for tenders for the CORDIS electronic information service	Call for tenders, 20.11.2002	€25.5 M*
	Editorial and printing, by means of existing ENTR DG and EUR-OP framework contracts	Calls for tenders for editorial and printing services. Indicative date: 30.6.2003	€2 M*
	Conferences and exhibitions (organisation), by means of existing framework contracts	According to priorities and needs (in 2003)	€1 M*
1.2.4.2	Innovation Relay Centres	Call for proposals, 4.3.2003	€74 M
	IRC Network Secretariat	Call for tenders, first half 2003	€4 M**
1.2.6	Stepping up Economic and Technological Intelligence	Call for proposals and tenders	€20 M

The final column of the table shows, for calls for proposals, the total indicative budget of the call. For all other items the amount shown is the indicative magnitude of commitments in 2003 (indicated by an asterisk - *) or in 2004 (indicated by a double asterisk - **)

1.4 Call information

1.4.1 Call fiche. Innovation Relay Centres (IRCs)

- 1) **Specific Programme**: Structuring the European Research Area.
- 2) **Thematic priority/Domain**: Research and Innovation.
- 3) **Call title**: Innovation Relay Centres (IRCs)
- 4) **Call Identifier n°**: FP6-2003-INNOV-2
- 5) **Date of Publication**¹: 04/03/2003
- 6) **Closing date**²: 04/06/2003
- 7) **Total indicative budget**: 74 M€(for 4 years)
- 8) **Area & instruments**:

<u>Area</u>	<u>Instrument</u>
1.2.4.2	Specific Support Actions

- 9) **Minimum number of participants**:

<u>Instrument</u>	<u>Minimum no. of participants</u>
Specific Support Actions	1 legal entity.

- 10) **Restriction to participation**:

None.

- 11) **Consortium agreement**: In the case of consortia, participants resulting from this call are required to conclude a consortium agreement.

- 12) **Evaluation procedure**:

- The evaluation shall follow a single stage procedure.

¹ The Director-General responsible for the call may publish it up to one month prior to or after the envisaged date of publication.

² Where the envisaged date of publication is anticipated or delayed (see footnote 1), closure date(s) will be adjusted accordingly in the published call for proposals.

However, due to the nature of the IRC project, a further assessment within the one-stage evaluation procedure is required, based on the results of the experts' evaluation. This will assess each individual proposal within the context of their national set-up. It will incorporate in the overall evaluation process the opinions (duly noted) of representatives of the countries covered. This second stage will be used to assist in the determination of the most appropriate regional coverage for the preferred proposals i.e. removal of unnecessary overlapping between bordering regions and to assist in the final recommendation of a proposal in the case of two or more suitable proposals being identified for essentially the same region.

- Proposals will not be evaluated anonymously.

13) **Evaluation criteria:**

The evaluation criteria and weighting shall be as below. No thresholds will apply to this call.

Evaluation criteria	Innovation Relay Centres (IRCs)
1. Relevance	Weighting: 20%
2. Quality of the support action	Weighting: 30%
3. Potential impact	Weighting: 15%
4. Quality of the management.	Weighting: 15%
5. Mobilisation of resources	Weighting: 20%

Due to the nature of the IRC project, the criteria will have to be interpreted within the context that each proposer will be an organisation/consortium proposing to deliver specific services across a specific geographical area but also working within a trans-national network of other relay centres.

Further information in this respect will be given in the Call for Proposals documentation.

14) **Indicative evaluation and selection delays:**

- evaluation results: estimated to be within 4 months after the relevant closure date mentioned under point 6.
- contract signature: it is estimated that the first contracts related to this call will come into force on 1 April 2004.

1.4.2 Call fiche. Stepping up Economic and Technological Intelligence

- 1) **Specific Programme:** Structuring the European Research Area.
- 2) **Thematic priority/Domain:** Research and Innovation.
- 3) **Call title:** Stepping up Economic and Technological Intelligence.
- 4) **Call Identifier n°:** FP6-2003-INNOV-1
- 5) **Date of Publication**¹: 26/02/2003
- 6) **Closing date**²: 29/04/2003
- 7) **Total indicative budget:** (indicative): 20 M€
- 8) **Area & instruments:**

<u>Area</u>	<u>Instrument</u>
1.2.6	Specific Support Actions and Co-ordination Actions

- 9) **Minimum number of participants**³:

<u>Instrument</u>	<u>Minimum no. of participants</u>
Specific Support Actions, Co-ordination Actions	3 independent legal entities from 3 different MS or AS, with at least 2 MS or ACC

- 10) **Restriction to participation:**

None.

¹ The Director-General responsible for the call may publish it up to one month prior to or after the envisaged date of publication.

² Where the envisaged date of publication is anticipated or delayed (see footnote 1), closure date(s) will be adjusted accordingly in the published call for proposals.

³ MS = Member States of the EU; AS (incl. ACC) = Associated States; ACC = Associated candidate countries.

Any legal entity established in a Member State or Associated State and which is made up of the requested number of participants may be the sole participant in an indirect action.

11) **Consortium agreement**: Participants in Specific Support Actions and Co-ordination Actions resulting from this call are not required to conclude a consortium agreement.

12) **Evaluation procedure**:

- the evaluation shall follow a single stage procedure,
- proposals will not be evaluated anonymously.

13) **Evaluation criteria**: see Annex B of the work programme for the applicable criteria (including their individual weights and thresholds and the overall threshold) per instrument.

14) **Indicative evaluation and selection delays**:

- evaluation results: estimated to be within 3 months after the relevant closure date mentioned under point 6.
- contract signature: it is estimated that the first contracts related to this call will come into force 8 months after the relevant closure date mentioned under point 6.