

INFO SESSION

EIC Ukrainian Tech

HORIZON-EIC-2022-UKRAINIANTECH-01

24 June 2022

European
Innovation
Council

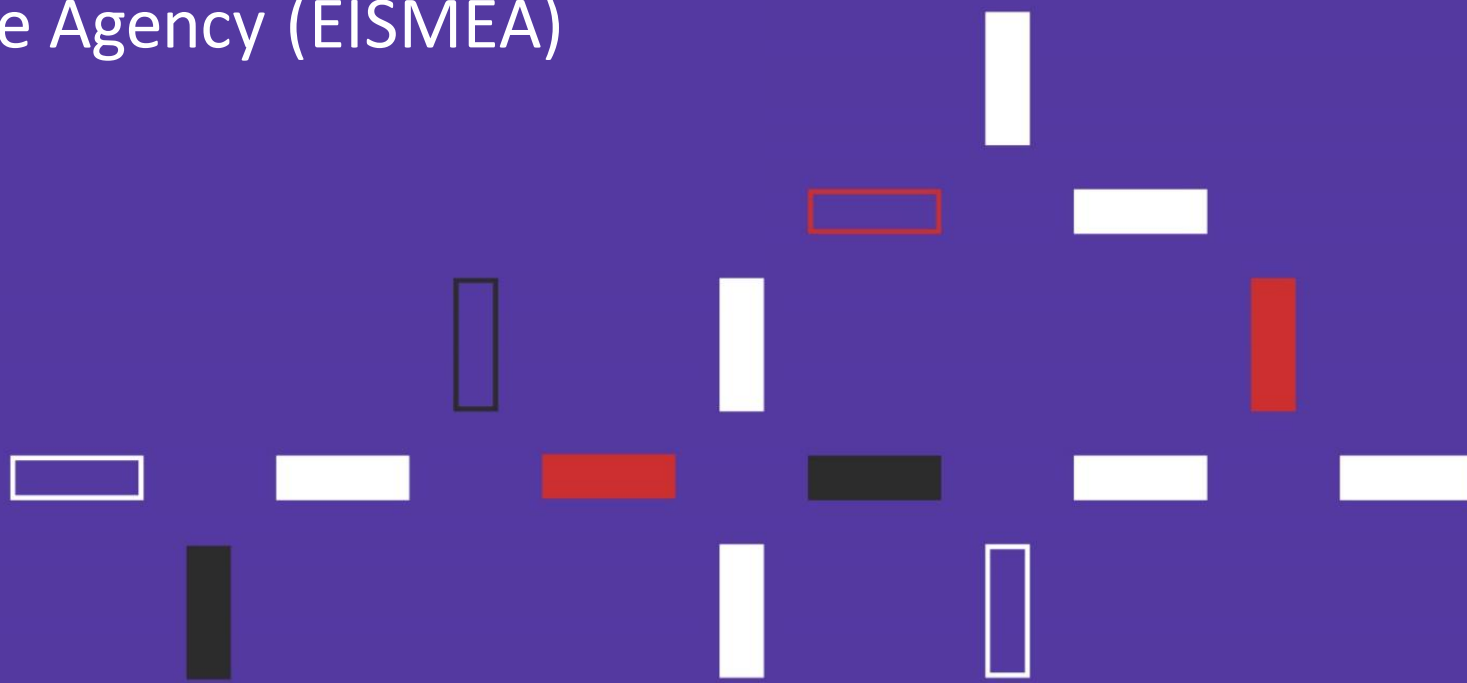




Opening

Fabienne GAUTIER

Head of Unit I.01 - European
Innovation Council and SMEs
Executive Agency (EISMEA)





Agenda

| | |
|-----------------------|--|
| 10:00-10:05 | Housekeeping rules, agenda presentation |
| 10:05 – 10:15 | Welcome |
| 10:15 – 10:35 | Framework of the call Scope, objectives, purpose, expected results and impact |
| 10:35-11:10 | Specific calls conditions and financial support to third parties scheme |
| 11:10– 11:30 | Tips and tricks for writing a good proposal |
| 11:30 – 12: 00 | Questions and Answers from Sli.do |
| 12:00 - 12:05 | Closing remarks |

WELCOME!



- Please note that your camera and microphone are muted by default
- Be aware that this meeting is recorded
- Join the discussion via Sli.do using the event code **#UkrainianTech**
- Please submit your question as **Anonymous** in Sli.do if you do not want your name to appear in the recording.



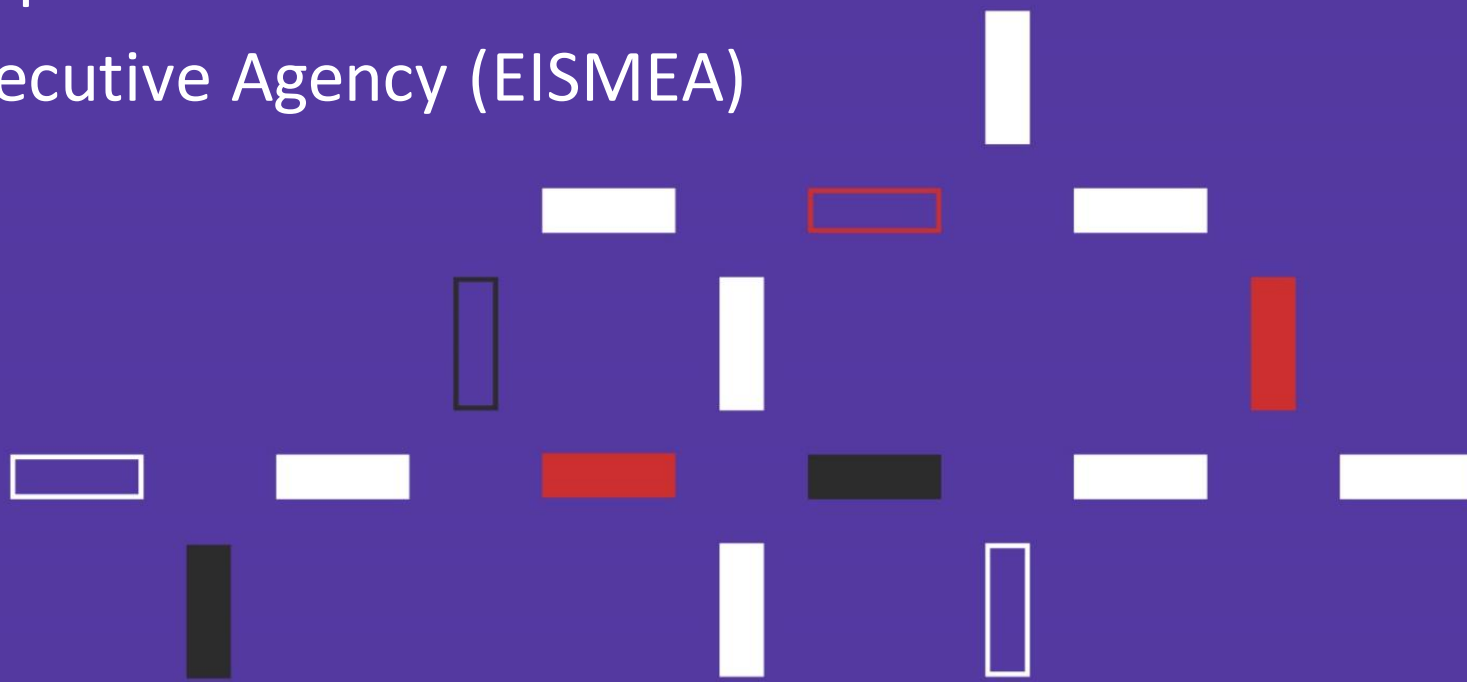
Q&A
Join us now in SLI.DO
#UkrainianTech



Opening Speech

Jean-David MALO

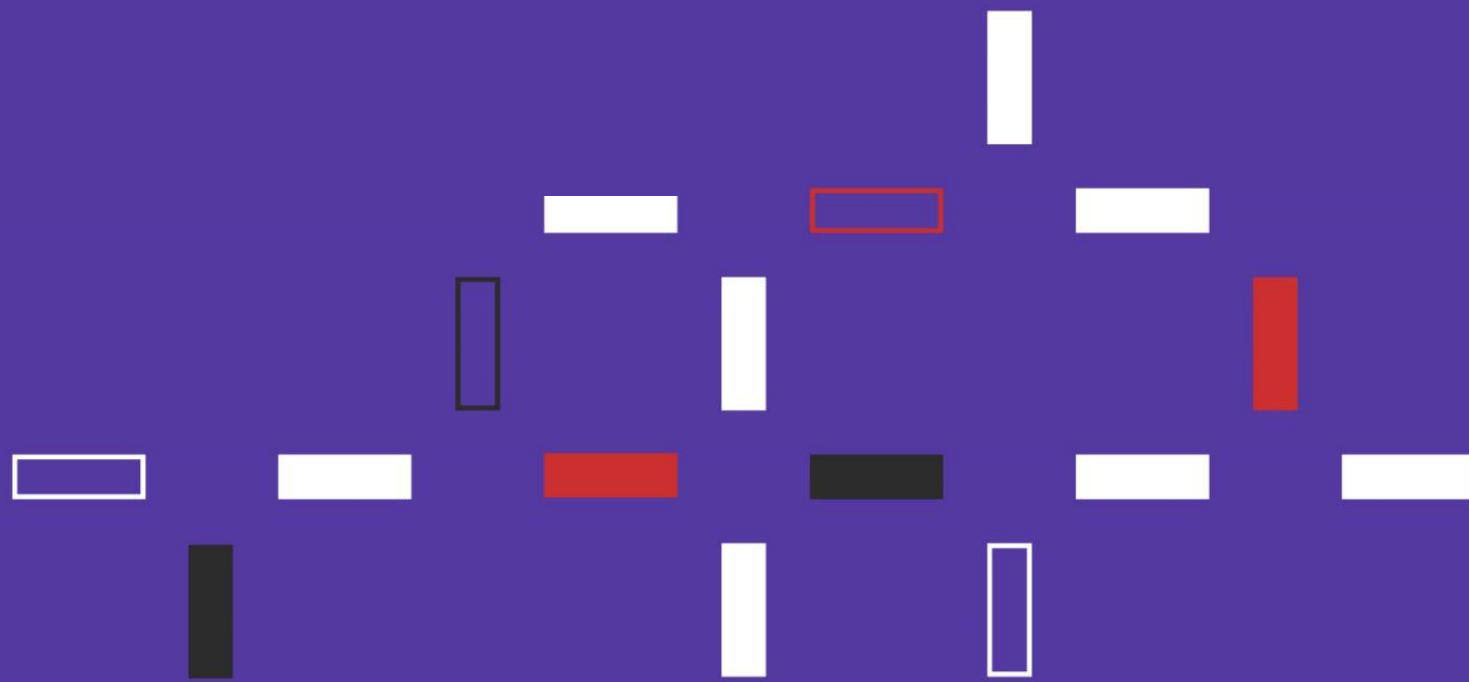
Director, European Innovation Council
and SMEs Executive Agency (EISMEA)





Framework of the call

Albena KUYUMDZHIEVA, Policy Adviser D.01 - EISMEA



Pan-European network of startup associations to support the integration of Ukrainian tech innovators into European ecosystems and to enhance their operations in Ukraine



SOME FACTS AND FIGURES

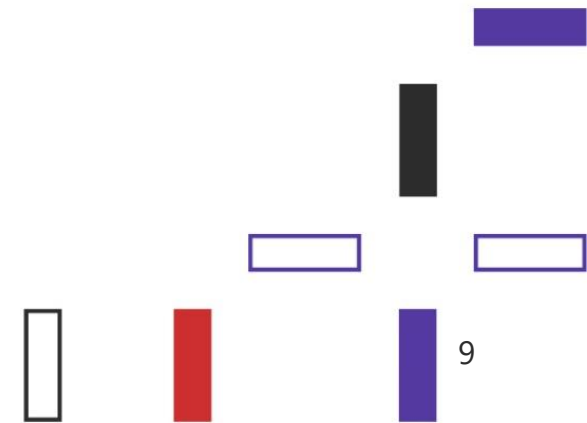
- The WIPO 2021 Global Innovation Index ranked Ukraine on **49th place out of 132 countries** worldwide. Ukraine is the **best performant in ENP and Western Balkans** region and is third best in the lower middle-income economies (after Vietnam 44th and India 46th).
- Ukraine has approximately **1659 startups& scaleups**.
- **126 startups** have raised **venture capital funding** since the beginning of 2021 with **international funds are providing majority of the early-stage financing**. The total investment that Ukrainian start-ups attracted in 2021 amounted to \$ 1.68 billion.
- Despite the war, the big majority of the IT companies and startups **are operational**. The Ukrainian IT companies get majority of revenues from software/hi-tech (73%), Financial services /fintech (31%) and Healthcare & life sciences (23%).

Pan-European network of startup associations to support the integration of Ukrainian tech innovators into European ecosystems and to enhance their operations in Ukraine



GENERAL OBJECTIVES

- **Preserve** the innovation and economic capacity of the Ukrainian tech innovators;
- Help them **grow** and **integrate further** in the European innovation ecosystem;
- Enable them to become **key economic drivers** for rebuilding Ukraine after the war.



Pan-European network of startup associations to support the integration of Ukrainian tech innovators into European ecosystems and to enhance their operations in Ukraine



Coordination and Support Action (CSA)



Budget

€20 million action to support Ukrainian tech start-ups



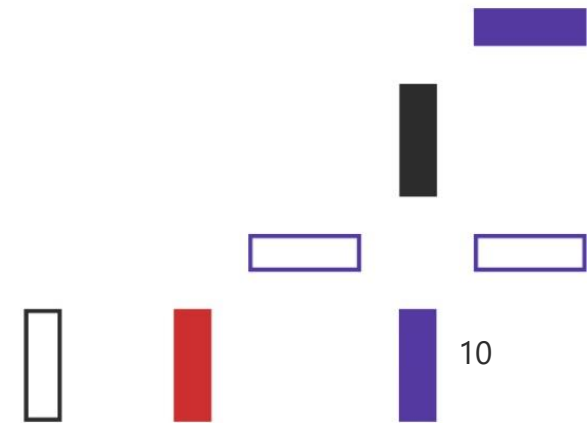
Financing Start-ups

Financial support for over 200 tech start-ups, up to **€60 000 each**.



Connecting Start-ups

- Business advisory services
- Matchmaking across Europe
- Information on EU funding schemes



Support to the Ukrainian tech innovators



WHAT WE ARE LOOKING FOR?

Pan-European network of intermediate organisations.

(European organisations, national, regional and/or local authorities, innovation agencies, cluster organisations, accelerators, innovation hubs, incubators, technology parks, and/or any other representatives that lead initiatives/networks supporting the development of innovative startups and deployment of innovation)

The consortium must:

- comprise **at least three** independent legal entities established in **different Member States or Associated Countries** and at **least one legal entity established in Ukraine**;
- have the **knowledge, expertise and means to foster the integration** of Ukrainian counterparts into European local ecosystems and markets, **support** them in maintaining or restarting their operations in Ukraine and **provide targeted advisory services** related to the **EU internal market legal framework, investment and funding opportunities**.

Support to the Ukrainian tech innovators



WHICH COMPANIES CAN BE SUPPORTED?

Ukrainian innovative tech companies (start-ups and SMEs) that are:

1. established in Ukraine; **or**
2. relocated to, or established in, an EU Member State or Horizon Europe associated country, with a date of relocation or establishment after Russia's invasion of Ukraine on 24th February 2022. Such companies must have at least one founder or co-founder or top manager (CEO, CTO or equivalent) holding Ukrainian citizenship.

NB! Particular attention should be paid to supporting women-led companies and companies working on innovative solutions/services/products for rebuilding and recovery efforts in Ukraine.

Support to the Ukrainian tech innovators



MAIN BENEFITS FOR THE SUPPORTED COMPANIES

- 1 **Business continuity and economic growth;**
- 1 **Improved skills and capacity** to identify European market needs, comply with the regulatory framework and benefit from the innovation support provided by EU and in particular EIC;
- 1 **Increased access to funding** and financial support;
- 1 **Enhanced participation** in the European innovation ecosystems and European innovation funding programmes;
- 1 **Increased global attractiveness**, visibility and access to the European and global markets;

Support to the Ukrainian tech innovators



TWO MAIN STREAMS OF SUPPORT



Direct financial support in the form of individual grants of maximum EUR 60 000 for innovation and business development activities

(such as developing and refining products/services; improving design, user experience to new economic circumstances; upgrading the business model, the business plan and growth strategy; finding partners and investors; market validation, etc.) **and/or**



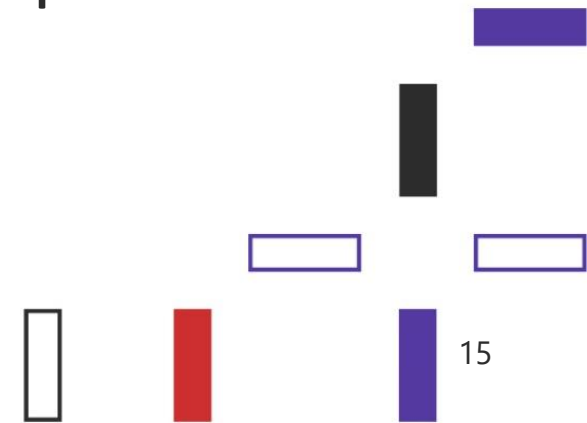
Provision of mentoring, coaching, matchmaking and business advisory services that contribute to reaching the expected outcomes.

Support to the Ukrainian tech innovators



WHAT ARE THE EXPECTED OUTCOMES

- **Business continuity** of the Ukrainian tech start-ups and SMEs and **their growth** including through increased participation in EIC activities (applications to EIC funding, participation in Business Acceleration Services, etc.).
- The **integration** of Ukrainian start-ups and SMEs to the European Innovation Ecosystem, providing opportunities to interconnect with key innovation stakeholders and networks across Member States and Horizon Europe Associated Countries;
- Increased awareness, **knowledge and practical use of legal procedures** for the integration of Ukrainian companies (start-ups and SMEs) to the European market;
- Support provided to deep-tech Ukrainian companies (start-ups and SMEs) to **set up new business** or **expand their existing ones**;
- Promoted **best examples** of successful tech Ukrainian start-ups and SMEs with global/European;



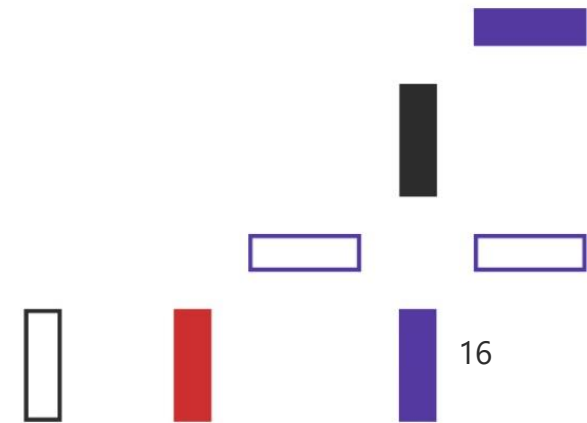
Support to the Ukrainian tech innovators



WHAT TYPES OF ACTIVITIES

The proposals under this action should include activities that will :

- **create opportunities and enhance the capacity** of the Ukrainian companies **to interact** with main actors of the European innovation ecosystem and **take advantage of the European innovation financing instruments**;
- **create interlinkages** and **gain access** to new markets;
- **foster the collaboration** between Ukrainian and European tech start-ups and SMEs;
- **strengthen** the Ukrainian tech ecosystems and **support innovative solutions/actions for rebuilding Ukraine.**



Support of the Ukrainian tech innovators



KEY POINTS TO KEEP IN MIND

- **At least 60% of the budget** of this action should be allocated for providing financial support to Ukrainian tech start-ups and SMEs through grants;
- The proposed activities should **be built on a flexible model** allowing for adjustments to the evolving situation in Ukraine and the changing needs of the Ukrainian innovation community;
- The consortium must describe the methodology, **both for identifying the supported companies and the concrete set of proposed actions**;
- It is encouraged that the consortium **works closely with various Ukrainian stakeholders along with innovation stakeholders** beyond the consortium members and seek synergies with relevant EU initiatives such as the Enterprise Europe Network.

Support to the Ukrainian tech innovators

IMPORTANT DATES AND NUMBERS

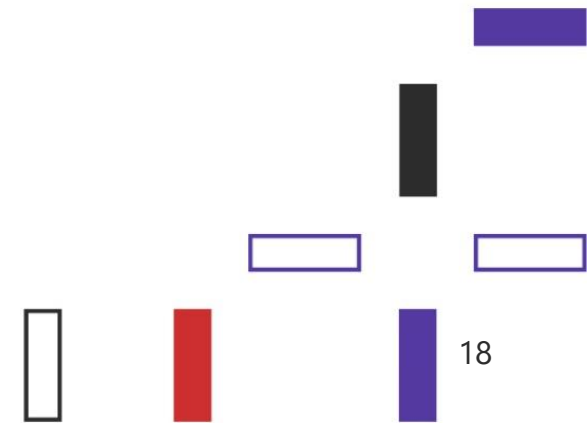


Call opening: 23 June 2022

Deadline for applications: 7 September 2022

via **Funding and tender portal**

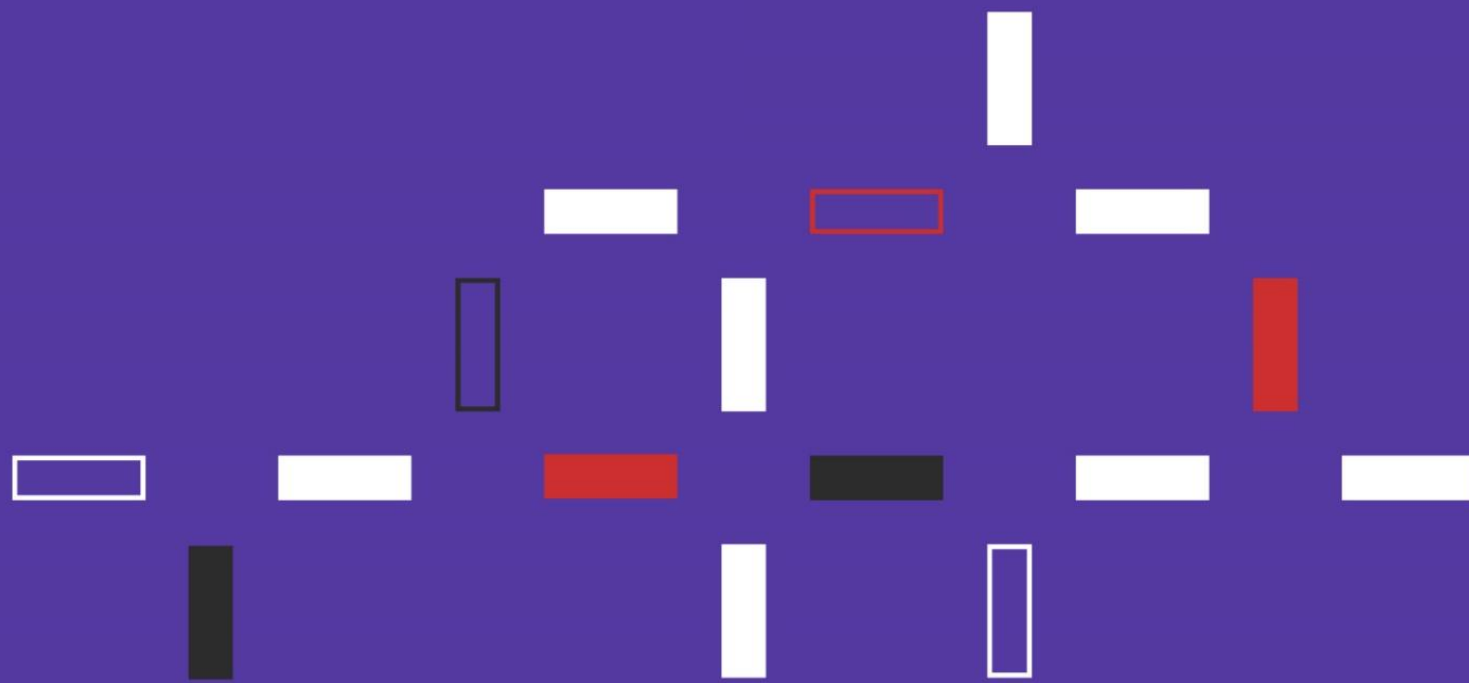
Estimated Duration: 24 months





Specific conditions and FSTP scheme

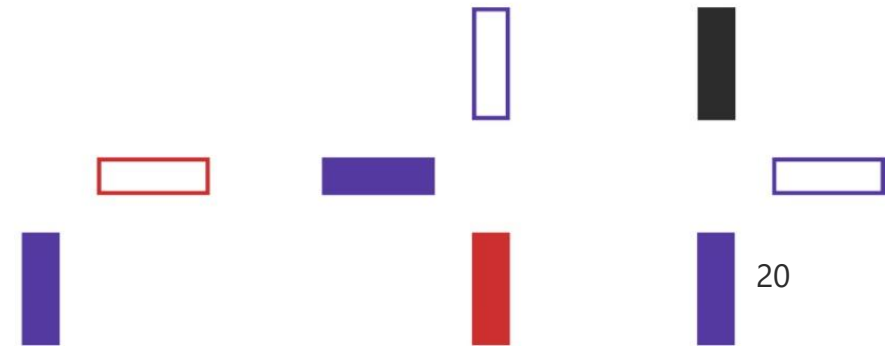
Virginie PERRON, Project Adviser - EISMEA I.01





Content

- **Specific call conditions**
- **Cascade funding** in UKRAINIAN TECH call
- **Main features** of cascade funding/financial support to third parties (FSTP)
- Rules for providing **Financial Support to Third Parties**
- **Other important points** to keep in mind
- **Lessons learnt on FSTP** from previous projects





Specific call conditions (1)

Scope (reminder)

Proposals to present activities that should:

- Create opportunities for Ukrainian innovative tech companies to interact with main actors of the European innovation ecosystem, create interlinkages and gain access to new markets.
- Foster the collaboration between Ukrainian and European tech start-ups and SMEs with focus on strengthening the Ukrainian tech ecosystems and supporting innovative solutions/actions for rebuilding Ukraine.

▶ Particular attention to be paid to supporting *women-led companies* and companies working on innovative solutions/services/products for *rebuilding and recovery efforts* in Ukraine.

- Be built on a flexible model allowing for adjustments to the situation in Ukraine and the changing needs of the Ukrainian innovation community.
- Support the integration of Ukrainian innovative tech companies into local ecosystems; support to maintain their operations in Ukraine or to relocate back to Ukraine when the situation allows.

1 Project to be financed

- **Estimated duration:** 24 months
- **Indicative budget:** EUR 20M; 100% funding rate
- **2 prefinancing payments** of 40% in M1 and M12 + one **final payment** (20%)



Specific call conditions (2)

Consortium composition

- **At least 3 independent legal entities established in different Member States or HE Associate countries**
- **Plus at least one (1) legal entity established in Ukraine**
- **Participation limited to:** European organisations, national, regional and/or local authorities, innovation agencies, cluster organisations, accelerators, innovation hubs, incubators, technology parks, and/or any other representatives that lead initiatives/networks supporting the development of innovative startups and deployment of innovation.
- *Synergies* with relevant EU initiatives such as the Enterprise Europe Network should be sought.

Eligible support activities:

The support provided to the Ukrainian innovative tech companies should consist of

- *Direct financial support* (max EUR 60.000 per SME)
- *Non-financial support* (e.g. coaching, mentoring, matchmaking and other advisory services)

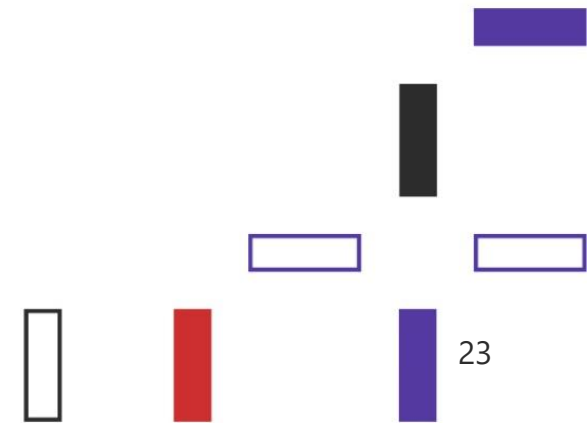
Specificity of the call:

- At least **60% of the budget** must be directed to Ukrainian tech start-ups and SMEs through FSTP.



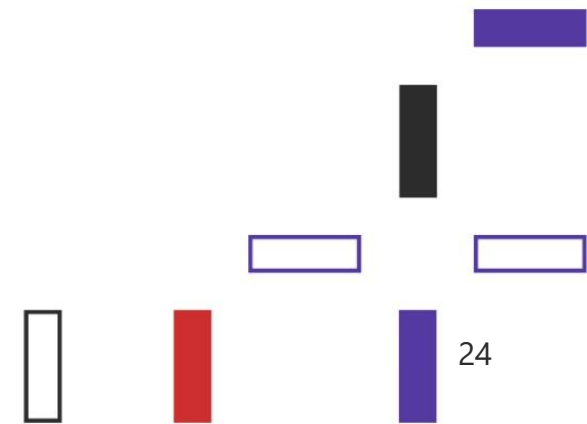
Main features of cascade funding

- Direct funding of intermediaries
- Organisation of sub-calls for third parties
- Less competition than direct funding
- Less formalities / administrative burden
 - *Faster access to financial support*
- Max EUR 60K per third party





Rules for providing FSTP





Legal Basis (Financial Regulation)

[Financial Regulation applicable to the General Budget of the Union and its rules of application](#) (Regulation EU, Euratom 2018/1046 of the European Parliament and of the Council of 18 July 2018)

Art 204 :

Article 204

Financial support to third parties

Where implementation of an action or a work programme requires the provision of financial support to third parties, the beneficiary may provide such financial support if the conditions for such provision are defined in the grant agreement between the beneficiary and the Commission, with no margin for discretion by the beneficiary.

No margin for discretion shall be considered to exist if the grant agreement specifies the following:

- (a) the maximum amount of financial support that can be paid to a third party which shall not exceed EUR 60 000 and the criteria for determining the exact amount;
- (b) the different types of activities that may receive such financial support, on the basis of a fixed list;
- (c) the definition of the persons or categories of persons which may receive such financial support and the criteria for providing it.

The threshold referred to in point (a) of the second paragraph may be exceeded where achieving the objectives of the actions would otherwise be impossible or overly difficult.



Legal Basis (Annex B Horizon Europe WP)

General Annexes to the Horizon Europe WP 2021-2022:

(European Commission Decision C(2021)1940 of 31 March 2021)

Annex B “Eligibility” < section “Financial support to third parties”

For some calls, “specific calls conditions allow for financial support to third parties”

In HE Model Grant Agreement:

Art.6.2.D.1 & Art 9.4 refer to financial support to third parties

- ARTICLE 6 — ELIGIBLE AND INELIGIBLE COSTS AND CONTRIBUTIONS < 6.2 Specific eligibility conditions for each budget category< D. Other cost categories <D.1 Financial support to third parties
- ARTICLE 9 — OTHER PARTICIPANTS INVOLVED IN THE ACTION <9.4 Recipients of financial support to third parties



Rules for providing FSTP (1)

The proposal must clearly detail the objectives and the results to be obtained and include at least the following elements:

- a fixed and exhaustive *list of the different types of activities* for which a third party may receive financial support,
- the *definition of the persons or categories of persons* which may receive financial support,
- the *criteria for awarding financial support*,
- the *criteria for calculating the exact amount* of the financial support,
- the *maximum amount to be granted* to each third party (max EUR 60,000 unless it is necessary to achieve the objectives of the action) and the criteria for determining it.

**▶ Dedicated annex on FSTP to be filled in
and uploaded in SEP with your proposal.**



Rules for providing FSTP (2)

A fixed and exhaustive list of the different types of activities for which a third party may receive financial support

Examples from the call text: innovation and business development activities such as developing and refining products/services; improving design, user experience to new economic circumstances; upgrading the business model, the business plan and growth strategy; finding partners and investors; and market validation.



Rules for providing FSTP (3)

The definition of the persons or categories of persons which may receive financial support

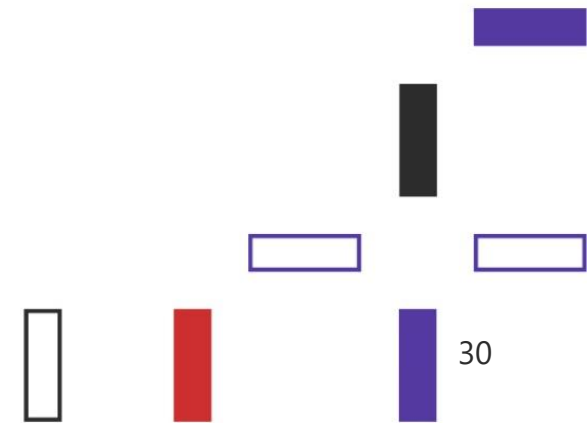
- Ukrainian innovative tech companies (SMEs and start-ups)
 - **1. established in Ukraine; or**
 - **2. relocated** to, or established in, an EU Member State or Horizon Europe associated country, with a date of relocation or establishment after Russia's invasion of Ukraine on 24th February 2022.
 - Such companies must have at least one founder or co-founder or top manager (CEO, CTO or equivalent) holding Ukrainian citizenship.



Rules for providing FSTP (4)

The criteria for awarding financial support

- To be explained in the proposal (and in the open call text):
 - For each evaluation criterion (e.g. Excellence, Impact, Implementation)
 - Sub criteria description,
 - Weighting,
 - Scores (e.g. between 0 and 5, with or without half points)
 - In case of ex-aequo, the procedure you will apply:
 - Technical and financial capacity check
 - Possibility or not for an SME to apply for several vouchers





Rules for providing FSTP (5)

The criteria for calculating the exact amount of the financial support

Lumps sums

- Payments against deliverables, no financial report
- “What the third parties are doing” (output) prevails over the “how the third parties are doing”.

or **Reimbursement of actual costs**

- Payments upon fulfilment of eligibility conditions described in their own grant agreements with the third parties
- The beneficiary must ensure that the third party has fulfilled the eligibility conditions for the costs being reimbursed (checking invoices, requesting technical and financial reports)



Rules for providing FSTP (6)

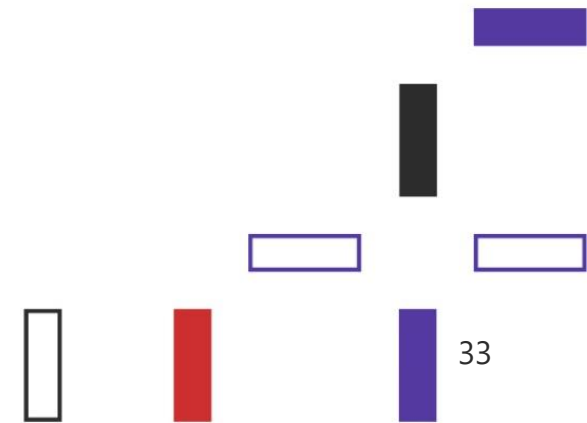
The maximum amount to be granted to each third party (max EUR 60,000 unless it is necessary to achieve the objectives of the action) and the criteria for determining it.

- The call says “maximum amount: EUR 60,000 per SME” (=>not possible to go beyond)
- Limit per recipient;
- One recipient could receive eg 3 different vouchers, one of EUR 10,000, one of EUR 20,000 and one of EUR 30,000
- If a consortium of 2 SMEs apply for FSTP, each SME can receive EUR 60,000, meaning that the project itself can have a value of EUR 120,000
- Very important to monitor the amount received by each third party to ensure none exceeds the limit.





Other important points





Rules for applicants when call conditions allow FSTP: (Annex B Horizon Europe WP)

- Applicants must clearly describe the **objectives** and the **expected results** incl. the elements listed in the application template
- The following conditions must also be fulfilled:
 - ✓ calls to be **published widely** and **to adhere to EU standards** of transparency, equal treatment, conflict of interest and confidentiality
 - ✓ calls must be **published on the F&T Portal and on the beneficiaries' websites**
 - ✓ calls must remain **open for at least 2 months**;
 - ✓ if submission deadlines are changed, this must immediately be announced and **registered applicants must be informed of the change**
 - ✓ projects must **publish the outcome of the calls** without delay – incl. description of projects, date of the award, duration, the legal name & country
 - ✓ the calls must have a clear European dimension



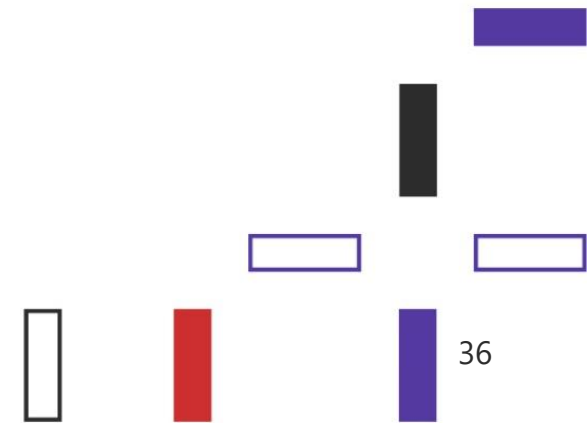
Art 9.4 Recipients of financial support to third parties (MGA)

- If the action includes providing FSTP (e.g. grants, prizes or similar forms of support), the **beneficiaries must ensure that their contractual obligations under Articles 12** (conflict of interest), **13** (confidentiality and security), **14** (ethics), 17.2 (visibility), **18** (specific rules for carrying out action), **19** (information) and **20** (record-keeping) **also apply to the third parties** receiving the support (recipients)
- The beneficiaries must also ensure that **the bodies mentioned in Article 25** (e.g. granting authority, OLAF, Court of Auditors (ECA), etc.) **can exercise their rights also towards the recipients.**



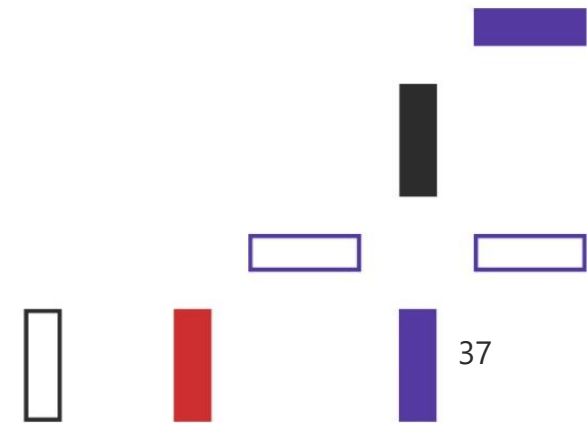
Third parties receiving financial support vs other third parties

- The FSTP recipients are not party to the Grant Agreement and therefore do NOT need to be listed or identified in the proposal.
- Third parties receiving financial support should not be confused with other third parties such as contractors, subcontractors, linked third parties, who should be identified in the GA and in the proposal.
- **Different rules and articles apply.**





Lessons learnt from other projects





Open calls management (1)

- Open calls are **very time demanding to manage** (preparation, evaluation, contracting and monitoring): enough resources to be planned.
- When drafting the call, be extremely clear with the 5 mandatory elements.
- **Call documents** (e.g. Guide for Applicants) as light and lean as possible: clear but simple to understand by third parties to avoid spending time in questions.
- **simplify administrative procedures** to optimize the time of the contractualisation and the administrative follow-up of the projects.
- Involve your **legal and financial departments**.
- **Split the FSTP budget** between different consortium partners to reduce risks (in this call at least EUR 12M to be allocated through FSTP).



Open calls management (2)

- **Most proposals will arrive at the last minute.** Make sure your platform can handle it during the last hour.
- **Platforms** for call management do already exist: no need to reinvent the wheel.
- **Prioritize the quality of projects over quantity:** fewer projects but vouchers with higher amounts
- Avoid submission **deadlines** in summer / Christmas period.
- **Lump sums** easier to manage than actual costs.
- **Number of payments** to be made in accordance with amount to be granted.
- **Partners in the consortium cannot be the beneficiaries of the grants** given to the third parties as FTSP. If they provide innovation services directly to third parties, those are to be funded by “staff costs”; their value is then outside the 60k limit.



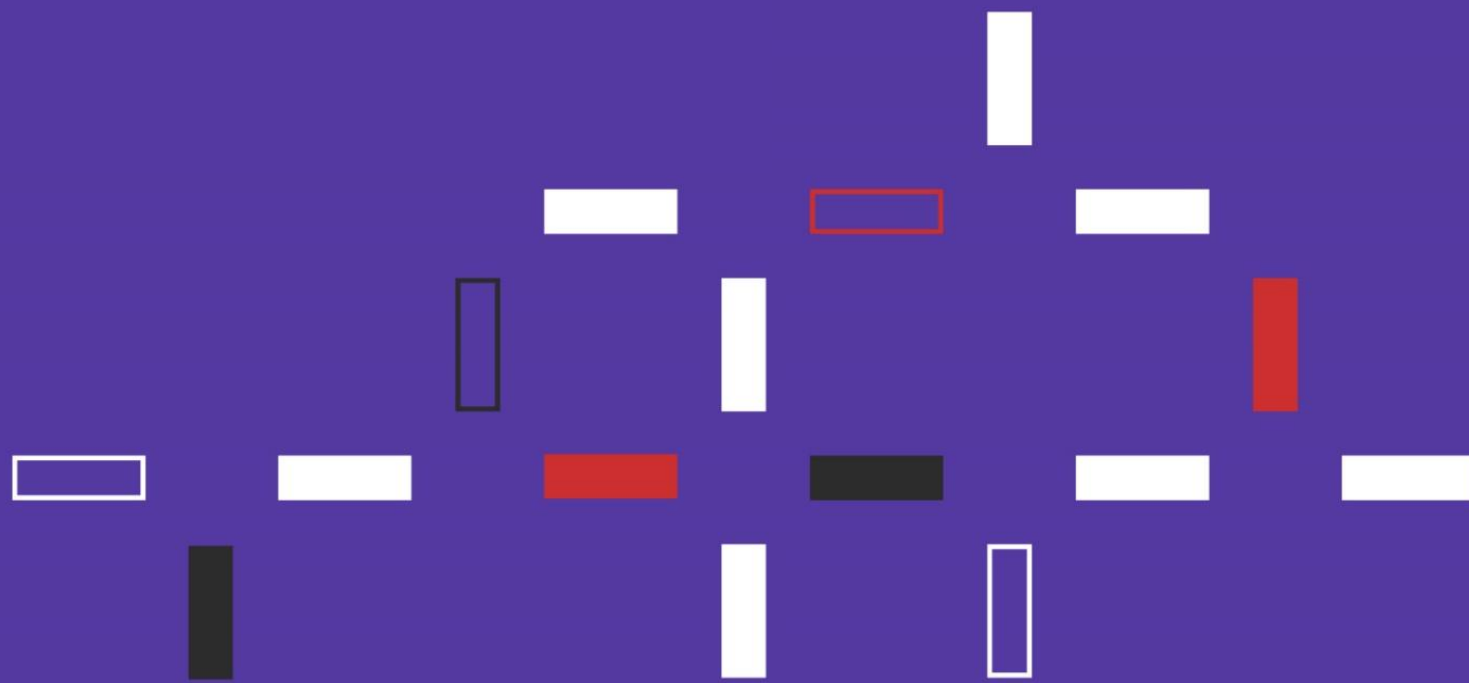
Open calls management (3)

- Ensure **common understanding** within the consortium of call expectations
- Evaluation:
 - External experts ensure neutrality
 - Organise clear and concrete training for experts
- (Excel) table to monitor the EUR 60,000 limit.
- Pay attention to **data protection and IPR issues**.
- Keep **good communication** with the **awarded SMEs** and accompany them throughout project implementation
- Use the **experience gained from the 1st call** to re-adapt the conditions of the 2nd call (if applicable)



Tips and tricks for writing a good proposal

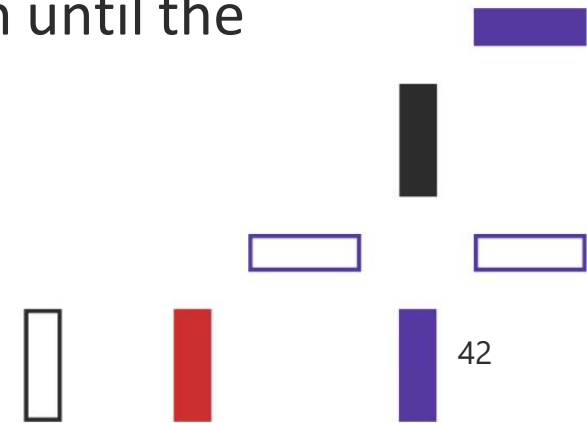
Eric KOCH, Project Adviser - EISMEA I.01





Think about the basics

- Is my consortium **eligible**? 1) Types of organisations, 2) 3 different entities from 3 different Horizon Europe countries, 3) at least one Ukrainian entity in consortium, 4) Start-ups (relocated) from Ukraine to be granted financial support to third parties (FSTP). → "Topic conditions and documents"
- Do I have a **realistic chance** to be on the main or reserve list? If not, get trained/ready and come back for a future/another call!
- Submit early enough, not at the last minute. The EU does not take any responsibility for connection issues on your side: Usual deadline time is 17h00 **Central European Time...**
- If you submit once, you can **modify your proposal** as often as you wish until the deadline!



Get familiar with the main steps...



Structure of the Proposal

The proposal contains two parts:

- **Part A** of the proposal is generated by the IT system. It is based on the information entered by the participants through the submission system in the **Funding & Tenders Portal**. The participants can update the information in the submission system at any time before final submission.
- **Part B** of the proposal is the narrative part that includes three sections that each correspond to an evaluation criterion. Part B needs to be uploaded as a PDF document following the templates downloaded by the applicants in the submission system for the specific call or topic. The templates for a specific call may slightly differ from the example provided in this document.

The electronic submission system is an online wizard that guides you step-by-step through the preparation of your proposal. The submission process consists of 6 steps:

- Step 1: Logging in the Portal
- Step 2: Select the call, topic and type of action in the Portal
- Step 3: Create a draft proposal: Title, acronym, summary, main organisation and contact details
- Step 4: Manage your parties and contact details: add your partner organisations and contact details.
- Step 5: Edit and complete web forms for proposal part A and upload proposal part B
- Step 6: Submit the proposal

Consult the call text/page in detail



- Read and re-read... Obvious but often forgotten: think about **relevance** of your proposal for the EIC 2022 Work programme.
- Do not only repeat what is in the WP. Describe your proposal's **specific contribution!**
- Read the “Topic description” and even better: the **Work programme** text (should be the same but only the WP text is legally binding).
- Use the **sub questions/criteria** under the Excellence, Impact and Implementation criterion (proposal template) as red thread – they can differ from call to call!
- Check out **further background docs** on the portal; might be “hidden” further below the page documents.

Be prepared



- Ask **experienced** former applicants.
- Check with your [Enterprise Europe Network \(EEN\)](#) partner and/or [National Contact Point \(NCP\)](#) for any proposal related advice.
- Look for the **right partners** in the consortium (if not mono-beneficiary) at an early stage of the proposal process. On the F&T Portal you can find a [partner search database](#). Only add partners if they agree!
- **Ask your generic/call specific questions** through the [portal](#). Answers will be posted publicly a few days later. The topic call related FAQs are also mirrored on the call page under “Topic related FAQ”.

Think of the evaluators ...

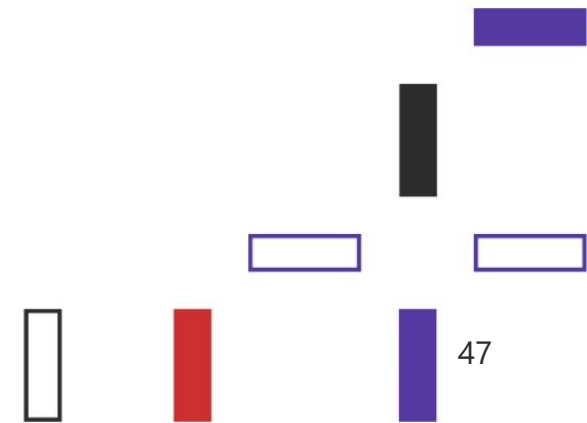


- ...does **NOT** mean that you can be in touch with them (strictly forbidden).
- ...means that you put yourself **in their shoes**. They will read dozens of pages...**important**: look at their evaluation templates ([example](#)) to see on what basis you will be judged!
- **Maximum number of pages**: if you go beyond the max 30 pages for parts 1-3, the excess pages will be watermarked and disregarded by evaluators.
- Write in a **reader friendly manner**. No endless sentences, avoid abbreviations and/or have a glossary.
- Use (Gantt) **charts and images** if they make things more readable.
- Do **not** put images just for the sake of them or to fill the pages!
- Think about your proposal ethics (e.g. personal data treatment, 3rd country participation, non-military application, etc.).
 - ❖ Part A: Do the **ethics self-assessment**.
 - ❖ additional explanation on 'how you deal with ethical issues' can be attached as Annex to part B

Criterion 1: Excellence?



- The **relation** to the call topic.
- What makes your proposal “more excellent” than the others? What’s your **specific value proposition**?
- It is **not enough to be good**: e.g. a 3/5 in each of the three evaluation criteria leaves you below the minimum threshold (10/15)!
- EU calls are **highly competitive**. So always strive for perfectionism.
- **Clarity and pertinence** of the project’s objectives
- Quality of the proposed coordination and/or support measures including soundness of **methodology**.

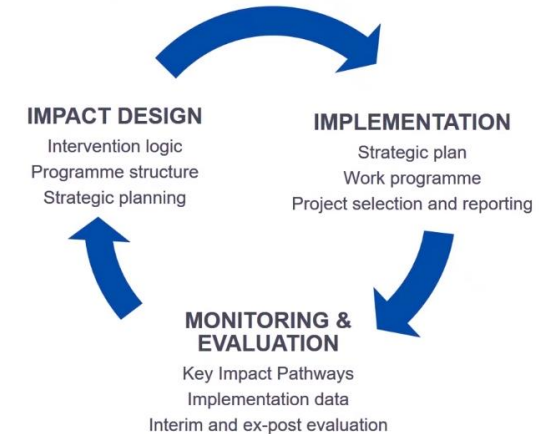


Criterion 2: Impact

- Check **KPIs mentioned**
- In the call text/background document. EIC 2022 WP, p.128.
- Your ideas to make your proposal **sustainable** after the end of your project? Any business plan in mind?
- Credibility of the pathways to achieve the **expected outcomes** and impacts specified in the work programme, and the likely scale and significance of the contributions due to the project.
- Suitability and quality of **measures to maximise** expected outcomes/impacts, set out in dissemination and exploitation plan, incl. communication activities (it also means: how to overcome possible obstacles).
- Think about **synergies** with other projects and programmes. Think about the **sustainability** after project end (e.g. define time to impact: 1-5 years).

HORIZON EUROPE CYCLE

Impact-driven Framework Programme

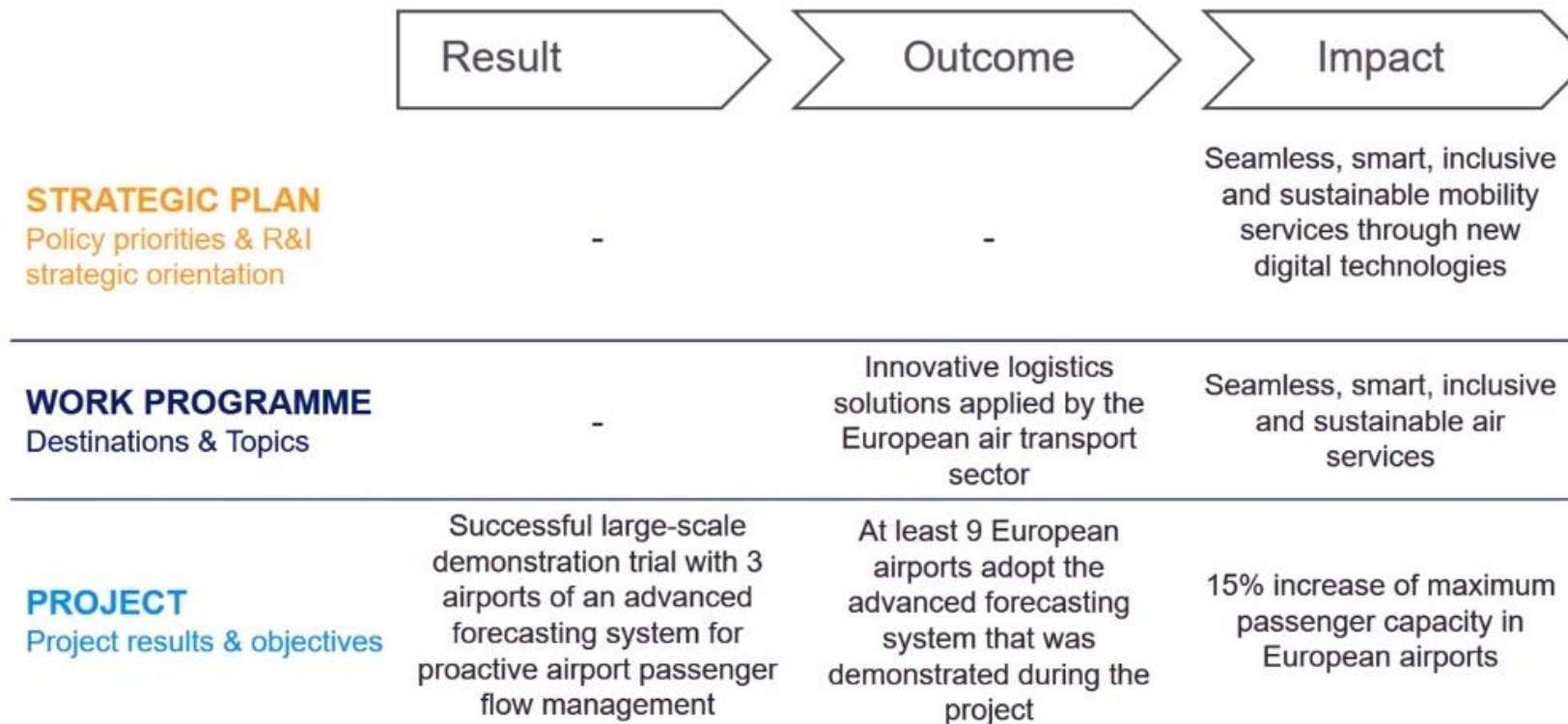


Impact (2): from strategic plan to project results



IMPACT IMPLEMENTATION

Example



Criterion 3: Implementation



- Quality and effectiveness of the **work plan, risks assessment/mitigation measures** and appropriateness of the **effort assigned to work packages** and the resources.
- Capacity and role of **each participant**, and extent to which the consortium **as a whole** brings together the necessary expertise.
- Are your activities **allocated efficiently** to the consortium members?
- Can all consortium members **chip in their best skills** in an optimised way?
- Take your **budget planning seriously**: it takes time to go through all budget categories – especially the staff costs! They are often the source of financial errors. Check out the guidance on eligible costs and especially direct/staff costs as well FSTP (60% of requested grant!) in the [Model grant agreement](#) (pages 25pp, 32pp and 74pp).
- A **consortium agreement** is highly recommended. Can also be signed at a later stage during grant agreement preparation.

Final tips

- **Experts / EU take and evaluate the proposal as it is.** In principle NO negotiation (only exceptionally, for clerical errors, for specific calls, etc. – check the WP). Write as if no improvements can be made in the grant preparation.
- Under this call, the **three criteria have the same weighting**. Consider that in your proposal...
- **Do not overshoot:** be ambitious but stay realistic about what you can achieve with your project
- **Consult** the [Online Manual](#), [How to](#) section and check for **help**

Support & Helpdesk



Online Manual



IT How To



IT Helpdesk



FAQ

Service Desk:



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Q&A
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Closing remarks

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Thank you!

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