**Please consult the Innovators’ Initiative Call Guidance Document**

**before completing this Application Form**

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| **Innovators’ Initiative**  **OPEN COMPETITIVE CALL FOR PROPOSALS**  **APPLICATION FORM** |

Please note: The word limits in each section of the application form MUST NOT be exceeded. **Appendices should not be included unless specifically requested. Do not modify the application form template. Font size should be at minimum 11 points in Arial font. Please ensure that all the sections of the application are completed.**

**Please note that the information gathered in this form will solely be used for the purposes of the Innovators’ Initiative. For full details on Enterprise Ireland’s Privacy Notice, please see the following link:** [**https://www.enterprise-ireland.com/en/Legal/GDPR/Personal-Data-Protection-Notice/**](https://eur03.safelinks.protection.outlook.com/?url=https%3A%2F%2Fwww.enterprise-ireland.com%2Fen%2FLegal%2FGDPR%2FPersonal-Data-Protection-Notice%2F&data=05%7C01%7CTonya.Walsh%40enterprise-ireland.com%7Ca4b9f14ad7cb4c3d429908db0b66f0ef%7Cbdd3e620ccf34ac6a8070501d2cb25c4%7C0%7C0%7C638116308978796834%7CUnknown%7CTWFpbGZsb3d8eyJWIjoiMC4wLjAwMDAiLCJQIjoiV2luMzIiLCJBTiI6Ik1haWwiLCJXVCI6Mn0%3D%7C3000%7C%7C%7C&sdata=jsj1Ge%2F9emXLzOTRc6Hur6igXF6ti5k8Ck276x1Kd14%3D&reserved=0)**. Where you are providing names of colleagues, please make them aware of our Privacy Notice.**

**In accordance with Article 82** **of EU Regulation (EU) 2021/1060, without prejudice to the rules governing State aid, the Intermediate Body, Enterprise Ireland, shall ensure that all supporting documents related to the Innovators’ Initiative are kept at the appropriate level for a 5-year period from 31 December of the year in which the last payment to the beneficiary is made.**

**The closing date for receipt of applications is 12 pm, 17th April 2023.**

**Applications are to be sent to** [**innovatorsinitiative@enterprise-ireland.com**](mailto:innovatorsinitiative@enterprise-ireland.com)**.**

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| **Proposal structure:**   1. **Declarations** 2. **Executive summary of proposal across all key programme elements.** 3. **The connectiveness of the RPO to relevant stakeholders in that industry domain/sector and their support for, and involvement in, the proposal.** 4. **The quality and authenticity of the immersive environment to be provided to Programme Participants in the chosen industry domain/sector.** 5. **Quality and appropriateness of the resources and commitments of the RPO to successfully host and operationalise the programme; proposed governance, hosting, and staffing arrangements; quality and detail of the SLA provided; budget breakdown.** 6. **Quality and appropriateness of the innovation methodology and the training and its suitability and applicability to the chosen industry domain/sector.** 7. **Relative economic benefit and the importance of the industry sector/domain to the region and Ireland, to include alignment with Ireland’s Smart Specialisation Strategy.** 8. **Proposal budget, costings, and value for money.** |

**Applicant(s) Details:**

|  |  |
| --- | --- |
| **Host Research Performing Organisation (RPO) 1**  Name & Address |  |
| Primary Contact Name |  |
| Position: |  |
| Phone Number: |  |
| E-mail: |  |

**Add additional collaborators as necessary**

|  |  |
| --- | --- |
| **RPO 2:**  Name & Address |  |
| Primary Contact Name |  |
| Position: |  |
| Phone Number: |  |
| E-mail: |  |

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| 1. **Declarations** |  |
| I enclosed a filled in and signed State Aid checklist (Appendix 1). |  |
| I enclosed the policy/guidelines/statement on the Equality, Diversity and Inclusion adopted in my institution and included an Equality, Diversity & Inclusion (ED&I) plan for the Programme in the application. |  |
| In the application I outlined steps to prevent any discrimination based on gender, racial or ethnic origin, religion or belief, disability, age or sexual orientation and accessibility for persons with disabilities taking account of the Charter of Fundamental Rights of the European Union and confirm that we have effective mechanisms in place to ensure compliance with the United Nations Convention on the Rights of Persons with Disability (UNDRPD) during the preparation, implementation, monitoring, reporting and evaluation of the Programme. |  |
| I confirm that the proposal respects the 6 principles of “Do No Significant Harm (DNSH)” - climate change mitigation, climate change adaptation, the sustainable use and protection of water and marine resources, the circular economy, including waste prevention and recycling, pollution prevention and control to air, water, and land and the protection and restoration of biodiversity and ecosystem. |  |
| I confirm that this proposal neither hinders the achievement of Ireland’s climate objectives nor has other significant negative environmental impacts. |  |
| I confirm that the proposal was built on the EU Horizontal Principles: sustainable development, equal opportunities and non-discrimination, and equality between men and women. |  |
| I confirm that if my proposal is successful the funding will not be utilised to fund capital equipment or infrastructure. |  |
| I understand that eligible expenditure can only be incurred after the contract signature. |  |
| I confirm that my institution has effective mechanisms in place to ensure that all public procurement is consistent with National and EU procurement legislation. |  |
| I confirm that the application does not include activities which were part of an operation subject to relocation in accordance with Article 66 or which would constitute a transfer of a productive activity in accordance with point (a) of Article 65(1) of the Common Provisions Regulation. |  |
| I confirm that the application is not directly affected by a reasoned opinion by the Commission in respect of an infringement under Article 258 TFEU that puts at risk the legality and regularity of expenditure or the performance of operations. |  |
| I confirm that the programme will comply with all publicity and communications requirements in accordance with ERDF EU Regulations and Programme guidelines. |  |
| I confirm that the application is closely aligned with the relevant Regional Spatial and Economic Strategy (RSES) and Ireland’s Smart Specialisation Strategy. |  |
| I consent to Enterprise Ireland sharing information with the Managing Authorities and other involved parties for the purpose of the essential Innovators’ Initiative operations and ERDF compliance. |  |

Signed

Name (Vice President or equivalent)

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| 1. **Executive summary of proposal across all key programme elements (maximum of 2,000 words, please do not exceed word limit)** |
|  |

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| 1. **The connectiveness of the RPO to relevant stakeholders in that industry domain/sector and their support for, and involvement in, the proposal.**   **(Maximum of 3,000 words, please do not exceed word limit)**  **(25% of overall weighting)** |
| Please consider the following in this section:   * 1. Host organisation’s expertise in the chosen sector or domain, including details of existing staff, training programmes, understanding of market and track record in the chosen sector or domain. Identification of gaps/needs and plans to address via collaborations or new resources.   2. Stakeholder network – outline the host organisation's relevant network of contacts from industry, sector e.g., key companies (FDI & Indigenous), supply chains, representative bodies, investor community, mentors, advisors, research networks, state, and statutory bodies (including regulatory if appropriate), international contacts, Accelerators, Innovation Hubs etc.   3. Outline the extent to which the host RPO has confirmed the involvement of named stakeholders for their programme and the nature of their involvement. Include letters of support where appropriate. |
| 1. **The quality and authenticity of the immersive environment to be provided to Programme Participants in the chosen industry domain/sector.**   **(Maximum of 3,000 words, please do not exceed word limit)**  **(25% of overall weighting)** |
| Please consider the following in this section:   * 1. Description of the immersive environment(s) and its authenticity and suitability for needs-led innovation in the chosen sector/domain - Detail how the proposed environment allows neutral observation/interaction of real workflows in action and challenges within the chosen sector or domain.   2. The potential of the immersive environment(s) to deliver a pipeline of validated market needs.   3. Detail on how the Programme Participants will be given unfettered access to all actors, workflows, requisite data, locations, incentives, and challenges, ensuring legal, ethical, regulatory (e.g., GDPR), reimbursement[[1]](#footnote-2), and intellectual property (IP) challenges are understood and managed.   4. Nature of the arrangements in place with the providers of the immersive environment(s) level and duration of access for Programme Participants and any limitations on access.   5. IP arrangements in place with providers of immersive environment(s) and methodology to mitigate confidentiality and access to and ownership of resultant and associated data.   6. Outline the risks of the immersive environment from an effectiveness perspective, proposals to mitigate those risks, and what steps will be taken if the initial immersive environment is not proving effective or suitable. |

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| 1. **Quality and appropriateness of the resources and commitments of the RPO to successfully host and operationalise the programme; proposed governance, and staffing arrangements; quality and detail of the SLA provided; budget breakdown**   **(Maximum of 3,000 words, please do not exceed word limit)**  **(20% of overall weighting)** |
| Please consider the following in this section:   * 1. **Leadership Team** * Details of Proposed Leadership Team Structure and reporting arrangements between the programme delivery team, the Senior Programme Director, and the Host Organisation. * Details of existing leadership resources in place (to be leveraged). * Proposed Senior Programme Director and time commitment. * Details of leadership resources required, outline job descriptions, justified level/salary scale of appointments.   1. **Governance** * Description, responsibilities and outline composition of Management Team, Steering Committee and External Advisory Panel(s) and proposed reporting lines, Programme Organisation and Responsibilities, Service Level Agreement – provide descriptive outline here and include draft SLA as an appendix.   1. **Host Support – Personnel** * Senior Management Support in Host Organisation. * TTO Support – identified lead contact points. * HR, Financial and Administration Support.   1. **Host Support – Infrastructure** * Workspace and working environments, meeting rooms, access, break-out and collaboration spaces. * Access to prototyping, IT, and research resources. * Support for key stakeholder interactions. * Programme staff office accommodation.   1. **IP Management** * Description of training provision for participants and delivery team.   + Compliance with relevant national protocols.   + Methodology for Collaboration with other RPOs post programme, in the event of the team undertaking a Commercialisation Fund project at another RPO * IP arrangements between Host RPO and participants if/when they select a different RPO to commercialise the validated need they identified and selected during their participation in the programme.   1. **Metrics and KPIs** * Standard Programme Metrics (see Metrics and KPIs guidance at end of this document for more detail). * Self-selected metrics and KPIs.   1. **Equality, Diversity and Inclusion (ED&I)** * Describe how the proposed programme will embed principles of ED&I, including in the recruitment of Programme Participants, the programme management team, steering and advisory committees, the marketing strategy, operational activity, and performance review. * Please provide the institute’s current ED&I policy and any accreditation the RPO possesses as an appendix to the application form.   1. **Success** * Describe the success benchmarks that will be used to determine the performance of your programme at appropriate points in time during the seven-year term relative to the nature of the sector you are addressing |
| 1. **Quality and appropriateness of the innovation methodology and the training and its applicability to the chosen industry domain/sector**   **(Maximum of 3,000 words, please do not exceed word limit)**  **(15% of overall weighting)** |
| Please consider the following in this section:   1. **Proposed structure and content of Innovation Training Programme**  * Description of innovation methodology selected its suitability and customisation for the chosen sector/domain. * Workflow diagram and description of innovation training curriculum to include training related to needs identification, screening, validation, prioritisation, ideation, concept generation and identification of solutions, assessment of technical, commercial, regulatory, and other barriers to entry, validation. * How the proposed innovation methodology training will intersect with, and enable, the Programme Participants to maximise their immersion phase. * Background and skillsets of those who will deliver all aspects of the training.  1. **Proposed Method for Participant Programme Recruitment and Team Formation**   Description of proposed approach to:   * Recruitment: Programme marketing and communications approach to attract suitable applicants. * Intended recruitment process: e.g., online application, shortlisting, interview etc. * Selection process for Participants: Minimum participant qualifications and experience, requirements, achieving suitable blends of capability and ambition. Minimum team size.  1. **Methodology for Team Formation, structure of approach, cite exemplars or standards followed:**  * Onboarding methodology and initial training * Methodology for team formation to ensure multidisciplinary within teams * Accreditation and formal qualifications for Programme Participants |
| 1. **Relative economic benefit and the important of the industry sector/domain to the region and Ireland, to include alignment with the Smart Specialisation Strategy. (Maximum of 3,000 words, 15% of overall weighting)** |
| * 1. **Description of the chosen sector or domain for the proposed Programme and its current and future importance for the Economy of Ireland.**   2. **Suitability of the chosen sector or domain for the proposed Programme.**   3. **Climate Change and Smart Specialisation** * Describe how the proposed programme will contribute to Ireland’s “Climate Action Plan 2023” and the National Smart Specialisation Strategy for Innovation 2022-2027”. |
| 1. **Proposal budget, costings, and value for money (maximum of 4,000 words, please do not exceed word limit)** |
| Please consider the following in this section:  **Budget**  Detailed Funding Requirements and Costings  Justifications for proposed Funding Requirements and Costings  **Summary Table – Must be completed:**   |  |  |  |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | --- | --- | --- | | **Indicative Cost** | **Year 1** | **Year 2** | **Year 3** | **Year 4** | **Year 5** | **Year 6** | **Year 7** | **Total** | |  | **€k** | **€k** | **€k** | **€k** | **€k** | **€k** | **€k** | **€k** | |  |  |  |  |  |  |  |  |  | | **Programme Delivery Team, Management Personnel and Support costs** |  |  |  |  |  |  |  |  | |  |  |  |  |  |  |  |  |  | | **Once Off Establishment Costs** |  | 0 | 0 | 0 | 0 |  |  |  | |  |  |  |  |  |  |  |  |  | | **Programme Participant Stipends and other costs (to be detailed).** |  |  |  |  |  |  |  |  | | **#Participants** |  |  |  |  |  |  |  |  | |  |  |  |  |  |  |  |  |  | | **Grant Request Total** |  |  |  |  |  |  |  |  | |

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| **Metrics and KPIs guidance** |
| **Setup Phase - Years 1 & 2:**  **Objective:** Deliver a national Needs Led Innovation Programme  **KPI’s:**   * Establish a rigorous selection process for new intake * Minimum number of Programme Participants recruited * X unmet/under needs identified * Establish a process to facilitate the development of commercialisation fund applications * Number of Programme Participants completing the Innovators’ Initiative Programme * Establish a process for engagement between TTOs and the Programme Delivery team * Establish a process for IP Management   **Objective:** Effectively manage, grow, and govern a programme  **KPI’s:**   * Programme Delivery Team in place * Programme Mentorship Team in place * Programme Steering Team in place * Define and implement strategic plan * Advisory team in place including investors, industry, academic, commercial and alumni. * Ensure real time monitoring and recording of project outputs and results * Establish a process for engagement between Commercialisation Fund applicants with alumni mentors   **Years 3 and beyond**   * # Commercialisation Fund applications and awards * # Intellectual property licenses issued * Enable the formation of new companies – # spinouts formed and # HPSUs * Gender action plan in place with progress against agreed targets * Number of Programme Participants completing the Innovators’ Initiative Programme * Alumni network – feedback from past participants, number involved in mentoring, speaking, or giving feedback to current Programme Participants. |

**Appendix 1**

**State Aid Checklist for the Enterprise Ireland Needs Led Training Initiative -**

**Research Organisation and/or Research Infrastructure validation Check list**

The purpose of this Checklist is to determine whether your organisation qualifies as a Research Organisation or Research Infrastructure that is used almost exclusively for a non-economic activity in accordance with the [Framework for State aid for research and development and innovation (2022/C 414/01)](https://eur-lex.europa.eu/legal%20content/EN/TXT/PDF/?uri=CELEX:52014XC0627(01)&from=EN)). If this can be confirmed your organisation will not be regarded as a recipient of State aid.

**Checklist for determining whether a Research Organisation or Research Infrastructure will be in receipt of State aid**

|  |  |  |
| --- | --- | --- |
| **Step 1** | **Notes** | **Select:** |
| Is your organisation a Research & Knowledge Dissemination Organisation (“Research Organisation”) or a Research Infrastructure? | Confirm either definition 1a or 1b on Page 9-10 of this document apply. | 1a  1b |

If neither 1a nor 1b apply, please contact Enterprise Ireland for guidance.

1a or 1b

|  |  |  |
| --- | --- | --- |
| **Step 2** | **Notes** | **Select:** |
| Does your organisation engage in non-economic activities? | Confirm which examples 2a-2e on Page 11 of this document apply to your organisation. | 2a  2b  2c  2d  2e |

If none of 2a-2e apply, please contact Enterprise Ireland for guidance.

2a-2e

|  |  |  |
| --- | --- | --- |
| **Step 3** | **Notes** | **Select:** |
| Does your organisation also engage in economic activities? | Confirm which examples one 3a-3e on Page 12of this document apply to your organisation. | 3a  3b  3c  3d  3e |

If none of 3a-3e apply the checklist is complete.

3a-3e

|  |  |  |
| --- | --- | --- |
| **Step 4** | **Notes** | **Select:** |
| How does your organisation separate out its economic and non-economic activities? | Confirm if either of the examples 4a or 4b on Page 13-114 of this document apply. | 4a  4b |

If neither 4a nor 4b apply, please contact Enterprise Ireland for guidance.

4a or 4b

If one of 4a-4b apply the checklist is complete.

**Step 1:**

**Is your Organisation a Research & Knowledge Dissemination Organisation or a Research Infrastructure?**

|  |  |  |
| --- | --- | --- |
| **Is the Organisation a Research & Knowledge Dissemination Organisation (Research Organisation) or a Research Infrastructure?** | **Yes/No** | **Notes** |
| **1a. Research Organisation**   * Is the **primary goal** of the Organisation to independently conduct fundamental research, industrial research, or experimental development; or to widely disseminate the results of such activities by way of teaching, publication, or knowledge transfer? * **Examples** include universities or research institutes, technology transfer agencies, innovation intermediaries, research-oriented physical or virtual collaborative entities. * If the Organisation pursues economic activities (consisting of offering products or services on the open market), the financing, the costs and the revenues of those economic activities must be **accounted for** **separately**, i.e. that the Organisation separates in its accounts its economic and non-economic activities (that is to say the use of human and non-human resources, costs, funding, revenues, etc for economic activities are accounted for separately from non-economic activities in a clear and distinct manner in the Organisation’s balance sheet and income statements in line with appropriate accounting standards. * Please confirm that the Organisation does **not give preferential access** to the results generated by the Entity can be given to shareholders or other parties who exercise influence over the Organisations decision making. |  | Please provide descriptions of the relevant activities to underpin this statement |
| **1b. Research Infrastructure:**   * Does the Organisation include **facilities**, resources and related services that are used by the scientific community to conduct research in their respective fields? * Research Infrastructure covers **scientific equipment** or set of instruments, knowledge-based resources such as collections, archives, or structured scientific information, enabling information and communication technology-based infrastructures such as grid, computing, software and communication, or any other entity of a unique nature essential to conduct research. * The Research Infrastructure, may be ‘**single-sited’** or **‘distributed’** (an organised network of resources) * If the Entity pursues economic activities, the financing, the costs and the revenues of those economic activities must be **accounted for** **separately**, i.e. that the Organisation separates in its accounts its economic and non-economic activities (that is to say the use of human and non-human resources, costs, funding, revenues, etc for economic activities are accounted for separately from non-economic activities in a clear and distinct manner in the Organisation’s balance sheet and income statements in line with appropriate accounting standards). |  | Please provide descriptions of the relevant activities to underpin this statement |

*If the Organisation answers No to 1a. and 1b. then this Checklist may not be suitable for them, and they are unlikely to be carrying on non-State aid activities within the context of this particular support.*

*If the Organisation meets either or both of these definitions, proceed to Step 2.*

**Step 2:**

**Does your Organisation engage in non-economic activities?**

|  |  |  |
| --- | --- | --- |
| **2. Does the Organisation engage in any of the following examples of non-economic activity including:** | **Yes/No** | **Notes** |
| 2a. **Education** for more and better skilled human resources. This includes public education within the national education system, predominantly or entirely funded by the State and supervised by the State. |  | Please provide descriptions of the relevant activities to underpin this statement |
| 2b. **Independent R&D** for more knowledge and better understanding, including collaborative R&D where the research organisation or research infrastructure engages in effective collaboration.  (Please note that the provision of R&D services and R&D carried out on behalf of undertakings are not considered as independent R&D.) |  | Please provide descriptions of the relevant activities to underpin this statement |
| 2c. Wide **dissemination** of research results on a non-exclusive and non-discriminatory basis, for example through teaching, open-access databases, open publications, or open software. |  | Please provide descriptions of the relevant activities to underpin this statement |
| 2d. **Knowledge transfer** activities where they are conducted either by the Research Organisation or Research Infrastructure or jointly with or on behalf of other such entities and where all profits from these activities are re-invested in the primary activities of the Research Organisation or Research Infrastructure set out in 2a.-2c. above. |  | Please provide descriptions of the relevant activities to underpin this statement |
| 2e. **Other** activities which the Entity considers to be non-economic in nature. |  | Please provide descriptions of the relevant activities to underpin this statement |

*If the Entity answers No to all of 2a. – 2e. then this Checklist may not be suitable for them, and they are unlikely to be carrying on non-State aid activities within the context of this funding offer.*

*If the Entity in question engages in at least one of the above activities, proceed to Step 3.*

**Step 3:**

**Does your Organisation also engage in economic activities?**

|  |  |  |
| --- | --- | --- |
| **3. Does the Organisation engage in any of the following examples of economic activity including:** | **Yes/No** | **Notes** |
| 3a. Renting out, or supplying in some other way, **equipment** or laboratories to other entities that qualify as undertakings |  | Please provide descriptions of the relevant activities to underpin this statement |
| 3b. Selling or supplying **products or services** to other entities that qualify as undertakings |  | Please provide descriptions of the relevant activities to underpin this statement |
| 3c. Performing contract research |  | Please provide descriptions of the relevant activities to underpin this statement |
| 3d. **Knowledge transfer** activities where profits from these activities are not fully re-invested in the primary activities of the Research Organisation or Research Infrastructure set out in 2a.-2c. above. |  | Please provide descriptions of the relevant activities to underpin this statement |
| 3e. **Other** activities which the Entity considers to be economic in nature. |  | Please provide descriptions of the relevant activities to underpin this statement |

*If the Entity answers “No” to all of 3a. – 3e. then support in the context this offer may qualify as non-State aid and it is not necessary to answer any additional questions.*

*If the Entity in question engages in at least one of the above activities, proceed to Step 4.*

**Step 4:**

**How does your Organisation separate out its economic and non-economic activities?**

If the Organisation pursues economic activities, the financing, the costs, and the revenues of those economic activities must be accounted for separately (see 1a. and/or 1b above). This Step goes into further detail regarding the separation of such activities.

|  |  |  |
| --- | --- | --- |
| **4. What is the Organisation’s position in relation to economic and non-economic activities** | **Yes/No** | **Notes** |
| 4a. Can the economic and non-economic activities and their costs, funding and revenues be clearly separated so that **cross-subsidisation** of the economic activity is effectively avoided**?** |  | Please provide descriptions of the relevant activities to underpin this statement |
| 4b. Is the Organisation used **almost exclusively for non-economic** activity**?**  It is assumed that the Organisation monitors its annual capacity of its inputs which are used for economic and non-economic activities and calculates the percentage of economic activities as opposed to non-economic.  Depending on the nature of activity and the type of resources required, capacity can be calculated on the basis of time accounting (human resource capacity measured in employee working hours), inputs (such as materials, equipment and fixed capital) and other elements relevant to the specific activity of your entity.  In light of this:  Please confirm that the capacity the Organisation allocates to **economic activities is not in excess of 20%** of the Organisations overall annual capacity at the level of the Organisations relevant entity that carries out the economic activity**.** |  | Please provide descriptions of the relevant activities to underpin this statement |
| Usually, Research Organisations have several departments so it should be at the **level of the relevant department**.  In addition:  Does the Organisation **consume exactly the same inputs** (such as material, equipment, labour and fixed capital) as the non-economic activities**?**  **If not:**  Is the economic activity **limited in scope**, directly related to and **necessary for the operation** of the Organisation?  **OR**  Is the economic activity **limited in scope**, and **intrinsically linked to the main non-economic** use of the Organisation**?** |  | Please provide descriptions of the relevant activities to underpin this statement |

*If the Organisation answers Yes to either 4a. or 4b. then support in the context of this offer may qualify as non-State aid.*

*If the Organisation answers No to both 4a. and 4b. then support in the context of this offer is unlikely to qualify as non-State aid.*

If applicants are in doubt about the answer to any question in the Checklist, they should seek independent legal and/or financial advice. Enterprise Ireland reserves the right to request further evidence at any stage of the application process.

*A declaration is required from an appropriate member of Senior Management of the Organisation that the above statements are accurate and can be quickly further substantiated when called upon to do so.*

**Declaration:**

I declare that the above statements are accurate and can be quickly further substantiated when called upon to do so.

Signed

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VP Research (or equivalent)

**Appendix 1 Glossary of Terms**

1. **Education for more and better skilled human resources**

Public education organised within the national educational system predominantly or entirely funded and supervised by the State may be considered as a non-economic activity.

The non-economic nature of public education is in principle not affected by the fact that pupils or their parents sometimes are necessitated to pay tuition or enrolment fees which contribute to the operating expenses of the system. Such financial contributions often only cover a fraction of the true costs of the service and can thus not be considered as remuneration for the service provided. They therefore do not alter the non-economic nature of a general education service predominantly funded by the public purse. These principles can cover public educational services such as vocational training, private and public primary schools and kindergartens, secondary teaching activities in universities and the provision of education in universities.

Such public education services must be distinguished from services financed predominantly by parents or pupils or commercial revenues. For example, higher education financed entirely by students clearly fall within the latter category. In certain Member States public entities can also offer educational services which, due to their nature, financing structure and the existence of competing private organisations, are to be regarded as economic.

**2. Independent R&D for more knowledge and better understanding**

This includes collaborative R&D where the research organisation or research infrastructure engages in effective collaboration. Provision of R&D services and R&D carried out on behalf of undertakings are not considered as independent R&D.

Please see below for explanation of effective collaboration. Contract research and provision of research services are not considered forms of collaboration.

Please note that independent R & D for more and better understanding can and does often exist independently of collaboration and, indeed, without collaboration, as is the case in the Commercialisation Fund.

**3. Wide dissemination of research results on a non-exclusive and non-discriminatory basis**

For example, through teaching, open-access databases, open publications, or open software.

**4. Knowledge Transfer**

Knowledge transfer activities means any process which has the aim of acquiring, collecting, and sharing explicit and tacit knowledge, including skills and competence in both economic and non-economic activities such as research collaborations, consultancy, licensing, spin-off creation, publication and mobility of researchers and other personnel involved in those activities. Besides scientific and technological knowledge, it includes other kinds of knowledge such as knowledge on the use of standards and regulations embedding them and on conditions of real-life operating environments and methods for organisational innovation, as well as management of knowledge related to identifying, acquiring, protecting, defending, and exploiting intangible assets.

Knowledge transfer activities are non-economic in nature where they are conducted either by the research organisation or research infrastructure (including their departments or subsidiaries) or jointly with, or on behalf of other such entities, **and** where all profits from those activities are reinvested in the primary activities of the research organisation or research infrastructure. The non-economic nature of those activities is not prejudiced by contracting the provision of corresponding services to third parties by way of open tenders.

**5. Effective collaboration** means collaboration between at least two independent parties to exchange knowledge or technology, or to achieve a common objective based on the division of labour where the parties jointly define the scope of the collaborative project, contribute to its implementation, and share its risks, as well as its results. One or several parties may bear the full costs of the project and thus relieve other parties of its financial risks. Contract research and provision of research services are not considered forms of collaboration.

1. This refers to the reimbursement challenges for downstream commercialisation of healthcare technologies [↑](#footnote-ref-2)