

RI-LINKS2UA “SME Instruments in H2020 Training”

Ministry of Education and Science Ukraine

07- 08.12.2016



The SME Instrument under H2020

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HORIZON 2020

The EU Framework Programme for Research and Innovation

- the biggest EU Research and Innovation programme ever with nearly **€80 billion** of funding available over 7 years **(2014 to 2020)**;
- the financial instrument implementing the **Innovation Union**, a Europe 2020 flagship initiative aimed at securing Europe's global competitiveness.
- Based on **3 main pillars**:
 - Excellent Science
 - Industrial Leadership
 - Societal Challenges

Towards Horizon 2020: political foundations

- **Innovation Union, in particular Commitment n°7**

Ensure stronger involvement of SME in future EU R&I programmes

- **European Council 4 February 2011**

Commission is invited to explore the feasibility of a Small Business Innovation Research Scheme



Supporting SMEs throughout the
innovation cycle

All types of innovation
More impact!!

Business-oriented & SME-friendly

- ❑ **Strong challenge-based approach**, allowing applicants to have considerable freedom to come up with innovative solutions
- ❑ **Emphasis on innovation**, with continuing support for R&D
- ❑ **Strong emphasis on expected impact**
- ❑ **A strategic approach**, with two-year work programmes
- ❑ **Focus areas bring together different technologies**, along the entire innovation chain
- ❑ **Cross-cutting issues mainstreamed** (e.g. social sciences, gender, international cooperation)

Structure of Horizon 2020

Excellent Science	Industrial Leadership	Societal Challenges
<ul style="list-style-type: none">• European Research Council• Future and Emerging Technologies• Marie Skłodowska-Curie Actions• Research Infrastructures	<ul style="list-style-type: none">• Leadership in Enabling and Industrial Technologies: Space, Nanotechnologies, ICT• Access to Risk Finance• Innovation in SMEs<ul style="list-style-type: none">• SME instrument	<ul style="list-style-type: none">• Health• Food• Energy• Transport• Climate and Environment• Inclusive, innovative societies• Secure societies

Association to the EU Framework Programmes for Research and Innovation

- SME instrument available for **MS** and **AC** only.
- **EaP countries associated to H2020:**
 - Moldova;
 - Ukraine;
 - Georgia;
 - Armenia.



SME instrument



Objectives

O.1. Providing funding to SMEs in their early stages of activity

O.2. Enhancing innovation and international competitiveness

- Addresses all types of innovative SMEs that have **growth, development and internationalization** capacities
- Provides support to **all types of innovation** (non-technological, social innovation, in the field of services, etc.)

Eligible participants (1)

- **High growth, highly innovative SMEs with global ambitions** that want to disrupt the existing markets
- It's a good sign if your company is **based in an innovation hub**, has **received grants or venture capital funding**, **received innovation-related tax benefits**, or **won an innovation prize** in the last 2 years

Eligible participants (2)

- Small and medium-sized enterprises according to the definition of the [EU recommendation 2003/361](#)

The main factors determining whether an enterprise is an SME are:

- **staff** headcount and
- either **turnover** or **balance sheet total**.

Company category	Staff headcount	Turnover	or	Balance sheet total
Medium-sized	< 250	≤ € 50 m		≤ € 43 m
Small	< 50	≤ € 10 m		≤ € 10 m
Micro	< 10	≤ € 2 m		≤ € 2 m

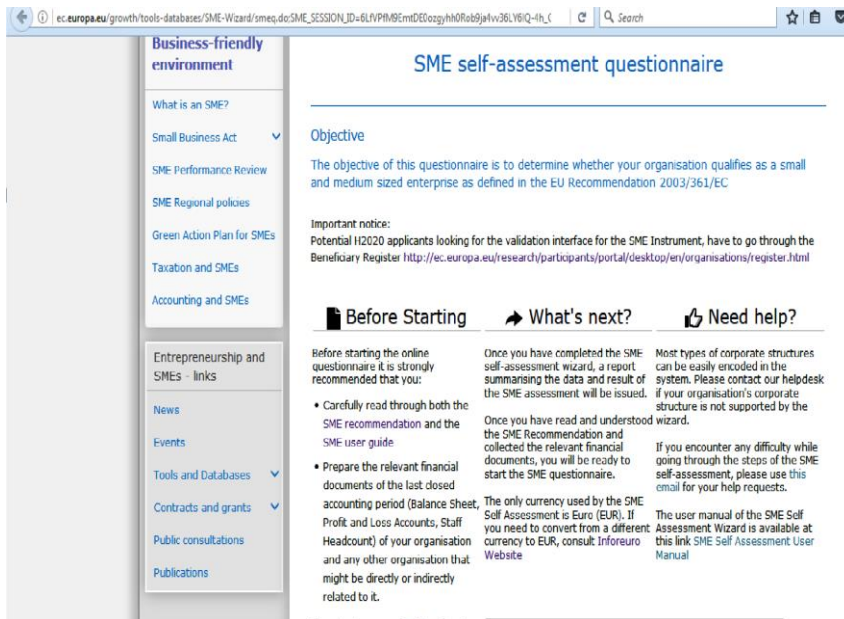
Eligible participants (3)

Additional information:

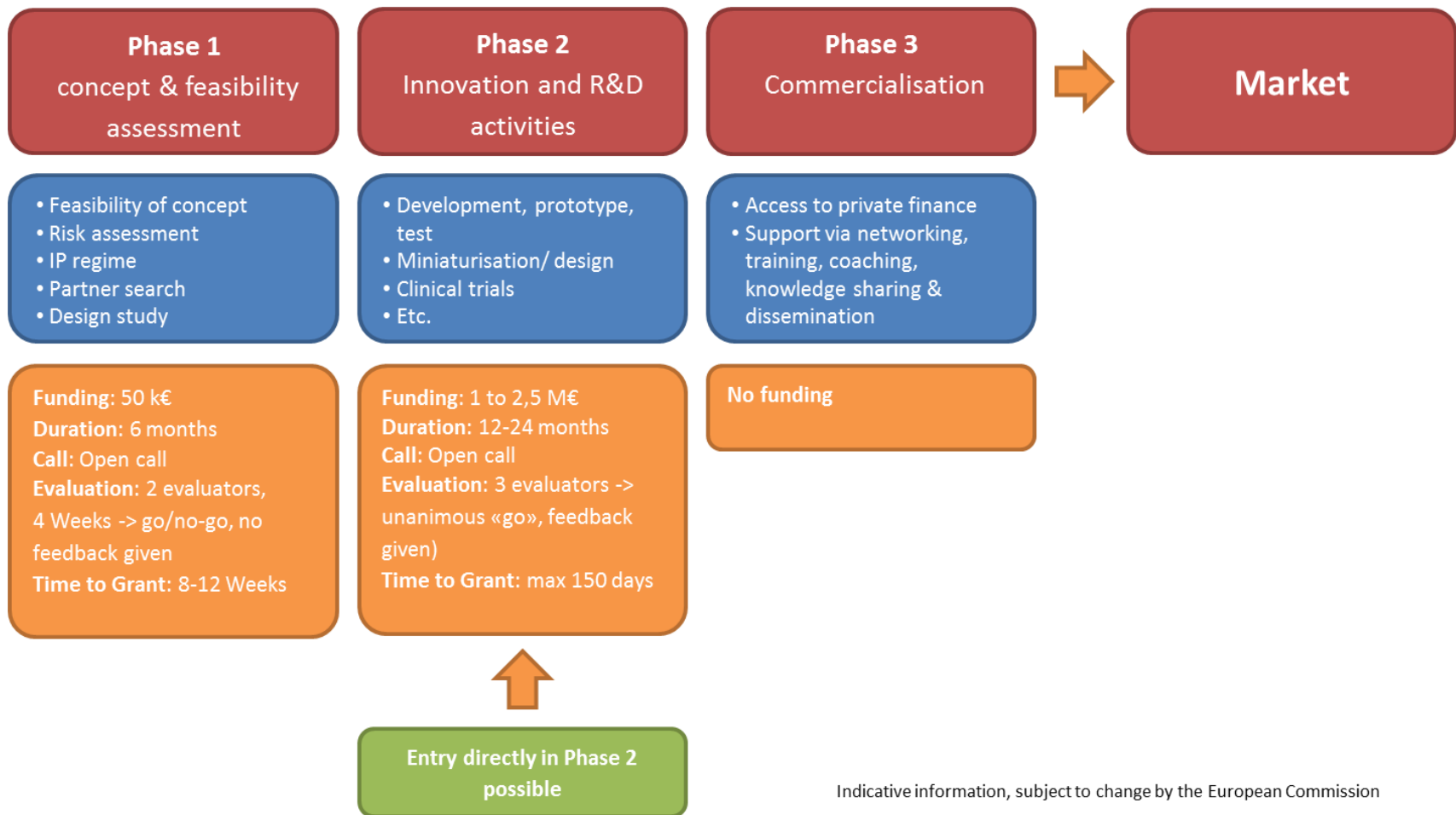
<http://ec.europa.eu/growth/smes/business-friendly-environment/sme-definition> is

SME self-assessment
questionnaire

User Guide to the SME definition



How it works



Indicative information, subject to change by the European Commission

Support available

- Business innovation grants for feasibility assessment purposes (optional phase I): **EUR 50,000** (lump sum) per project (70% of total cost of the project);
- Business innovation grants for innovation development & demonstration purposes (possible phase II): an amount in the indicative range of **EUR 500,000 and 2,5 million** (70% of total cost of the project as a general rule);
- Free-of-charge business coaching (optional in phases I and II), in order to **support and enhance the firm's innovation capacity** and help align the project to strategic business needs;
- Access to a wide range of innovation support services and facilitated access to risk finance (mostly in optional phase III), to facilitate the commercial exploitation of the innovation.

General features



- For **all types of innovative SMEs** (EU-28 + H2020 AC) showing a strong ambition to develop, grow and internationalise
- Administered through **a single and permanently open call** (until the end of H2020)
- **Single company** applications and support possible
- Only **1 application** (phase 1 or phase 2) per SME allowed simultaneously
- **Start-ups** are not excluded
- From idea to market through **three phases of continuous support**
- No obligation for applicants to sequentially cover all three phases
- **70% funding** (as a general rule)
- Ideas with a clear **European dimension**
- Anticipated **EU budget for 2016-2017**: ca. **EUR 750 million** (> ca. EUR 500 million in 2014-2015)
- **Total budget for SME instrument** close to **EUR 3 billion over 2014-2020**

Open calls in 2016-2017



CALL: HORIZON 2020 DEDICATED SME INSTRUMENT 2016-2017

Topics of open call

16

SMEInst-01-2016-2017	Open Disruptive Innovation Scheme
SMEInst-02-2016-2017	Accelerating the uptake of nanotechnologies advanced materials or advanced manufacturing and processing technologies by SMEs
SMEInst-03-2016-2017	Dedicated support to biotechnology SMEs closing the gap from lab to market
SMEInst-04-2016-2017	Engaging SMEs in space research and development
SMEInst-05-2016-2017	Supporting innovative SMEs in the healthcare biotechnology sector
SMEInst-06-2016-2017	Accelerating market introduction of ICT solutions for Health, Well-Being and Ageing Well
SMEInst-07-2016-2017	Stimulating the innovation potential of SMEs for sustainable and competitive agriculture, forestry, agri-food and bio-based sectors
SMEInst-08-2016-2017	Supporting SMEs efforts for the development - deployment and market replication of innovative solutions for blue growth
SMEInst-09-2016-2017	Stimulating the innovation potential of SMEs for a low carbon and efficient energy system
SMEInst-10-2016-2017	Small business innovation research for Transport and Smart Cities Mobility
SMEInst-11-2016-2017	Boosting the potential of small businesses in the areas of climate action, environment, resource efficiency and raw materials
SMEInst-12-2016-2017	New business models for inclusive, innovative and reflective societies
SMEInst-13-2016-2017	Engaging SMEs in security research and development

Cut-off dates:

17

Phase 1:

17:00:00 (Brussels time)

15 February 2017

03 May 2017

06 September 2017

08 November 2017

Phase 2:

17:00:00 (Brussels time)

18 January 2017

06 April 2017

01 June 2017

18 October 2017

Identify a call

<https://ec.europa.eu/research/participants/portal/desktop/en/opportunities/index.html>

The screenshot displays the 'Participant Portal' for the European Commission. The top navigation bar includes 'HOME', 'FUNDING OPPORTUNITIES', 'HOW TO PARTICIPATE', 'EXPERTS', 'SUPPORT', a search bar, and 'LOGIN'/'REGISTER' buttons. A red arrow points to the 'FUNDING OPPORTUNITIES' tab.

The left sidebar, titled 'EU Programmes 2014-2020', lists various programs. The 'Calls' option is highlighted with a green box. Below it, 'H2020' is selected.

The main content area is titled 'Calls for Proposals'. It features a 'Horizon 2020' section with a list of topics. The 'Innovation in SMEs' topic is selected and highlighted with a red box. Other topics include 'Advanced manufacturing and processing', 'Space', 'Access to risk finance', 'Societal Challenges', 'Health, demographic change and wellbeing', 'Food security, sustainable agriculture and forestry, marine and maritime and inland water research and the bioeconomy', and 'Secure, clean and efficient energy'.

Below the topics, there are filters for 'Status' (Calls with forthcoming topics, Calls with open topics, Calls with only closed topics) and 'Sort by' (Call title, Call identifier, Publication date). A 'Filter a call' button is highlighted with a purple box.

At the bottom, two call cards are displayed:

- Industrial Leadership**
Horizon 2020 dedicated SME Instrument 2016-2017
H2020-SMEInst-2016-2017
Publication date: 14 October 2015
- Industrial Leadership**
For a better innovation support to SMEs
H2020-INNOSUP-2016-2017
Publication date: 14 October 2015

In addition to the search facilities, the full list of H2020 Calls can be found [here](#).

How to read a call (1)

European Commission

Participant Portal

European Commission > Research & Innovation > Participant Portal > Opportunities

HOME FUNDING OPPORTUNITIES HOW TO PARTICIPATE EXPERTS SUPPORT Search PP LOGIN REGISTER

EU Programmes 2014-2020

Search topics

Updates

Calls

H2020

3rd Health Programme

Asylum, Migration and Integration Fund

Consumer Programme

COSME

Internal Security Fund - Borders

Internal Security Fund - Police

Justice Programme

Promotion of Agricultural Products

Research Fund for Coal & Steel


Rights, Equality and Citizenship Programme

TOPIC : Open Disruptive Innovation Scheme

Topic identifier:	SMEInst-01-2016-2017		
Publication date:	14 October 2015		
Types of action:	SME-1 SME instrument phase 1		
DeadlineModel:	multiple cut-off	Cut-off dates:	24 February 2016 17:00:00
Opening date:	26 November 2015		03 May 2016 17:00:00
			07 September 2016 17:00:00
			09 November 2016 17:00:00
			15 February 2017 17:00:00
			03 May 2017 17:00:00
			06 September 2017 17:00:00
			08 November 2017 17:00:00

Types of action:	SME-2 SME instrument phase 2		
DeadlineModel:	multiple cut-off	Cut-off dates:	03 February 2016 17:00:00
Opening date:	26 November 2015		14 April 2016 17:00:00
			15 June 2016 17:00:00
			13 October 2016 17:00:00
			18 January 2017 17:00:00
			06 April 2017 17:00:00
			01 June 2017 17:00:00
			18 October 2017 17:00:00

Time Zone : (Brussels time)

 Horizon 2020
Pillar: Industrial Leadership
Work Programme Year: H2020-2016-2017
Work Programme Part: [Innovation in SMEs](#)
Call : [H2020-SMEInst-2016-2017](#)

[H2020 website](#)

[Call budget overview](#)

Topic Description

+ More

How to read a call (2)

Specific challenge to address;
Scope of the action;
Expected impact

Relevant information:
eligibility,
evaluation,
timetable, proposal

On-line submission

The screenshot shows a funding call page with several sections. On the left, there are three red callout boxes with arrows pointing to specific parts of the page:

- The first callout box, containing the text "Specific challenge to address; Scope of the action; Expected impact", has an arrow pointing to the "Specific Challenge" section of the "Topic Description" box.
- The second callout box, containing the text "Relevant information: eligibility, evaluation, timetable, proposal", has an arrow pointing to the "Submission Service" section.
- The third callout box, containing the text "On-line submission", has an arrow pointing to the "START SUBMISSION" button in the "SME instrument phase 2 [SME-2]" table.

The page content includes:

- A sidebar on the left with links: "CIP Programmes 2007-", "Other Funding Opportunities", and "Other Funding Opportunities".
- A "Topic Description" section with a "+ More" button. It contains a "Specific Challenge:" heading and a paragraph: "The challenge is to provide support to a large set of high risk innovative Startups and SMEs in the ICT sector. Focus will be on companies proposing disruptive ICT concepts, products and services applying".
- A "Topic conditions and documents" section with a "+ More" button. It contains a paragraph: "Please read carefully all provisions below before the preparation of your application."
- A "Submission Service" section with a heading and two paragraphs of text. The first paragraph explains how to access the Electronic Submission Service by selecting a "type of action" and clicking the "Start Submission" button. The second paragraph explains how to access existing draft proposals by logging into the Participant Portal and selecting the "My Proposals" page.
- A table with two rows, each representing a "Type of Action" and a "Topic". Both rows have a "START SUBMISSION" button.
- A "Guidance on proposal submission:" section with a link to the "H2020 ONLINE MANUAL".

Type of Action	SME instrument phase 2 [SME-2]	START SUBMISSION
Topic	Open Disruptive Innovation Scheme - SMEInst-01-2016-2017	

Type of Action	SME instrument phase 1 [SME-1]	START SUBMISSION
Topic	Open Disruptive Innovation Scheme - SMEInst-01-2016-2017	

Guidance on proposal submission: [H2020 ONLINE MANUAL](#)

On-line manual

<https://ec.europa.eu/research/participants/portal/desktop/en/opportunities/index.html>

European Commission Participant Portal

European Commission > Research & Innovation > Participant Portal > Funding Opportunities

HOME FUNDING OPPORTUNITIES HOW TO PARTICIPATE EXPERTS SUPPORT Search PP LOGIN REGISTER

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Internal Security Fund - Police

Justice Programme

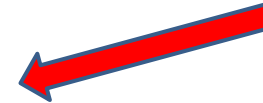
Promotion of Agricultural Products

Research Fund for Coal & Steel

Rights, Equality and Citizenship Programme

Funding Opportunities H2020 ONLINE MANUAL

Find the European Union funding opportunities and search for new or closed calls of the programmes described on this page.



Cosme

Programme for the Competitive and Growth Oriented SMEs, with a planned budget of 8.5 billion euros, to create a supportive environment for business in home countries and improve their competitiveness.

ec.europa.eu/research/participants/docs/h2020-funding-guide/index_en.htm

European Commission Participant Portal H2020 Online Manual

My Area - User account & roles

Grants

Applying for funding

Find a call Find partners Register an organisation Submit a proposal

Evaluation & Grant signature

Eligibility check Evaluation of proposals Grant preparation Grant signature

Grant management

Keeping records Amendments Reports & payment requests Deliverables

Dissemination & exploitation Communication Checks, audits, reviews & investigations

Working as an expert

Expert registration Contracting & payment Expert roles & tasks

Cross-cutting priorities & issues

International cooperation Social Sciences & Humanities Open access & Data management Climate action & Sustainable development

Ethics Gender SMEs ERA-NETs

H2020 Online Manual

- My Area - User account & roles
 - Login with ECAS
 - Roles & access rights
 - Terms and Conditions of Use
- Grants
 - Applying for funding
 - Find a call
 - Horizon 2020 structure and budget
 - What you need to know about Horizon 2020 calls
 - Find partners or apply as individual
 - Register in the Beneficiary Register
 - Registration of your organisation
 - LEAR appointment
 - Validation of potential beneficiaries
 - Financial viability check
 - Data update
 - Certifications
 - Submit a proposal
 - Get prepared
 - Electronic proposal submission
 - From evaluation to grant signature
 - Eligibility check

Steps in preparing application and submitting proposal

- Contact the SME National Contact Points for H2020, that are entitled to provide SMEs free-of-charge info and guidance on H2020.
- Access Online SME Instrument call-information page <http://ec.europa.eu/easme/en/horizons-2020-sme-instrument>
- Use specific templates for SME Instrument applications (phase 1 and phase 2). Find them with each of the SME Instrument call topics.
- There is no specific template for applications to Phase 3.
- Only SMEs already participating in previous phases might benefit from Phase 3.
- Submit your application for Phase 1 or Phase 2 at any time.
- The SME Instrument call is permanently open with more dates per year.



Evaluation of your proposal

➤ Evaluation criteria:

- Impact (out of 5)
- Scientific and Technological Excellence (out of 5)
- Implementation (out of 5)

➤ Information on the **outcome of the evaluation**:

- 2 months after the corresponding cut - off date set out above for phase 1 and
- 4 months after the corresponding cut - off date set out above for phase 2.

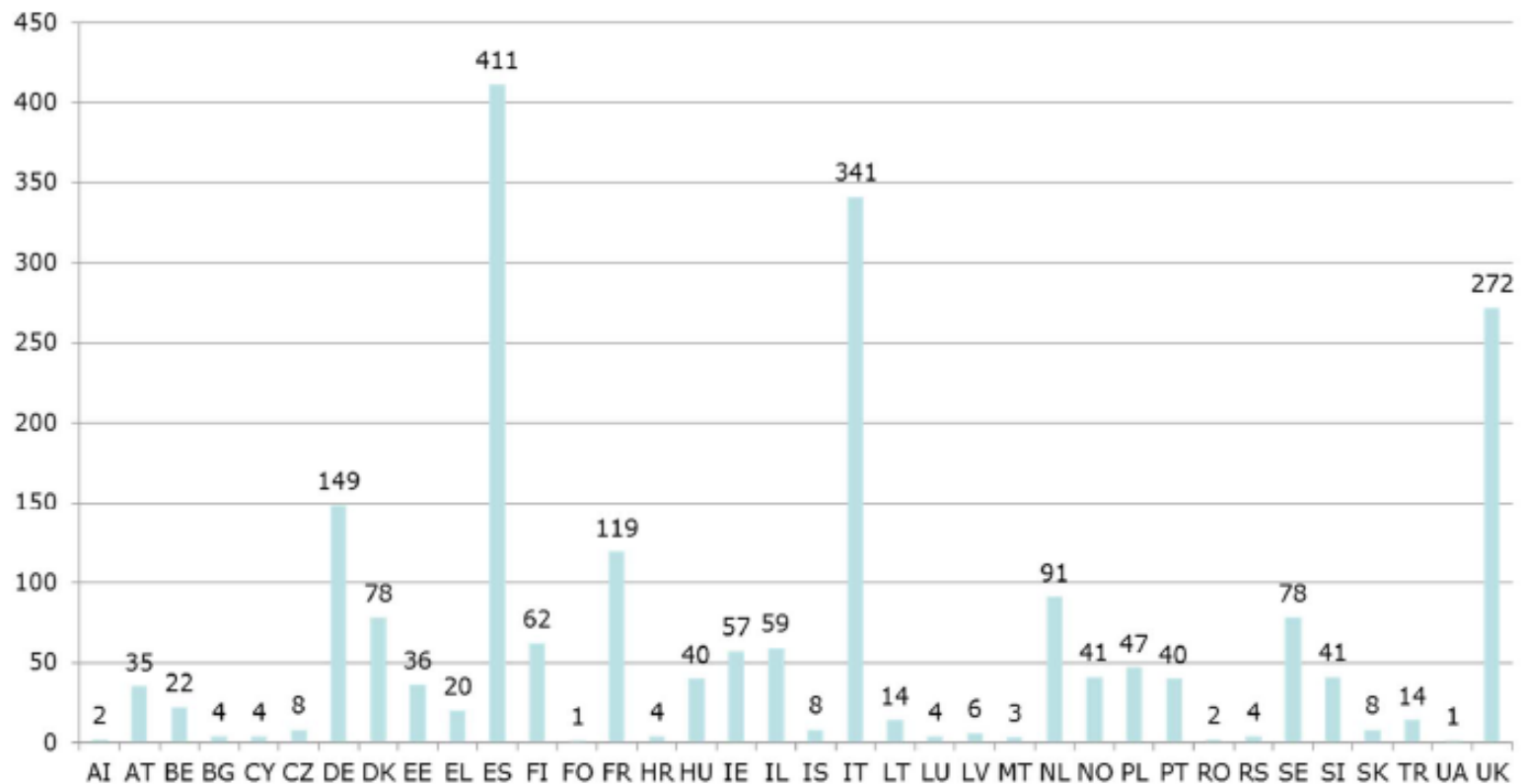


➤ Indicative date for the **signing of grant agreement**:

- 1 month from the date of informing applicants in phase 1 and
- 2 months from the date of informing applicants in phase 2

SME instrument implementation overview

Member States and Associated Countries participation



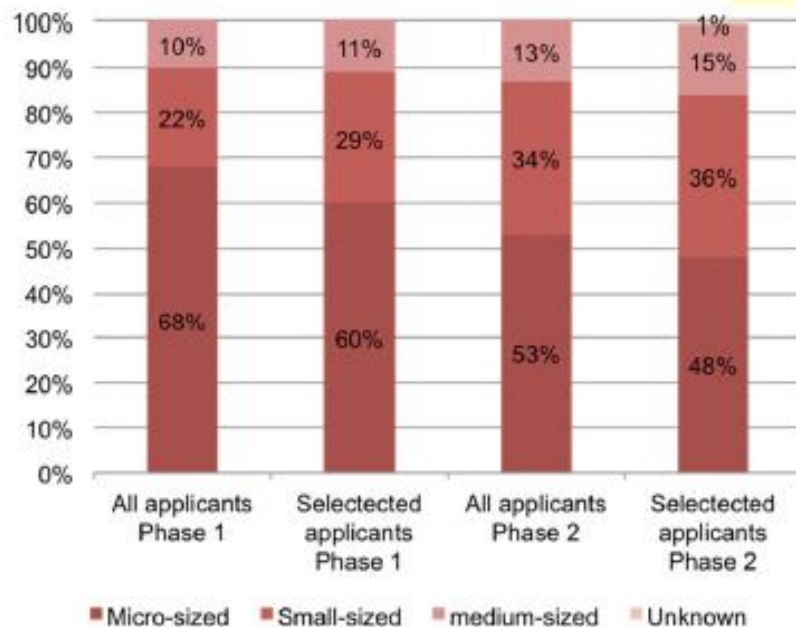
Source: DG Research and Innovation

SME instrument implementation overview*

Size and Age of SMEs

On average

- 10.8 years old
- Annual turnover of EUR 4 million
- 21 employees



**2014-2015 data*

Source: DG Research and Innovation

Lessons learnt

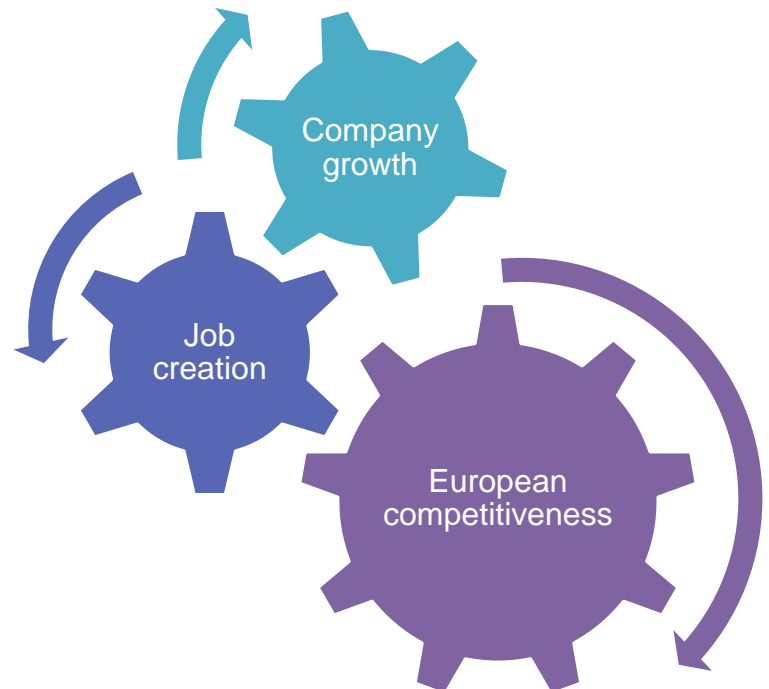
- ❑ Not convincing when describing the company (you have to explain why your company will succeed and not your competitor);
- ❑ Not providing enough information on competing solutions;
- ❑ Having a too low level of innovation, planning to develop a product that already exists on the market;
- ❑ Proposing just an idea without any concept for its commercialisation (clear description of the market needed).

Take-aways:

It is not just about a good company, nor about an excellent idea.

It is about an excellent idea, which is clearly strategic for the business of the applicant company.

The objective of the SME instrument is to help innovations to reach the market and to make innovative SMEs grow, leading to the enhanced competitiveness and creation of jobs in Europe.



Useful links:

- Horizon 2020: <https://ec.europa.eu/programmes/horizon2020/>
- Participant Portal:
<http://ec.europa.eu/research/participants/portal/desktop/en/home.html>
- SME Techweb: http://ec.europa.eu/research/sme-techweb/index_en.cfm
- EASME: <http://ec.europa.eu/easme/en/horizons-2020-sme-instrument>
- Basic features of SME instrument:
http://ec.europa.eu/research/sme-techweb/pdf/sme_brochure.pdf
- Proposal templates (phase 1 and phase 2):
http://ec.europa.eu/research/participants/data/ref/h2020/call_ptef/pt/h2020-call-pt-sme-1_en.pdf ;
http://ec.europa.eu/research/participants/data/ref/h2020/call_ptef/pt/h2020-call-pt-sme-2_en.pdf
- Relevant events:
<http://ec.europa.eu/programmes/horizon2020/en/newsroom/573/>

**Opportunities are never lost!
Someone will take the ones you
miss.**

Seize the moment!





Thank you for your attention!

Diana GROZAV

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