



2.

Pilot Projects

INNOVATION AND TECHNOLOGY TRANSFER

Information Pack

- Call for proposal n° 95/35
- Information note for the preparation of projects (Work programme)
- Bibliography

Commission

Call for proposals for the implementation of Regional Innovation and Technology Transfer Strategies and Infrastructures, Regional Innovation Strategies and Regional Technology Transfer projects

Text with EEA relevance

1. Introduction.

Following the Decision of the European Parliament and the Council adopting the Fourth Framework Programme of European Community activities in the field of research and technological development and demonstration (1994-1998)¹, the Council of the European Union adopted, on 15.12.1994, a Decision concerning the specific programme for the dissemination and optimisation of the results of activities in the field of research and technological development, including demonstration (1994-1998)², further referred to as the Innovation Programme.

In conformity with Article 5, paragraph 1, of the decision on the specific programme, a work programme has been drawn up setting out the objectives and types of activities to be undertaken, and the financial arrangements to be made for them. This work programme foresees the implementation of regional actions to promote a favourable environment for innovation.

Under article 10 of the European Regional Development Fund (ERDF) Regulation³ the ERDF may contribute to innovative actions in regional development through pilot schemes which encourage the pooling of experience and the development of cooperation between different Community regions, and innovative measures. In line with the priorities of Article 10 approved for the 1995-1999 period, some of these innovative measures aim at developing new ways of introducing innovation and technology transfer in the regional development agenda of less favoured regions of the European Union through demonstration projects.

The European Commission in its Communication to the Council on "Cohesion and R&TD Policy- Synergies between Research and Technological Development Policy and Economic and Social Cohesion Policy"⁴ said that:

i) it was willing to provide technical assistance through the Structural Funds for developing regional research and technological development strategies in the context of the next series of Community Support Frameworks (1994-1999) in partnership with the Member States, and

ii) in the Third Activity of the Framework Programme particular attention will be given to promoting cohesion in less favoured regions.

On this basis, the European Commission's services in charge of Regional Policy and the Third activity of the R&D Framework Programme, (The Innovation Programme) are jointly launching a call for proposals.

¹ Decision N° 1110/94/EC of 26.4.1994; OJ N° L 126, 18.5.1994, p.1.

² Decision N° 917/94/EC of 15.12.1994; OJ N° L 361, 31.12.1994, p.101.

³ Council Regulation (EEC) N° 4254/88, JO L 374 of 31.12.1988, modified by Council Regulation (EEC) N° 2083/93, JO L 193 of 31.7.1993.

⁴ COM (93) 203 final of 12th May 1993 point 33.p.11 and point 25.p.7.

2. Objectives

The purpose of the call is to invite the submission of proposals for the analysis of regional Innovation and Technology Transfer Infrastructures and Strategies (RITTTS), for the elaboration of Regional innovation Strategies (RIS) and for Regional Technology Transfer Projects (RTT), and for the relevant accompanying measures.

- 1) Regional Innovation and Technology Transfer Infrastructures and Strategies (RITTTS) and Regional Innovation Strategies (RIS) are aimed at supporting local and regional governments and/or development organisations for the analysis of the innovation, technology transfer and R&TD infrastructures in view of the development (in partnership with the main actors concerned) of more efficient innovation support and promotion policies in the regions concerned. This includes a thorough assessment of technology requirements and of local needs, capabilities and potential, including management, financial, commercial, training and organisational issues as well as purely technological ones. The resulting strategy should provide a framework for optimising innovation policy and infrastructures at the regional level, especially with regard to their relevance to the needs of small and medium sized enterprises. It should be designed to promote cooperation between the private sector, SMEs in particular, the research, technological development and innovation community and public administration with a view to improving the innovative capacity of a region.

The overall objectives of the two schemes are similar. However, while the RIS are more oriented towards promoting innovation capabilities for regional development, RITTTS are more specifically centred on the efficiency of the innovation support infrastructure and policies. There are marked differences in the methodology and the means employed which are spelled out in details in the Information and Application Pack.

- 2) Preparing and launching pilot regional technology transfer projects, based on inter-regional collaboration, for demonstrating best practice in technology transfer (i.e. technology diffusion, including generic technologies, and the exploitation of R&D results) in firms.
- 3) Accompanying measures cover support of networking, organisation of workshops on relevant issues and methodological support to participating bodies.

3. Target Applicants

- 1) For the field of action 1) RITTTS, submissions can be made either by regional authorities from the Union and the EEA or by bodies with a formal mission regarding technology based regional development and demonstrating commitment and backing from regional authorities. Note, that as part of the innovation programme, this action is open to organisations from Central and Eastern Europe under the conditions laid out in the Decision adopted by the Council of the European Union on 30th November 1994.⁵
- 2) For the field of action 1) RIS, submissions can be made by the regional authorities responsible for economic development in the regions concerned (preferably at NUTS II level which demonstrate that the majority of the population live in eligible areas under the ERDF Regulation), demonstrating commitment to participation by key regional actors.
- 3) For the field of action 2) submissions can be made by any local or regional R&TD and Innovation related organisation demonstrating commitment to participation by regional authorities and industrial actors from several different regions. Proposals should be based on inter-regional cooperation and they have to have at least 2 participating bodies from 2 regions from different countries. Priority will be given to pluriregional proposals involving 3 to 6 regions from at least three countries. At least one third of the participating regions and of the requested financial contribution should be from Objective 1 and/or, possibly Objective 6 areas.

⁵ Decision N° 763/94/EC, O.J. N° 306 of 30th November 1994, pag. 8. Their participation can be funded, within the budget limits by the European Commission, on the budget of Activity 2 - International Cooperation of the 4th Framework Programme.

As regards RITTS and RIS, applicants are free to submit proposals for both actions, although only one proposal may be selected for support. Applicants should therefore indicate their preferred project. The application Pack sets out the differences between actions RITTS and RIS.

- 4) For the field of action 3), proposals are sought from pan European networks or consortia of organisations or institutions with recognised competence and know how in the area of technology based regional development, and experience in the development of international networks.

4. Budget:

- For the field of action 1), Community funding will not exceed 50% of the cost of the projects. Maximum contribution will be up to 250.000 Ecus for RIS, and for RITTS in ERDF assisted areas, and limited to 175.000 Ecus for RITTS in non-assisted areas.
- For the field of action 2), project proposals submitted to this call may have 2 phases, a short definition phase (when necessary) and a main demonstration phase. The Commission's financial contribution may cover up to 75% of the costs of the definition phase, without exceeding 75.000 ECU. This contribution will be between 1 and 3 Million ECU for the demonstration phase of the project and will cover up to a maximum of 50% of eligible costs of the pilot applications.

For the field of action 3 (Accompanying Measures), support will cover up to 100% of organisation costs and up to 50% of travel and subsistence expenses.

The indicative budgetary allocation is 21 million ECU of which 15 millions under the ERDF is for RIS actions and field of action 2.

5. Information

Detailed information about procedures and eligibility for the submission of proposals, the selection criteria, the principles governing the Commission's contribution and the application form is given in the information Pack.

Potential applicants interested in the call for proposals should request an information Pack from one of the addresses given below, stating which of the 4 areas they are interested in.

6. Processing of applications

Project proposals must arrive at the Commission at one of the addresses given below by 15.12.1995 for RITTS, RIS, and Accompanying Measures, and by 15.03.1996 for Regional Technology Transfer projects.

For RIS and Regional Technology Transfer projects :

Commission of the European Communities, Directorate General XVI "Regional Policy and Cohesion", DG XVI.A.2, Building CSM1, office 7/43, rue de la Loi 200, B-1049 Brussels, Facsimile 32 2 295 01 38 / 39 or 40 with the mention "DG XVI Article 10 ERDF".

For RITTS and Accompanying Measures :

Commission of the European Communities, Directorate General XIII The Innovation Programme DG XIII/D/4, JMO B4-100, Jean Monnet building, L-2920 Luxembourg, Facsimile (352) 43 01-34544.

Information given to the EU Commission relating to applications or the contract will be treated in confidence. The Commission will inform applicants in due course of the outcome of their applications.

Work Programme for Article 10 of the ERDF - :
Pilot scheme aiming at the implementation of Regional Innovation Strategies and Regional Technology Transfer Pilot projects for the economic development of Less Favoured Regions (LFRs).

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INTRODUCTION

The policy rationale behind this action is to help translate into practice the orientations given in the 'White Book' on "Growth, Competitiveness and Employment: the challenges and ways forward into the 21st Century" namely:

"...Stimulating the development of 'clusters' of competitive activities that draw on the regional diversity of the Community. The proliferation within the Community of 'clusters' that combine industrial, technological and geographical advantages may hold one of the keys to job creation. This requires the active involvement of all the actors concerned, something which can be greatly facilitated by structural measures taken at Community and national level. In this area, as in the preceding ones, the main emphasis should be on a horizontal, transectoral and multidisciplinary approach... (page 79)".

"...Steps must be taken to allow better application of the results of the research carried out in the Community, i.e. the establishment of operational mechanisms at national and European level for the transfer of technologies from university laboratories to companies, from one company to another ...One key aspect must be substantially to step up measures to improve the business environment, in the form of scientific and technical information, financial services, aid to protect innovations, training in new technologies, etc. (page 103)".

and the Commission's Communication regarding "Cohesion and Research and Technological Development (R&TD) Policy: Synergies between research and technological development policy and economic and social cohesion policy"⁶.

Under article 10 of the European Regional Development Fund (ERDF) Regulation⁷, the ERDF may contribute to innovative actions in regional development through pilot schemes which encourage the pooling of experience and the development of cooperation between different Community regions, and innovative measures. Thus, Article 10 of the ERDF Regulation provides a sound basis to contribute to innovative actions promoting regional economic development and experimenting with new policy approaches at regional and European level.

These pilot schemes should have an innovative character (provide an extra value added to existing previous actions in a particular region), a European 'networking' dimension (maximising the European dimension through the promotion of inter-regional collaboration and partnership) and strong potential for demonstration effects (contribute to a more efficient use of Structural Funds for regional development in eligible regions by diffusing best practice).

In line with the priorities of Article 10 approved for the 1995 - 1999 period, some of these innovative measures aim at developing new ways of introducing innovation in the regional development agenda of the less favoured regions of the European Union. That is, "increasing awareness in SMEs from less favoured regions about research and technological development activities" and, more generally, about the regional economic implications of technological change, as suggested by the Regional Commission of the European Parliament. In this sense, the Commission of the European Community intends to initiate pilot schemes for the implementation of Regional Innovation Strategies and Regional Technology Transfer pilot projects. These pilot schemes should contribute to the economic development of regions

⁶ COM 203/93 final of 10 May 1993.

⁷ Council Regulation (EEC) N° 4254/88, JO L 374 of 31.12.1988, modified by Council Regulation (EEC) N° 2083/93, JO L 193 of 31.7.1993.

which are eligible for Structural Funds assistance (Council regulation EEC N° 2081/93 of 20th July 1993).

Regional Innovation Strategies (RIS) are designed to respond to the question of how to promote cooperation between SMEs, the research Community and Public Administration to assess technology requirements and to audit local needs, capabilities and potential with a view to improve the innovative capacity of a region.

Regional Innovation Strategies (RIS) and Regional Innovation and Technology Transfer Strategies and Infrastructures (RITTS) are two complementary actions with similar objectives. RIS fall under the Innovative Actions of Article 10 of the ERDF while RITTS projects fall under the Innovation Programme (Specific Programme for the Dissemination and Optimisation of the results of Activities in the field of Research, Technological Development and Demonstration).

These two schemes are jointly managed by DG XVI (Regional Policy and Cohesion) and DG XIII (Telecommunications, Information Market and Exploitation of Research)

The main idea behind Regional Innovation Strategies is to improve the capacity of regional actors to make policy which takes account of the real needs of the productive sector and the strengths and capabilities of the regional R&TD and Innovation Community.

Regional Technology Transfer Projects (RTT) are pilot demonstration projects which aim to illustrate best practice in terms of technology transfer through inter-regional cooperation networks involving firms and R&TD organisations, including technology transfer centres, from less favoured regions (LFRs).

Both schemes rely on:

- i) an analysis of firms' Research & Technological Development and Innovation⁸ needs and demands, including those which are latent.
- ii) building partnership and the development of consensus among regional actors, between the public and private sector in particular.
- iii) the exchange of experience between participating regions.

Regional partnerships participating in these pilots schemes are intended to feed into the planning and implementation process of the main strand of Structural Funds programmes in order to increase and fine-tune its regional developmental impact in line with the development objectives and strategies set by the regional and national authorities concerned on the basis of the subsidiarity principle.

⁸ Innovation is defined as being the transformation of an idea in a product or service that can be sold, an operational manufacturing or distribution process, or an innovation social service method. (OCDE, Frascati Manual).

Field of action 1:

Elaboration of Regional Innovation Strategies (RIS), through the development of partnership among key regional actors

OBJECTIVES

RIS and RITTS are aimed at supporting local and regional governments and/or development organisations for the analysis of the innovation, technology transfer and R&D infrastructures in view of the development (in partnership with the main actors concerned) of more efficient innovation support and promotion policies in the region concerned. The resulting strategy should provide a framework for optimising innovation policies and infrastructures at the regional level, especially with regard to their relevance to the needs of small and medium enterprises.

The objectives of this action are twofold:

- a) To encourage regions to develop regional innovation strategies and to improve the capacity of regional actors to make policies which take into account the real needs of the productive sector and the strengths and capabilities of the regional R&TD and Innovation Community.
- b) To provide a framework for both the European Union and the regions for optimising policy decisions regarding future investments in R&TD, Innovation and Technology Transfer initiatives at regional level.

'Regional Innovation Strategies' will be the outcome of a process that should involve all the regional actors related to R&TD, Innovation and associated business support activities at regional level. This process will be undertaken under the control and guidance of a Steering Committee which will include, in addition to the public authorities, the various key R&TD regional actors⁹. This pilot scheme should provide for the definition of a strategy and an action plan, including detailed projects and programmes to be launched in the short and medium term, which can contribute to economic development in the region.

This exercise is based on the following elements:

- 1) An assessment of the current situation based on
 - A SWOT (Strengths and Weaknesses, Opportunities and Threats) Analysis: this would include an assessment of the regional economy, with a special reference to its indigenous innovative potential as well as a description of present networks of

⁹ Key regional actors refer to all those major players involved in the regional economy who have got a direct involvement or may be directly affected by Research and Technological development and Innovation efforts. They may include the regional and local government, the employer's associations, trade unions, chambers of commerce, regional development and innovation agencies, firm's R&TD Departments, Public Laboratories, R&TD Centres, Technology and Science Parks, Business and Innovation Centres, Contract Research Organisations, and R&D Departments in higher education institutions and training bodies among others.

cooperation with R&TD and innovation capabilities elsewhere at the regional, national and international level.

- An analysis of the main industrial and technological trends, both at national and international level, in order to develop a prospective vision of markets, industrial organisation and technology trends that will affect regional firms in the short and medium term.
 - An assessment of the regional R&TD supply and innovation support (including intermediary and support organisations).
 - An assessment of the regional R&TD needs and demand, including latent demand, of the regional firms, through, for example, a campaign of technology audits in firms, SMEs in particular.
 - An analysis of the missions and policies of the various R&TD and innovation actors concerned.
- 2) Based on this assessment, an identification of orientations by the steering Committee who will select the areas of intervention, technological domains to focus on, and define the role to be given to the different actors in the process.
 - 3) Definition of measures, instruments and policies for implementing the above orientations and strategy.
 - 4) The setting-up of a system for continuous monitoring and evaluation of the policy actions.

The preparation of a regional strategy for innovation as described above should pay particular attention to:

- i) Giving priority to identifying and expressing latent demand for innovation and related services in regional firms.
- ii) Seeking to 'marry' latent demand for innovation and technological development in the productive structure of a region, and in particular of SMEs, with supply within the region (endogenous) and at national and international level (exogenous).
- iii) Identifying realistic objectives which bring together and concentrate scarce regional resources for R&TD and innovation, and providing a framework for optimising policy decisions regarding future investments in R&TD and innovation initiatives at the regional level.
- iv) Responding to the question of how to promote cooperation between SMEs, the R&TD and innovation Community and Public Administration.
- v) Building consensus and cooperation at regional level on priorities for action between the principal actors involved, which can be integrated into a stable institutional framework which encourages contacts and the search for partners for the development of innovation projects in the regional firms.

The 'Regional Innovation Strategy' should provide a framework for optimising policy decisions in R&TD and innovation at the regional level. It should therefore be integrated with

and complementary to existing national and Community strategies and actions in this field. It should also be coherent with socio-economic development strategies agreed under the last generation of Community Support Frameworks for the areas concerned.

RIS AND RITTS: DIFFERENCES AND COMPLEMENTARITIES

RIS and Regional Innovation and Technology Transfer Strategies and Infrastructure (RITTS) projects under the Specific Programme for the Dissemination and Optimisation of the Results of Activities in the field of Research, Technological Development and Demonstration, are similar in their methodology, but differ on the following points:

RITTS: Regional innovation and technology transfer Strategies

Operations may involve the whole of the EU

A project may involve only part of a region (no formal administrative structure).

Project leader is not necessarily a regional authority (agency dealing in transfers, university, etc.)

Projects designed to help the bodies responsible for regional development to evaluate, develop and optimise regional infrastructure and the policies and strategies for supporting innovation and technology transfers

Work programme focusing on regional infrastructure and policies with respect to supporting innovation and technology transfers (including financial, organisational, etc. aspects)

Use of a team of (approved) consultants to carry out all the work, to include one consultant from another Community country (for at least 1/3 of the work)

Projects are "self-standing".
They are carried out for the intrinsic benefits to the region

Community support: maximum ECU 250.000 for assisted regions (ECU 175.000 for other regions).

RIS: Regional innovation Strategies.

Confined to regions where a significant share of the population is in an ERDF-aided area (Objective 1,2,5b,6)

Limited to regions of (in principle) NUTS level II.

Project leader at policy level is the authority responsible for economic development in the region. Implementation may be in the hands of a designated regional body reporting to a steering committee.

Projects designed to create partnerships among key actors in a region with a view to defining an innovation strategy for the region in the context of regional development policy.

Work programme includes all aspects of regional policy on innovation and R&TD (including training) and, where relevant, feasibility studies for proposed innovation projects.

Use of an approved process consultant for a limited part of the work programme only. Steering committee decides on the organisation of studies and technical assistance.

Projects should help the region to use Structural Fund moneys linked to innovation schemes.

Community support: maximum ECU 250.000.

Synergies and cooperation between the two actions is foreseen, including project selection, management and follow up, methodological support, exchange of experience and diffusion of best practice.

Regions having undertaken a RITTS exercise with DGXIII support are eligible for support for a RIS, however at a reduced level (to take into account the work already supported). They will have to state clearly the complementary work they want to undertake within the RIS.

RIS and RITTS are jointly managed and implemented by DG XIII and DG XVI services.

APPROACH

RIS should follow an approach which is:

- (i) regional, that is, it must relate to a specific geographical area but take full account in its definition of the national and international context in which it is operating;
- (ii) bottom up, in which both the private sector and representatives of the regional and national scientific and technological community take an active role. The idea is to provide for a stronger regional partnership through this approach. It is the regional actors which have to establish what they want and how to achieve it on the basis of subsidiarity. It is therefore necessary to ensure that there is a strong demand driven approach built in this exercise, with an emphasis on SMEs;
- (iii) strategic and co-ordinated, based on environment and long term criteria and placing its policy of promoting R&TD and innovation within the context of industrial and regional policy;
- (iv) an integrated approach: it should try to link efforts from the public sector (local, regional, national and European) and the private sector towards the common goal of increasing regional productivity and competitiveness.
- (v) multidisciplinary, taking technological, economic and institutional criteria fully into account;
- (vi) international and cooperative, with the international market as a compulsory reference point and with external sources and technological partners investigated. That is it should keep an international perspective in terms of the analysis of global economic trends as well as on the need to cooperate nationally and internationally to be more effective in the field of R&TD an innovation.

ACTIVITIES TO BE SUPPORTED

The Commission is prepared to support the activities necessary to elaborate a 'Regional Innovation Strategy', in particular:

1. Financial support to ensure that sufficient time and resources are available for the co-ordination of the exercise. This function can be fulfilled within a "regional administrative unit" or "project management group". This unit is directly in charge of the elaboration of the 'Regional Innovation Strategy' under the direction of the Steering Committee. It will assume the following tasks:
 - launching studies, including study visits outside the regions concerned in order to draw lessons from experiences gained by other regions in the elaboration of RIS, technology audits and other research efforts necessary for the fulfilment of the tasks and methodology described above;
 - provision of a Secretariat for the Steering Committee, including the organisation of the Steering Committee meetings and drafting of their work programme and agenda, as well as acting as a focal point for regional co-ordination with the EU Commission, and, eventually, other regions;

- organisation and animation of consensus building around the 'Regional Innovation Strategy' with a view to promote close collaboration among the regional actors involved;
- co-ordination of the research work necessary to gathering or exploiting the factual information needed to the development of the 'Regional Innovation Strategy';
- provision of information and dissemination of results to other regions in Europe;

2. Use of external expertise¹⁰, including local/national or European experts who may provide:

- support to the administrative unit in the co-ordination of the global RIS exercise, in particular with regard to the analysis and research work and liaison with the Commission services (process consultant).
- input to the analysis exercise and/or the plan of actions such as regarding specific questions directly related to R&TD and firms strategy, assessment of existing experiences and policy actions in the field, provision of methodological support, consensus building, organisation of sectoral seminars, animation of working groups, preparation of international seminars, etc.

DELIVERABLES

The main contract deliverable will be a 'Regional Innovation Strategy' which will provide:

- the identification of business needs related to innovation and an assessment of the relevance of the regional R&TD and Innovation infrastructure to meet those needs.
- a reference framework for the actions aimed at improving the regional innovation capability;
- recommendations and orientations for the creation and/or promotion of networks for intra and interregional cooperation among the main R&TD and innovation regional actors, between public and private sectors and, in particular, between firms;
- guidance for the elaboration of public programmes of innovation support in the regions.

The proposer will establish a Steering Committee in which key actors in the region, i.e. the public authorities, service providers, the private sector, in particular SMEs, key user groups, trade unions and other R&TD actors in the regional business community will be represented. It will also set-up the proper secretariat for the Steering Committee. This Steering Committee will present a detailed work programme within three months after approval by the European Commission of their application for assistance. Thereafter the Steering Committee will submit an intermediate report every 6 months after the start of the contract.

The final report on the Regional Innovation Strategies will be submitted to the Commission no later than 18 months after signature of the contract. The interim report and the final report will also be presented to the Community Support Framework Monitoring Committee responsible for Structural Funds interventions in the region concerned, whose comments, if any, may be included in the work programme.

¹⁰ The use of experts from other European countries and regions to carry out a sizeable part of the workprogramme is compulsory.

PARTICIPANTS

Submissions can be made by the regional authority responsible for economic development in the region concerned, demonstrating commitment to participation by key regional actors principally in NUTS II¹ regions in which a large number of the population live in areas defined as Objective 1, 2, 5b or 6 under the ERDF Regulation.

FUNDING

The European Commission will finance up to 50% of the eligible costs of the elaboration of the 'Regional Innovation Strategy' with a maximum 250.000 Ecus per region.

The European Commission will provide technical assistance and the setting-up of an inter regional collaboration network for the exchange of experience and best practice between the regions participating in the RIS and RITTs exercises.

SELECTION CRITERIA

The main selection criteria will be based on the degree of support received for the 'Regional Innovation Strategy' at the regional level (NUTS II level), including:

1. the degree of commitment expressed by key regional players concerned, public and private, through the institutional agreements necessary to develop consensus at the regional level (a detailed list of members of the Steering Committee is requested).
2. a detailed description of the organisational arrangements necessary to elaborate the plan, including human resources and the methodological approach.

Other important criteria are the quality and feasibility of the proposed work programme (especially with regard to the coverage of the elements described above) and its integration with the economic development strategies and objectives of the region, including its eventual complementarity with other Structural Funds actions and instruments in the region. In the case where a RITTs has already been carried out, the proposal should clearly state the additionality of the project as well as the articulation with the work already achieved.

¹¹ Regions NUTS I in which more than half of the population live in areas defined as Objective 1, 2, 5b and 6 under the ERDF Regulation might also be taken into consideration. Regions NUTS III will also be considered when the country is level I and II.

For those interested in submitting a proposal for the first type of measure (Regional Innovation Strategies - RIS), a detailed information Pack and application forms for Regional Innovation Strategies (RIS) or RITTs can be obtained by contacting:

Commission of the European Communities,
Directorate General XIII
"Telecommunications, Information Market and Exploitation of Research",
DG XIII/D/4, JMO B4-100, Jean Monnet Building,
L-2920 Luxembourg,
Facsimile (352) 43 01 34544.

*Please note that you **should not use the application form included in the present Information Pack for submitting proposals to the first strand of action (RIS)**. This application form is exclusively for those intending to submit a proposal for the first and second types of measures of the pilot scheme aiming at integrating the concept of information society into regional development policies of less favoured regions and the second type of measure (Regional Technology Transfer Projects) of the pilot scheme aiming at the implementation of Regional Innovation Strategies and Regional Technology Transfer Pilot projects for the economic development of less favoured regions.*

Field of action 2:

Preparing and launching pluri-regional technology transfer projects (RTTs) in the Less Favoured Regions.

OBJECTIVES

Regional technology transfer projects aim at improving the technology transfer process, by means of demonstration and the diffusion of best practice, especially towards less favoured regions, by helping SMEs to upgrade their technological capabilities by adopting state of the art technology generated from research results or already in use elsewhere in the European Union.

That is, the main objective of this action is to organise the demonstration of the technology transfer process and its benefits for the economic development of LFRs. This will be achieved through the identification and selection of a number of pluri-regional projects having a clear innovative and demonstration effect, in particular for LFRs, and notably in regions that have previously undergone the development of a regional innovation strategy through projects such as Regional Technology Plans (old RIS) or a RITTS. The design and implementation of technology transfer projects should be based on co-operation and pooling of experience between different regions.

These projects are based on the effective transfer of technology from technology sources in certain regions to users (SMEs in particular) in particular in less favoured regions of the European Union. This technology can either be the direct result of Research and Technology Development activities (whether it comes from Community funded research or not) or it may be a technology development, which is already in use in one region of the European Union, which can be adapted and transferred in particular to less favoured regions. Various alternative types of pluri-regional projects could be envisaged and two broad categories could be identified in this respect:

- i) Inter-regional cooperation for the effective transfer of technologies (e.g.: Several technology transfer organisations¹² from different regions, in close association with their regional authorities, identify and select firms in jointly agreed technology fields and/or economic sectors in order to elaborate and develop technology transfer projects amongst firms from these different regions).
- ii) Inter-regional collaboration for technology transfer between R&TD and innovation centres from advanced regions and R&TD and innovation centres in less favoured regions for the benefit of regional firms (SMEs in particular) through the establishment of an inter-regional network amongst different regional organisations (e.g.: an 'excellence' R&TD centre from an advanced region provides technology sources and expertise for the effective incorporation of technology into firms from less favoured regions and/or help increase the know-how of an R&TD centre or technology transfer organisation from an LFRs).

¹² These interfaces might be R&TD centres or Research Associations in certain regions where technology transfer centres do not exist.

This call for proposals tries to prepare the groundwork for building-up and launching technology transfer projects, including those involving generic technologies and traditional sectors. Priority is given to projects involving the transfer of technology to SMEs.

The proposed projects should target either the driving economic sectors of the regions involved or those sectors having a clear potential for regional development. These projects should be based on an in-depth assessment of business needs and on the identification, adaptation and implementation of appropriate technologies that respond to those needs.

These projects may encompass the whole range of activities related to the innovation process, including all the factors necessary for the users to assimilate the new technology (management, re-organisation, training, marketing, etc.). That is, these projects should concern every facet of the innovation process that will lead to the commercial success of the innovation, and not only the purely technological ones. In particular they should consider questions such as adequate project financing and the involvement of financial partners, organisational and training issues linked to the implementation of the new technology and its possible consequences on the management of the firm, its marketing strategies, etc.

They should build on the existing skills and competencies of the regional organisations of the Innovation and Technology Transfer Support Infrastructure (technology transfer centres, regional technology advisory centres, business and innovation centres, research associations, specialised branches of local and regional government, financial institutions, etc.) of the regions concerned. In this sense, support will also be provided for trans-regional activities aiming at sharing experience and at increasing the effectiveness of the various actors involved in the transfer process. In particular, it will seek to develop the cooperation between organisations responsible for technology transfer and innovation support from the regions concerned in order to increase the know-how of those located in the less favoured regions of the Union.

Examples of Regional Technology Transfer Projects

Improved leakage control in fresh water distribution systems

The technology was first developed in the United Kingdom and it is currently used to control water leakage in distribution systems.

The project aims to transfer the technology to Greek and Spanish water companies and includes modelling systems, installing the monitoring equipment and training the staff of water companies in Spain and Greece to operate the system. It involves the participation of the technology providers, technology transfer organisations and users in the three regions concerned.

The partners will actively demonstrate and diffuse the technology implemented in the pilot sites to other local authorities interested in the process, not only to Greek and Spanish regions but to other European regions in order to ensure a significant regional impact .

Advanced manufacturing techniques for SMEs

The project is being led by three regional Innovation Support Centres in East Germany, France and the United Kingdom¹³ and its objective is to implement Advanced Manufacturing Techniques in East German SMEs on the basis of the experience acquired in France and UK, with the aim of improving productivity, quality control, production planning and management, including training and development of human resources.

The exchange of experience between the various partners involved is a crucial element of the project. Technological and Organisational issues related to the transfer process are discussed in joint workshops allowing technology providers and transfer organisations to follow up the implementation and the use of the technologies in the SMEs concerned.

Regional and national seminars will contribute to the wider dissemination of the experience acquired in terms of technology expertise and know-how to other regions.

¹³ It is envisaged that in all the regional technology transfer projects, local and/or regional public authorities responsible for economic development should be closely associated to the projects.

GENERAL APPROACH

Projects should focus on the usage/adoption, and eventually adaptation, of technically and economically viable R&TD and innovation in less favoured regions. They will be based on an analysis of the regional firms' needs and/or demand, which will be the starting point for the evaluation of proposals together with the assessment of the social and economic impact of the proposed technology, its innovative and demonstrative nature in the regions concerned, as well as its potential for commercial exploitation in the future. The involvement of a technology transfer organisation, as well as the association of regional and national representatives is strongly recommended.

ACTIVITIES TO BE SUPPORTED

Regional technology transfer projects will generally involve two complementary stages including a short definition phase followed by an implementation phase. Project proposals will be assessed and selected on the basis of the overall proposal encompassing both phases. Selected projects will therefore go through the definition phase, and after a second evaluation process¹⁴, those considered of sufficient quality standards will proceed to the implementation phase.

Depending on the state of advancement in the proposal's definition process¹⁵ these two complementary elements of the technology transfer projects should be designed as follows:

1) A definition phase aiming at the detailed project definition.

1.1. Objectives of the definition phase

The detailed project definition should address the following issues in particular:

- a) the technical and financial feasibility for the building and launching the pilot technology transfer project.
- b) the commercial viability of the technology transfer project. This entails analysis of i) the impact of the new technology across the different sectors involved; ii) the benefits that the different user communities could reap from the new technology; iii) the methodology and instruments used to monitor and assess the technology transfer project.

Such detailed project definition will cover the preparatory stage, with the objective of assessing the technical feasibility, commercial viability and the social acceptance of the new technology; as well as identifying and designing adequate funding structures, and defining sound monitoring and evaluation procedures for the identified application, including:

- the identification of the needs of regional SMEs', the appropriateness of the technology envisaged, the target SMEs including clusters (e.g.: subcontracting chains) and/or sectors which will take part in the technology transfer project, as well as the type and level of support that these SMEs will require in order to implement this technology and to take full advantage in its business development. This will entail technology audits of target

¹⁴ Not all projects selected for the detailed definition phase might be considered for the implementation stage.

¹⁵ In the case of technology transfer projects which already include a comprehensive and detailed project definition, applicants might concentrate their request for financial support on the implementation stage (the building up and launching) of the pilot technology transfer project, subject to the European Commission's approval and validation of the detailed project definition.

companies taking into account their strengths and weaknesses (not only purely technological but also managerial) as well as the suitability of the proposed technology with regards to their markets.

- the selection of target firms and appropriate technology to be transferred by the project. The process can either start with the identification of a promising technology and the search for suitable firms which are interested in adopting the technology, or by the search for technologies which could answer already identified business needs in specific firms.
- to provide a detailed analysis of the support needed in order to make the project technically and commercially successful (e.g.: technical, marketing, financial, and organisational support)
- the identification and the involvement of technical experts or organisations (local if available or national/European) to provide the necessary technical support to the project.
- the definition and consolidation of the trans-regional partnership necessary to ensure the successful implementation of the project as well as the diffusion of the lessons learnt, the definition of the proper role of the various partners as well as the refinement of the initial work programme, including a detailed description of the management and co-ordination mechanisms envisaged for the trans-regional project.

1.2. The duration of the definition phase

The duration of the definition phase will be variable, depending on the work already undertaken (although the duration should not exceed six months). It could depend on factors such as:

1. The extent to which an assessment of the needs and capabilities of regional firms has been carried out previously. In that respect, work undertaken before with a RIS (ex-RTP) or RITTS exercise could be relevant.
2. The type of trans-regional partnership, and the previous history of cooperation between the main partners. It is expected that building a collaborative framework between several organisations will take longer if no previous collaboration took place.

1.3. Deliverables of the definition phase.

It is expected that the definition phase report will provide:

- i) A concise description of the project's objectives, and benefits (in particular with regard to the economic development of the regions concerned)
- ii) The list of target firms which will be partners of the project during the implementation phase, together with the report of the study supporting this choice (including a thorough market analysis).
- iii) An assessment of the technology to be transferred, including:
 - its technical viability with regard to the envisaged utilisation;
 - the exact description of technical adaptation needed before it can be adopted by the technology users in the project;
 - its potential for duplication in other firms, industrial sectors, regions, etc.
- iv) A description of all partners' contribution including the various organisations of the Regional Innovation and Technology Transfer Support Infrastructure.
- v) A clear work programme indicating timetable, milestones, the role and contribution (including staff) of every partner as well as the project management mechanisms.
- vi) Formal commitments of all partners, including technology users, to take active part in the project.
- vii) The programme of cooperation between the various regional organisations involved.
- viii) A detailed financial plan for the project.

2) An implementation phase of the regional technology transfer project.

2.1 Objectives of the implementation phase

Proposals for the implementation phase of the technology transfer projects should all include a detailed project definition as specified in the previous section. In addition, they should make a clear picture of the development and implementation methodology: steps to be followed together with a detailed schedule and planning.

In general, the implementation phase should be based on the strategy, detailed work programme and the management plan which result from the definition phase and it will concentrate on the practical incorporation of technology in the target users and the exchange of best practice among collaborating organisations.

This includes:

1. adaptation of the technology for its new use or scaling-up of a laboratory prototype for utilisation in real conditions,
2. transfer and implementation at user sites of the adapted technology together with the necessary training, management and organisational support,
3. activities related to the transfer of know-how (training, seminars, secondment of technical personnel, etc.) to firms and if necessary also to technology transfer organisations involved in the project. This may be supported by the trans-regional exchange of information and know-how between the various bodies involved in supporting the technology transfer, which may involve the detachment of staff from one organisation to another for the duration of the project, training sessions, seminars and other related activities considered necessary for the exchange of best practice.
4. diffusion activities such as promotional material, study visits, national/regional seminars to promote the technology.

2.2 Duration of the implementation phase

The development, implementation and testing of the pilot should be done within a period not exceeding 30 months from the signature of the contract.

Applicants are asked to provide a calendar and a detailed budgetary plan with forecasts of the costs involved in the different phases of the project, including clearly defined benchmarks for assessing progress.

2.3 Deliverables of the implementation phase

The main deliverables will be the projects results (i.e. the actual evidence of the implementation of the concerned technology in firms), and the documentation for demonstration to other firms in the region and to other regions, as well as know-how developed among technology transfer organisations participating in the project.

The following deliverables will also be requested:

1. Interim report every four months from the signature of the contract.
2. Final report evaluating the stated aims of the pilot. The results of the pilot experience should be explained in the light of the criteria developed under this approach: benefits for the SMEs and technology transfer organisations concerned, nature and composition of the exploitation consortia, social and economic impact, demonstration capacity, commercial perspectives, etc.
3. A dissemination plan for the results of the project. This dissemination plan should aim to widen the base for potential SME users of the technology as well as to spread the lessons for the process and practice of technology transfer.

Deliverables would be examined by a team of independent experts mandated by the Commission services.

PARTICIPANTS

Submissions can be made by any local or regional R&TD and Innovation related organisation, organised in an inter-regional collaboration consortia, demonstrating commitment to participation by regional authorities and industrial actors from the regions concerned. Proposals should be based on inter-regional cooperation and they have to have at least 2 participating bodies from 2 regions from different countries. Priority will be given to pluri-regional proposals involving 3 to 6 regions from at least three countries. At least one third of the participating regions and of the requested financial contribution should be from Objective 1 areas and/or possibly Objective 6 areas.

FUNDING

Definition phase: The Commission's financial contribution may cover up to 75% of the costs of the definition phase, without exceeding 75.000 ECU.

Implementation phase: The Commission's financial contribution will be between 1 and 3 Million ECU for the implementation phase of the project and will cover up to a maximum of 50% of eligible costs of the regional technology transfer pilot project.

PRIORITIES FOR THE REGIONAL TECHNOLOGY TRANSFER PROJECTS

Priority will be given to those regional technology transfer projects that pay particular attention to the following objectives:

- i) those projects whose aim is to help firms in eligible areas under the ERDF Regulation to access technical know-how through inter-regional cooperation.
- ii) those projects which in fulfilling the above mentioned objectives also facilitate the exchange of experiences and know-how between technology transfer support organisations and the development of best practice.
- iii) those projects in which the technology transfer organisations involved envisage a method for jointly selecting firms, which have expressed an interest in international collaboration, though a transparent system with objective criteria based on a previous analysis of the regional innovation demand and needs, in particular in those economic sectors which are strategic for the development of the region.
- iv) those projects in which the technology transfer organisations work closely together with the regional authorities responsible for economic development in the regions concerned.

SELECTION CRITERIA FOR EVALUATING PROPOSALS FOR THE REGIONAL TECHNOLOGY TRANSFER PROJECTS

1. Feasibility of the technology transfer project (technical and economic). Applicants must demonstrate that the proposal is both technically and economically viable and the adequacy of the technology to SMEs' needs.
2. Impact on social and economic cohesion in the target region: demonstrate how the project can help the regional industrial fabric to improve its competitiveness and diversify.

3. Innovative and demonstrative nature of the project in the regions concerned. (Projects with an exemplary nature having tangible and clearly understandable social, economic and/or cultural benefits which will demonstrate the potential of the technology concerned).
4. Quality and experience of the technology transfer organisations leading the project.
5. Involvement of local or regional authorities and commitment to disseminate the results of the project and/or to reproduce the experiment. The commitment of the various participants to document the steps of the process and to facilitate the dissemination of lessons learned from the project after its completion. In particular beneficiary firms should be committed to allow access to the technical, commercial and financial data relative to the results of the transfer.
6. Regional and interregional networking capabilities of the organisations involved. The quality of the trans-regional network and of the mechanisms set in place to ensure the exchange of experience and good practice. This includes in particular the diffusion of information to firms, the exchange of experience between intermediary organisations, the dissemination of good practice to the regional and national organisations in charge of technology transfer and innovation support.
7. Quality of participation and partnership in the proposed project. (participation of local and regional actors: industry and SMEs, research institutions, public authorities, support bodies and technology transfer organisations, etc.).

The Commission may select projects with the assistance of a panel of international experts.

Regional networking for exchange of know-how Development and dissemination in relation to fields of action I and II

Regions or groups of regions selected to participate in fields of action I and/or II undertake to use their work relating to Innovation and Technology Transfer to contribute to a series of measures involving information and the exchange of experience and know-how.

These measures, carried out by the regions working together with assistance from a body and experts made available to them by the Commission, should enable them:

- to keep each informed about developments in ideas, techniques and applications related to regional Innovation and Technology transfer.
- to place their reflections in an international context;
- to compare their working methods;
- to develop a body of good practice for those regions which, from 1997, wish to undertake measures of the same type;
- to have available methodological resources and know-how to help other regions which so wish to take part from 1997 in measures of the type in which they are involved;
- to investigate whether work on innovation and technology transfer carried out through networking will be relevant after the period during which measures part-financed by the Community are carried out.

For that purpose, the regions, in partnership with the Commission, will define the methods and organisation required to carry out the measures listed above. For their participation in these measures, they will earmark an appropriate part of the budget allocated to the pilot project for expenditure on the participation of the region or groups of regions in the network.

For measures carried out through the network and to assist regions or groups of regions in their relations with the Commission, with particular regard to the administrative and financial management of the pilot projects, the Commission will provide them with an office whose responsibilities will include the secretariat of the network, the preparation and organisation of seminars, information for regions or among groups of regions, the monitoring of pilot projects and the selection of the experts regarded as necessary.

USEFUL PUBLICATIONS AND CONTACTS TO HELP IN PREPARING SUBMISSIONS

Applicants' attention is drawn to the following publications which may be of assistance to them in drawing up their applications.

* General background on the implementation of ERDF innovative measures: "*Guide to innovative measures for regional development (Article 10 of the ERDF Regulation) 1995-99*". Luxembourg, Office for Official Publications of the European Communities, 1995. ISBN: 92-827-4871-5.

This publication is available from the Official Publications Office or its agents in each Member State.

* Particularly relevant to the subject of the call for proposals, includes examples of good practice:

(a) For the first and second type of measure

1. "*Growth, competitiveness, employment: the challenges and ways forward into the 21st century*", White Paper - Chapters 2: conditions for growth and increased competitiveness and 4: Research and technological development, and 5: the changing society, the new technologies-, European Commission, Luxembourg: Office for Official Publications of the European Communities, 1994. ISBN 92-826-7423-1 (Parts A+B), ISBN 92-826-7071-6 (Part C).

(b) For the second type of measure: TTs.

2. "*Good practice in Managing Transnational Technology Transfer Networks: 10 years of experience in the SPRINT programme Volume 1: subject papers and Volume 2: case histories*", European Commission, DG XIII/D/4.

3. "*Practical Guide for preparing Technology Transfer Contracts*", Nodal Consultants, European Commission, DG XIII/D, May 1992.

4. "*The MINT Guidebook for Business and Technology: diagnostic Tools and Methodologies*", European Commission, DG XIII/D/4, July 1993.

These documents are available from the Commission of the European Communities, Directorate General XIII "Telecommunications, Information Market and Exploitation of Research", DG XIII/D/4, JMO B4-100, Jean Monet Building, L-2920 Luxembourg, Fax (352) 43 01 34544.

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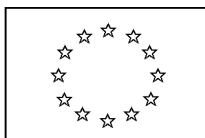
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3.

APPLICATION FORM

- Check-list for the applicants
- Summary application form (*duly completed in English or French must be sent with the complete application*)
- Application form for submission of the project (*complete application*)

EUROPEAN PROGRAMME FOR INTER-REGIONAL COOPERATION
AND REGIONAL ECONOMIC INNOVATION

Article 10 of the ERDF Regulation

Innovative regional and local measures

Checklist for applicants

SUBMISSION OF APPLICATIONS

All applications must consist of two parts:

- the first part comprises the summary application for part-financing, setting out the main features of the project;
- the second part is a detailed description of the project following the attached detailed form. It should be typewritten on A4 paper and comply with the instructions in the checklist.

Correct completion of these application forms will help the Commission speed up the processing and selection of applications and facilitate the decision-making and contract stages. Applicants are requested to send their applications in four copies to the following address :

Directorate-General XVI Regional Policy and Cohesion
European Commission
Unit A2 Building CSM1, Office 7/43
rue de la Loi 200
1049 Brussels
Belgium

Project proposals may be sent by registered post, the registration certificate providing proof of the date of dispatch. They may also be delivered in person to Unit XVI-A-2 at the above address before the dates mentioned hereinafter, specified by type of action. A dated receipt, signed by the official of that Unit to whom the documents were delivered, will provide proof of delivery.

The project proposal should be submitted in a double sealed envelope. The inside envelope should bear the name of the addressee department as given above and "***call for proposals in the field of ... (to precise) from..... (name of organisation or proposer)..... - not to be opened by the mail department.***" Self-adhesive envelopes which can be opened and

Only complete proposals will be accepted. (four copies must be provided).

Deadline of submission of project proposals :

1. Information Society

- field of action n° 1 : before 12 January 1996
- field of action n°2 : before 28 February 1996

2. Innovation and Technology Transfer

- field of action n°1 : before 15 December 1995
- field of action n°2 : before 15 March 1996

3. New Sources of Jobs

by the 31 January 1996 at the latest

4. Interregional cooperation for economic development in the cultural field

before 1st March 1996

SUMMARY APPLICATION FORM

Only projects submitted on the official application forms are eligible for part-financing. They should be typewritten. Where necessary, the official forms may be photocopied. They may be obtained on the World Wide Web :

<http://www.cec.lu/en/comm/dg16home.html>

DETAILED DESCRIPTION OF THE PROJECT

The description must comply with the detailed outline of the form and follow the order of the sections. The form should not exceed 25 to 30 typewritten pages. Sections I (3, 4), II (2, 5, 6, 7, 8, 9 and 10) may require more space than allowed on the form. The maximum number of pages given for each section or group of sections should not normally be exceeded.

The Commission will reply to requests for information or further advice on the preparation of proposals only at the Directoria Congress and on the basis of questions submitted by fax before 15 December 1995 to :

32 2 296 24 73

LANGUAGES

The detailed application form is available in the eleven official working Community languages (Danish, Dutch, English, Finnish, French, German, Greek, Italian, Portuguese, Spanish and Swedish). Project co-ordinators may submit the detailed description in any of the above languages. However, in the case of projects involving trans-national cooperation, it would be desirable for the form to be completed in a language used by all the partners in the network. In order to speed up the processing of applications and contracts, promoters are requested to submit the summary application form in French or English only.

SECTION 1 - DETAILS OF THOSE MAKING THE PROPOSAL (PAGES 2A, 2B, 2C et seq)

1. Each project concerning sources of employment and urban pilot projects should relate to a single geographical area. However, such projects should be carried out through a wide-ranging partnership. The co-ordinator should be clearly indicated under the heading "Proposer No 1" while the associated applicants should be listed under the other headings and their roles specified under I.3.
2. Only a single set of details of the applicants should be completed for projects concerning the information society and innovation strategies, the scope of regional strategies and action plans. The associated partners are the bodies constituting the steering committee. Their role is described under I.3.

For RIS (Regional Information Strategy) and information society strategy measures, the names and roles of the regional and local actors which it is proposed should constitute the steering committee should be given. These should include regional and local public authorities, associations of employers and workers, chambers of commerce, regional development agencies, information services, telecommunications operators, the main users of information and communications techniques, institutes of higher education and training bodies.

3. In the case of cooperation network projects (culture, technology transfer projects and information society application projects), details in the "proposer" section should be completed for each of the areas concerned:
 - proposer No 1 is the body with political and legal responsibility for carrying out the project as a whole, whether it consists of network measures, measures on its territory or measures on the territory of its partners;
 - the person responsible for the project (2a) is the one who, under the responsibility of the proposer, has the actual responsibility for carrying out the project as a whole and the measures to be undertaken in the area in question;
 - associated partners (as in 1 above);
 - applicants Nos 2, 3, 4 and so on are the bodies responsible both for carrying out the measures in their respective areas and for the correct participation in cooperation measures of the associated and other actors in the area in question.

SECTION I.4

State in particular the nature of the information (organisation of work, budget, progress of measures, etc.), who produces the information, who receives it, how it circulates (meetings, teleworking, information letters) and at what frequency.

SECTION II

The attention of applicants is drawn to the importance which the Commission attaches to assessment indicators reflecting the impact of the project on employment.

SECTION III

Explanatory notes not normally exceeding one page in length may be attached to Tables 1, 2 and 4.

ASSISTANCE SOUGHT OR OBTAINED FROM PUBLIC BODIES

Documents relating to the application for or granting of these subsidies must be attached.

**FOR THE REGIONAL TECHNOLOGY TRANSFER PROJECTS PLEASE PROVIDE THE FOLLOWING
EXTRA DETAILED INFORMATION**

1. At point I.3 of the standard application form, please add the following information regarding the project partnership and management structure.

- a) Describe, for the partners already identified, their skills, expectations and inputs to the project. Indicate eventual previous collaborations between (some of the) partners, if applicable. Not all partners necessary for the demonstration phase need to be identified at this stage.
- b) Is there a need to identify additional partners during the definition phase? Describe in detail and try to characterise such partners. The project partnership of a Technology Transfer Project should include end-users as full partners.

2. At point II.2 of the standard application form, please add the following information regarding a detailed description of project objectives.

- a) Describe the immediate objectives of the project. Which needs of end-users directly involved as project partners will be satisfied at the end of the project?
- b) Describe the objectives of the project in the longer term. Indicate fields/sectors/regions in which you intend to promote the innovative technology and/or method developed by the project. Specify the market potential of your innovation (size/significance of the target markets).
- c) Broad outline of work to be conducted under the project: describe the major work packages. Planning detail may still be limited at the present stage but the project should be sufficiently consolidated to list the major tasks of a potential implementation phase. Should you believe that most of the work to be performed in the definition phase has already been conducted, you may *additionally* provide a fully detailed work programme.
- d) Description of the implementation phase:

Prior to investing human and financial resources in a regional technology transfer project, it is necessary to check certain critical aspects of your proposal. A project definition phase will offer you an excellent opportunity to improve your proposal, to fill gaps, if any, and to define a detailed work programme for the implementation phase.

If you believe that the work related to the definition phase has already been performed by your project consortium, you are asked to specify it in detail, in part 7 of this application form and to add a detailed work programme and all appropriate documents you judge useful, according to the evaluation criteria specified in the Information Pack.

If this is not the case, please describe here what tasks you believe should be conducted during the definition phase, taking into account what should be the main headings of a definition phase:

- i) Demonstrating the market potential.

Under the definition phase you may carry out the necessary feasibility studies (technical and economical), market surveys, acceptance tests etc. to show that the innovation will

have reached sufficient market perspective and commercial viability at the end of the implementation phase. Describe by which measures you plan to promote your innovation into new markets after the project. What will be the roles of project partners in exploitation/commercialisation of project results in the future?

ii) Consolidating the project partnership.

Under the definition phase you may consolidate the project partnership and eventually find and integrate additional partners.

iii) Designing the diffusion infrastructure and mechanisms.

Under the definition phase you may design the infrastructure and the mechanisms ensuring the wider diffusion of the innovation after the implementation phase. This may include a patent strategy, an exploitation contract or preparing strategic alliances with future partners etc.

iv) Preparing the detailed work-programme of the implementation phase.

Under the definition phase you will have to establish a detailed work-programme for the implementation phase including task descriptions for all partners, deliverables, milestones etc. All partners must be committed to this work-programme. Are modifications/adaptations of the existing technology and/or method necessary for the intended technology transfer? What are the risks involved in these changes? By which activities do you intend to overcome the non-technical barriers?

v) Techno-economic feasibility (cost/benefit aspects, acceptance, tasks, etc.)

vi) Intellectual property rights.

Describe the present status of the proposed innovative technology and/or method with regard to Intellectual Property Rights (existing or pending patents, licences, copyrights etc. in connection with the subject of the project).



EUROPEAN COMMISSION

**DIRECTORATE-GENERAL XVI
REGIONAL POLICY AND COHESION**

*Registration No
(For Commission use only)*

SUMMARY APPLICATION FORM

THIS FORM, DULY COMPLETED IN ENGLISH OR FRENCH, MUST BE SENT WITH THE COMPLETE APPLICATION SUBMITTED IN ONE OF THE OFFICIAL LANGUAGES OF THE COMMUNITY

EUROPEAN PROGRAMME FOR INTER-REGIONAL COOPERATION AND REGIONAL ECONOMIC INNOVATION

ARTICLE 10 OF THE ERDF REGULATION ¹

INNOVATIVE REGIONAL AND LOCAL MEASURES

<p>Title of project/name of network:</p> <p>Proposed abbreviation:</p>

<p>Field of project or network: (Tick one box only)</p> <p>IMPLEMENTATION OF THE WHITE PAPER:</p> <ul style="list-style-type: none">- promotion of technological innovation <input type="checkbox"/>- information society <input type="checkbox"/>- new sources of employment (particularly local jobs), equal opportunities <input type="checkbox"/> <p>DEVELOPMENT OF CULTURE AND THE CULTURAL HERITAGE</p>
--

¹⁶ Regulation (EEC) No 4254/88 (OJ No L 374, 31.12.1988), as amended by Regulation (EEC) No 2083/93 (OJ No L 193, 31.7.1993).



Main objectives sought:

SPECIFIC FEATURES OF THE AREAS CONCERNED BY THE PROJECT

LOCATION OF THE PROJECT BY PROPOSER	COUNTRY	REGION(S)	TOWN(S) OR OTHER AREAS	EC FINANCE REQUESTED (ECU)
1. Objectives 1 and/or 6				
2. Objectives 2 and 5(b)				
3. Other				

Schedule:

- **Start of project** (*planned*)
- **Length of project** (*maximum two years*):
number of months and dates planned

Co-ordinator responsible for the project/network

- *Legal title*

- *Name and title of the person responsible*

- *Address*

- *Fax:*
Telephone
E.mail

Signature of the person responsible for the project

Place and date

PLEASE ENSURE THAT YOU HAVE ENCLOSED WITH THIS FORM FOUR COPIES OF THE FULL TEXT OF YOUR APPLICATION



EUROPEAN COMMISSION

DIRECTORATE-GENERAL XVI
REGIONAL POLICY AND COHESION

Registration No

(For Commission use only)

EUROPEAN PROGRAMME FOR INTER-REGIONAL COOPERATION AND REGIONAL ECONOMIC INNOVATION

ARTICLE 10 OF THE ERDF REGULATION¹

Innovative regional and local measures

Application form for submission of the project

Title of the project/Name of the network:

Proposed abbreviation:

Field of project or network:

(Tick one box only)

IMPLEMENTATION OF THE WHITE PAPER:

- promotion of technological innovation
- information society
- new sources of employment (particularly local jobs), equal opportunities

DEVELOPMENT OF CULTURE AND THE CULTURAL HERITAGE

IN THE CONTEXT OF THE ESTABLISHMENT OF COOPERATION NETWORKS

¹⁷ Regulation (EEC) No 4254/88 (OJ No L 374, 13.12.1988), as amended by Regulation (EEC) No 2083/93 (OJ No L 193, 31.7.1993).

I. GENERAL INFORMATION

1. Details of the applicants

<p>Proposer No1:..... <i>(responsible body and co-ordinator of the project or network)</i>.....</p> <p>Legal status:.....</p> <p>Legal title:.....</p> <p>Name of the person responsible¹:</p> <p>Street, No:.....</p> <p>Town, post code, country:.....</p> <p>Telephone (prefixes and number):.....</p> <p>Fax:.....</p> <p>E/MAIL:.....</p> <p>Person responsible for the project:</p> <p>Capacity of the person responsible:.....</p> <p>Name and signature of the authorised representative:.....</p> <p>Date and place:.....</p> <p>Associated partners:.....</p> <p>Public authorities in particular local authorities guaranteeing the project¹:</p> <p>.....</p>

¹⁸If the project is accepted, this person will be required to sign the contract and make the body for which he works responsible for the correct use of Community appropriations.

¹⁹If the proposer is not a local authority.

Details of the applicants

Proposer No :.....

.....

Legal status:.....

Legal title:.....

Name of the person responsible¹:.....

Street, No:.....

Town, post code, country:.....

Telephone (prefixes and number):.....

Fax:.....

E/MAIL:.....

Person responsible for the project:

Capacity of the person responsible:.....

Name and signature of the
authorised representative:.....

Date and place:.....

Associated partners:.....

.....

.....

Public authorities in particular local authorities
guaranteeing the project¹:.....

.....

²⁰ If the project is accepted, this person will be required to sign the contract and make the body for which he works responsible for the correct use of Community appropriations.

²¹ If the proposer is not a local authority.

2. Main work and previous experience in similar or related fields

NB: Attach the curriculum vitae (not exceeding one page) of each proposer

	Main work	Previous experience
Proposer No 1: (Project/network leader and co-ordinator)		
Proposer No 2:		
Proposer No 3:		
Proposer No 4:		
Proposer No 5:		
Proposer No 6:		

3. Management structure

State the exact role of each proposer and of any associated partners. Provide a chart showing the links between participants in the various regions and local authorities and within each body and complete the following table.

(Do not exceed one page of text plus charts and tables)

Body	Body with legal personality	Person with financial responsibility	Person with technical responsibility
Proposer No 1 (Project leader and co-ordinator) Tel.: Fax: E/MAIL: Tel.: Fax: E/MAIL Tel.: Fax: E/MAIL
<i>Proposer No 2</i> <i>Tel.:</i> <i>Fax:</i> <i>E/MAIL</i> <i>Tel.:</i> <i>Fax:</i> <i>E/MAIL</i> <i>Tel.:</i> <i>Fax:</i> <i>E/MAIL</i>
Proposer No 3 Tel.: Fax: E/MAIL Tel.: Fax: E/MAIL Tel.: Fax: E/MAIL
Proposer No 4 Tel.: Fax: E/MAIL Tel.: Fax: E/MAIL Tel.: Fax: E/MAIL
Proposer No 5 Tel.: Fax: E/MAIL Tel.: Fax: E/MAIL Tel.: Fax: E/MAIL
Proposer No 6 Tel.: Fax: E/MAIL Tel.: Fax: E/MAIL Tel.: Fax: E/MAIL

4. Organisation of information among participants:
(maximum one page)

5. Main features of the areas concerned by the project

Location of the project by proposer	Country	Region(s)	Town(s)/ Location(s)	Objective (1, 2, 5, 6 or none)	Population concerned

6. Is this project or network the result of an earlier exchange of experiences financed by the Community? yes ? no ?

If so, give detailed information to enable the exchange of experiences to be identified: title, names of those involved, results, amount of part-finance.

7. Previous proposals

Give details of all proposals concerning the project or part of the project already submitted to the Commission for financing

Proposer	Date of submission	Whether or not part-financed by the Commission	DG concerned	Title	Current position and any differences from the current project

II. DESCRIPTION OF THE PROJECT TO BE PART-FINANCED
(Use this page only)

1. Brief description of the project

AIM(S):

INNOVATIVE DIMENSION (for the areas concerned):

RESULTS EXPECTED:

ASSESSMENT - QUALITATIVE AND QUANTITATIVE INDICATORS:

PLANNED DISSEMINATION OF THE RESULTS:

PLANNED DURATION OF THE PROJECT:

2. Detailed description of the project (maximum 10 pages):

-
- This description, which should concentrate particularly on the innovative aspects of the project, should be as detailed as possible while not exceeding 10 pages (excluding tables and figures, which should annexed at the end of the proposal). It should cover all the main features of the project.
 - Applicants should ensure that their project presentations include all items of information not covered by other headings in order to demonstrate that the project satisfies the criteria for eligibility and selection set out in the call for proposals.
-

3. Types of activities planned to implement the project

	Types of activities	X
3.1	Meetings	
	.Meetings of those taking part in the project or network	
	.Workshops, seminars	
	.Colloquia, Conferences	
	.Exhibitions	
	.Others (specify)	
3.2	Non-material measures	
	.Purchase of licenses	
	.Technical and scientific assistance	
	.Surveys	
	.Visits and exchanges	
	.Shared databases	
	.Shared methods of analysis and diagnosis	
	.Publicity campaigns	
	.Others (specify)	
3.3	Material investments	
	.Data processing	
	.Machines	
	.Others (specify)	
3.4	Publications	
	.Periodicals	
	.Videos	
	.Brochures	
	.Shared publications	
	.Handbooks, guides	
	.Studies	
	.Yearbooks	
	.Others (specify)	
3.5	Research	
	.Scientific research	
	.Market studies	
	.Feasibility studies	
	.Comparative analyses	
	.Inventories	
3.6	Others (specify)	

4. Schedule:

- **Start of project** (*date planned*):

.....

- **Length of project** (*number of months and date planned*):

.....

5. Schedule for implementation of the project (*maximum two pages*)

Main activities at each stage	Period/Date	Participants	Results expected

6. Planned objectives

Local and regional impact; economic development; added value, job creation, dissemination at European level. State also how each partner may benefit from the project in the short and long term.

7. Follow up planned

8. Monitoring and assessment

State the provision made for monitoring and assessment, the methodology proposed and any use to be made of independent experts.

9. Link between the project and development measures taken by regional and local authorities.

List the actual measures taken by the authorities and the extent to which the project extends or supports them.

10. Possibility of using the results of the project for the purpose of regional, national or Community public assistance involving the Structural Funds.

NB: Sections 6 to 10 should not exceed three pages.

III. DETAILED OPERATING BUDGET SHOWING THE COST OF IMPLEMENTING THE PROJECT IN ITS COMPONENT PARTS

1. Detailed breakdown of the component parts of the cost (excluding VAT) of implementing the project

NB: The component parts listed below should correspond to the types of activity required to implement the project as listed in section II-3 (types of activity planned to implement the project).

Components	Fees	Total cost (ECU)	Eligible expenditure (ECU)	Assistance requested (ECU)	
				%	Amount
1. Design					
Total					
2. Implementation					
Total					
3. Monitoring and assessment					
Total					
4. Management costs					
Total					
GRAND TOTAL			X ¹		

²² The grand total of the columns marked X must be the same in Tables III.1, 2, 3 and 4.

2. Detailed breakdown of eligible expenditure by type (excluding VAT)

NB: Amounts corresponding to supplies in kind are acceptable only if they correspond to expenditure actually included in the financing plan which can be audited through analytic accounts specific to the project.

Type of expenditure	Amount of expenditure (ECU)	%
1. Material investments		
2. Studies and experts' reports		
Total		
3. Costs of temporary staff		
. Management staff		
. Technical and administrative staff		
. Operational staff		
Total		
4. Mission expenses		
. Travel costs		
. Subsistence expenses		
Total		
5. General costs ²³		
6. Promotion and publications		
7. Expenditure on meetings, conferences and seminars		
8. Other (specify)		
Total		
GRAND TOTAL	X ¹	

²³ General costs include legal assistance, the hire and equipment of offices, mail, telephone and fax costs, routine translations and expenditure on the preparation and dissemination of reports.

²⁴ The grand total of the columns marked X must be the same in Tables III. 1, 2, 3 and 4.

3. Financial summary

	<i>ECU</i>	<i>%</i>
Total cost of project (Implementation and management)		
Eligible cost (for Community assistance)	X ¹	
EC support requested		
Assistance requested or obtained from other public bodies (state which)		
Financial contributions from private sources		

4. Allocation of the total planned budget by proposer

Proposer	Public finance (ECU)	EC finance (ECU)	Total budget (eligible expenditure)
No 1			
No 2			
No 3			
No 4			
No 5			
No 6			
No ...*			
No ...			
GRAND TOTAL			X¹

(* add if necessary)

25 The grand total of the columns marked X must be the same in Tables III.1, 2, 3 and 4.

26 The grand total of the columns marked X must be the same in Tables III. 1, 2, 3 and 4.

VI. FURTHER INFORMATION

1. List of attached documents:

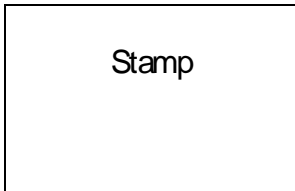
DECLARATION

I the undersigned, having responsibility for and acting as coordinator for the project/network entitled:

.....
.....
.....
.....

submitted to the European Commission for financial support under the Innovative regional and local measures section of the European Programme for Inter-regional Cooperation and Regional Economic Innovation, hereby certify that the information given is true and correct.

Signature _____ Place and
Date _____





4.

COOPERATION EXCHANGE 'DIRECTORIA'

