Welcome to the 2021 European Innovation Ecosystems & Startup Europe informative session

Moderator: Daniel Gassmann, Head of Sector

European Innovation Council and SME Executive Agency (EISMEA)
Back ing visionary entrepreneurs
European Innovation Council and European Innovation Ecosystems

INFO DAY
European Innovation Ecosystems Work Programme (EIE WP)
&
Startup Europe / European Innovation Council Work Programme (EIC WP)

Brussels, 21 September 2021
Welcome to our Info Day!
Agenda

• 9:30 – 10:10: opening and introductions
• 10:10-12:00: call specific information and Q & A
• 14:00-16:30: technical information and Q & A
Agenda: Call specific presentations

• **10:10** HORIZON-EIC-2021-STARTUPEU-01-01: Enhancing synergies between the EIC and Startup Europe
• **10:20** HORIZON-EIE-2021-CONNECT-01-01: Preparatory action for setting up joint programmes among innovation ecosystems actors:
• **10:30** HORIZON-EIE-2021-CONNECT-01-02: Building capabilities in innovation procurement:
• **10:40** HORIZON-EIE-2021-SCALEUP-01-01: Expanding Acceleration Ecosystems
• **10:50** HORIZON-EIE-2021-SCALEUP-01-02: Scaling up deep tech ecosystems:
• **11:00** HORIZON-EIE-2021-SCALEUP-01-03: Women TechEU
Agenda: technical sessions

• 14:00 Make a good proposal – the proposal evaluation process
• 14:20 Lump Sums Schemes
• 14:40 Third Party financing actions

• 15:00-16:30 Q&A session about these technical aspects
OPENING

Jean-David MALO, EISMEA Director
The European Innovation Ecosystems (EIE) Work Programme

Fabienne Gautier,
EISMEA Head of Unit I-01
1. Introduction on the EIE work-programme 2021-2022 & Startup EU call under the EIC work-programme
Pillar 3 – Open Innovation: stimulating market-creating breakthroughs and ecosystems conducive to innovation

European Innovation Council
- Support to innovations with breakthrough and market creating potential

European innovation ecosystems
- Connecting with regional and national innovation actors

European Institute of Innovation and Technology (EIT)
- Bringing key actors (research, education and business) together around a common goal for nurturing innovation

€ 10.5 billion, incl. up to € 500 million for ecosystems

€ 3 billion

Graphical representation of Horizon Europe

- Pillar 1: Excellent Science
  - European Research Council
  - Marie Skłodowska-Curie Actions
  - Research Infrastructures

- Pillar 2: Global Challenges and Industrial Competitiveness
  - Clusters
    - Health
    - Inclusive and Secure Society
    - Digital and Industry
    - Climate, Energy and Mobility
    - Food and natural resources
  - Joint Research Centre

- Pillar 3: Open Innovation
  - European Innovation Council
  - European innovation ecosystems
  - European Institute of Innovation and Technology

Strengthening the European Research Area
- Sharing excellence
- Reforming and Enhancing the European R&I system
Innovation Ecosystems Consultation Process

- 8 workshops
- 350 + participants
- Questionnaire
- Final conference

Final report published! *

Groups of Workshops’ Participants


RESULTS: CONNECTEDNESS

Increased connectedness between actors
Need for European Forum
Increased citizens engagement

COMPETENCE

Fostering entrepreneurial culture
Need for better actionable information
Lack of innovation capabilities within public stakeholders

CAPITAL

Partnerships between startups and corporates
Support for early stage accelerators
Scaling-up and exit assistance

And:
European regulatory sandboxes
Stimulating public procurement for innovation
Horizon Europe, Pillar III, Section 2 – Innovation ecosystems

**EIC Forum**

Policy coordination & dialogue

National innovation authorities/agencies (MS/AC) + EIC & EIT Boards + EIE stakeholders

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**CO-FUNDING Joint innovation programmes**

Demand-driven (*+ private entities, e.g. foundations, EU Partnerships*)

**TRANSTATIONAL – EU ADDED VALUE - COMPLEMENTARY**

- Interconnection of open innovation infrastructures (*pilots, demos…*)
- Cooperation academia – enterprise
- High-tech SMEs: collaborative R&I, technology & knowledge transfer, early stage and feasibility study support, market analysis & development internationalisation + Low-tech SME’s: digitalisation
- Joint public procurement initiatives (PPI)
- Social & public innovation, Financial instruments

**Joint programmes for mentoring, coaching, technical assistance**, delivered by:

- networks (NCPs, EEN, EIT/KICs), clusters ..
- pan-European platforms (Starup Europe)
- regional or local innovation actors, public & private, *e.g. incubators, innovation hubs…*

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Data and knowledge on innovation support (funding schemes, data sharing platforms, etc.)
HEU SUPPORT TO INNOVATION ECOSYSTEMS

- EIC Forum
- CONNECT
- SCALE UP
- Innovative SMEs

EIC Forum

Enabling optimal conditions for developing and connecting the European innovation ecosystems

Better regulation for innovation
Connecting innovation ecosystems
Innovation tools

Facilitate the connectedness of the different actors within their ecosystem as well as between various ecosystems in Europe and beyond

Make better use of existing instruments and develop new innovation tools

EIE Work Programme 2021-2022
Total: EUR ~ 130 Mio

CONNECT
Total Budget EUR ~ 51 Mio*

SCALE UP
Total Budget EUR ~ 73 Mio*

Innovative SMEs

*All budgets are indicative
## EIE WP: Budget and call planning (1)

### European Innovation Ecosystems (EIE) Work Programme 2021 - 2022

#### Destinations/Calls/topics

<table>
<thead>
<tr>
<th>Destinations/Calls/topics</th>
<th>Budget (EUR million)</th>
<th>Type of action</th>
</tr>
</thead>
<tbody>
<tr>
<td>Preparatory action for setting up joint programmes among innovation ecosystems actors</td>
<td>4</td>
<td>CSA</td>
</tr>
<tr>
<td>Building capabilities in innovation procurement</td>
<td>4</td>
<td>CSA</td>
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<tr>
<td>Towards more inclusive networks and initiatives in European innovation ecosystems</td>
<td>4</td>
<td>CSA</td>
</tr>
<tr>
<td>Integration of social innovation actors in innovation ecosystems</td>
<td>3</td>
<td>CSA</td>
</tr>
<tr>
<td>Implementing co-funded action plans for interconnection of innovation ecosystems</td>
<td>8</td>
<td>COFUND</td>
</tr>
<tr>
<td>Stimulating innovation procurement</td>
<td>4.5</td>
<td>COFUND</td>
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<tr>
<td><strong>Total CONNECT budget 2021-2022</strong></td>
<td><strong>27.5</strong></td>
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</table>

#### ScaleUp

<table>
<thead>
<tr>
<th>Destinations/Calls/topics</th>
<th>Budget (EUR million)</th>
<th>Type of action</th>
</tr>
</thead>
<tbody>
<tr>
<td>Expanding Acceleration Ecosystems</td>
<td>5</td>
<td>CSA</td>
</tr>
<tr>
<td>Scaling up deep tech ecosystems</td>
<td>5</td>
<td>RIA</td>
</tr>
<tr>
<td>Women TechEU</td>
<td>3.75</td>
<td>CSA</td>
</tr>
<tr>
<td>Expanding Entrepreneurial Ecosystems</td>
<td>5</td>
<td>CSA</td>
</tr>
<tr>
<td>Expanding Investments Ecosystems</td>
<td>5</td>
<td>CSA</td>
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<tr>
<td><strong>Total indicative budget SCALEUP 2021-2022</strong></td>
<td><strong>23.75</strong></td>
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#### InnovsMSEs

<table>
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<tr>
<th>Destinations/Calls/topics</th>
<th>Budget (EUR million)</th>
<th>Type of action</th>
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<tbody>
<tr>
<td>European Partnership on Innovative SMes</td>
<td>35.29</td>
<td>COFUND</td>
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<tr>
<td><strong>Total InnovSMEs budget 2021-2022</strong></td>
<td><strong>73.18</strong></td>
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### Other Actions

<table>
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<tr>
<th>Destinations/Calls/topics</th>
<th>Budget (EUR million)</th>
<th>Type of action</th>
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<tbody>
<tr>
<td>Intellectual Property Helpdesk (IP Helpdesk)</td>
<td>3</td>
<td>Public Procurement</td>
</tr>
<tr>
<td>Use of individual experts on assisting with the monitoring of actions</td>
<td>0.1</td>
<td>Expert contract action (EIC)</td>
</tr>
<tr>
<td>Mapping and scoping of frugal and reverse innovation</td>
<td>0.3</td>
<td>Public Procurement</td>
</tr>
<tr>
<td>Innovative practices in legislation around emerging tech</td>
<td>0.3</td>
<td>Public Procurement</td>
</tr>
<tr>
<td>EIC FORUM support</td>
<td>0.5</td>
<td>Public Procurement</td>
</tr>
<tr>
<td>Commission expert group on EIC FORUM</td>
<td>0.2</td>
<td>Expert contract action (EIC)</td>
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<tr>
<td>Use of individual experts on assisting with the monitoring of actions</td>
<td>0.2</td>
<td>Expert contract action (EIC)</td>
</tr>
<tr>
<td>Commission fee as EUREKA member (administrative costs)</td>
<td>0.5</td>
<td>Subscriptions</td>
</tr>
<tr>
<td>Establishment of an indicator system and defining relevant data collection methods</td>
<td>0.3</td>
<td>RIC actions</td>
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<tr>
<td><strong>Total “Other actions” budget 2021-2022</strong></td>
<td><strong>60.14</strong></td>
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**TOTAL BUDGET EIE WP 2021-2022** 129.93

*(Includes the EUR 2 m of EIC WP budget transfer for the Women TechEU topic)*
INNOVATION ECOSYSTEMS WORK PROGRAMME
2021-2022

- **CONNECT**
  - Interconnection of Innovation Ecosystems
    - **2021 open call**: (CSA) Preparatory action for setting up joint programmes among innovation ecosystems actors

- **SCALE UP**
  - Innovation Procurements
    - **2021 open call**: (CSA) Building capabilities in innovation procurement (raising awareness, buyers’ training, co-design)

- **Innovative SMEs**
  - Social Innovation
    - **Call in 2022**

INNOVATION ECOSYSTEMS WORK PROGRAMME 2021-2022 – Examples

- **EIC Forum**
- **CONNECT**
- **SCALE-UP**
- **Innovative SMEs**

**Instruments**
- CSAs & RIA

**Expanding**
- Acceleration Ecosystems
- Entrepreneurial Ecosystems
- Investments Ecosystems

**2021 open call: (RIA)**
Expanding Deep Tech Ecosystems

**2021 open call: (CSA)**
Women driving deep tech Startups (WomenTechEU)*


INNOVATION ECOSYSTEMS WORK PROGRAMME 2021-2022

- **Innovative SMEs**
  - Joint Programme between Eureka and EU
  - Cross-border collaboration between 2 or more international partners, involving at least one Innovative SME (lead)
  - Help Innovative SMEs to grow & access global value chains & markets
  - Global collaboration

- **Total Budget**
  - 73 Mio*

- **Instrument Co-Fund Action**

- **Actors**
  - Innovative SMEs
  - Eureka National Funding Bodies

- **Implementation**
  - Co-Funded European Partnership

*All budgets are indicative*
EIE WP: Launch and implementation

- **16/6:** Publication of the Horizon Europe WPs (including EIE WP) and calls in Funding and Tenders portal
- **Calls opening for 2021:**

<table>
<thead>
<tr>
<th>Year</th>
<th>Destinations/ Calls</th>
<th>Topics</th>
<th>Call opening</th>
<th>Call deadline</th>
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<tr>
<td>2021</td>
<td>Call 1:</td>
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<tr>
<td></td>
<td>HORIZON-EIE-2021-CONNECT-01-01</td>
<td>Preparatory action for setting up joint programmes among innovation ecosystems actors</td>
<td>06-07-2021</td>
<td>26-10-2021</td>
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<td>HORIZON-EIE-2021-CONNECT-01-02</td>
<td>Building capabilities in innovation procurement</td>
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<td>HORIZON-EIE-2021-SCALEUP-01-01</td>
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<td>10-11-2021</td>
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<td>Women TechEU</td>
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<td>2021</td>
<td>Call 1:</td>
<td></td>
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<tr>
<td></td>
<td>HORIZON-EIE-2021-INNOVSMES-01-01</td>
<td>European Partnership on Innovative SMEs</td>
<td>22-06-2021</td>
<td>01-09-2021</td>
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**EIC WORK PROGRAMME 2021 – Support to Innovation Ecosystems**

**EIC Prizes**

- **Icapital Award**
  - Recognition prize
  - Categories ‘Capital of Innovation’ & ‘Rising Innovative city’
  - Semi-finalists announced on 2/09/21

- **Prize for Women Innovators**
  - Recognition prize
  - Categories ‘Women Innovators’ & ‘Rising innovators’
  - Applications deadline 30/06/21

- **Social Innovation Competition**
  - Categories ‘Challenge prize’ (Inducement) & ‘Impact prize’ (recognition)
  - Semi-finalists announced on 14/07/21

- **Innovation Procurement Award**
  - Recognition prize
  - Semi-finalists announced on 15/09/21

**Startup Europe**

- **Startup Europe synergies with EIC**
  - Deep tech & digital startups
  - Synergies with EIC & EIE
  - Applications deadline 18/11/21

**Total Budget**

- EUR ~3 Mio

**Instrument Prizes**

- EUR 6 Mio

**Budget**

- Instrument CSA

[https://eic.ec.europa.eu/eic-funding-opportunities_en]
The Startup EU call under the European Innovation Council (EIC) Work Programme

Helen Koepman,
DG CNECT Deputy Head of Unit F3
Startup Europe for Growth & Innovation Radar Projects

2020 – 2022

- 9 projects
- Budget of 12 million Euro
- **Facilitating access** to markets and finance
- Support **cross border growth**
- Best practices on **ecosystem cooperation** among developed and less developed hubs
- Focus on **deep-technologies** in all industries
After €377 billion in VC-backed exits since 2013, European venture capital has become profitable and thus self-sustainable for the long term.
Startup Nation Standard

Aim: most attractive Start-up and Scale-up continent

How?

- support startups’ expansion across borders
- streamline the implementation of the rules on procedures for visa applications and residence permits for third country talent
- make granting of employee stock options more attractive
- promote venture-building and tech transfer from universities
- increase access to finance for scaling-up
Startup Europe & EIC in Horizon Europe: part of the Innovative Europe pillar

European Innovation Council
- Support to innovations with breakthrough and market creating potential

European innovation ecosystems
- Connecting with regional and national innovation actors

European Institute of Innovation and Technology (EIT)
- Bringing key actors (research, education and business) together around a common goal for nurturing innovation

€ 10.5 billion, incl. up to € 500 million for ecosystems
The EIE and Startup EU calls for proposals

Presentations

Catalin Tischeru, Christina Nanou, Julija Sakovica

Project Advisers EISMEA Unit I-01
2. EIE WP 2021-2022 & Startup EU Calls for proposals
HORIZON-EIC-2021-STARTUPEU-01-01

- Coordination and support action (CSA)
- Budget of €6 million to fund 3-4 CSAs with a duration of 2 years
- Applicants must allocate at least 75% of the total proposed budget to financial support to third parties (FSTP) to allow startups to benefit from the services described in the call text
- Extended deadline 18 November 2021 at 17:00 CET

Eligible applicants: Startup ecosystem builders, business angel organisations, venture capital entities, accelerators, incubators, startup associations, etc. from EU MS and Associated Countries
HORIZON-EIC-2021-STARTUPEU-01-01

Rationale

• Build synergies between the EIC and the wider European startup ecosystem to support scaling up of European companies.

• Be a catalyst to fulfil the potential of European digital startups in delivering market-ready applications and technology solutions in key technology areas and value chains.

• Contribute to the development of applications that foster climate-neutrality, digital and circular economy, clean industry and user-centric technology development.
HORIZON-EIC-2021-STARTUPEU-01-01

Scope

• Connecting local digital and deep tech startup ecosystems.

• Supporting cross-border acceleration activities for digital and deep tech startups.

• Ensuring synergies with the Digital Europe (e.g. Digital Innovation Hubs) and other Horizon Europe Programmes (e.g. using Innovation Radar intelligence to detect startups).

• Ensuring knowledge generated contributes to EIC Business Acceleration Services and the general activities of the EIC Forum.

• Among the startups ecosystems to be connected, specific attention will be given to including of ecosystems in Widening countries.

• Each proposal should demonstrate sustainability of proposed actions beyond the life of the project.
HORIZON-EIC-2021-STARTUPEU-01-01

Expected outcome

- Increasing the market footprint of European Startups in strategic digital technologies and deep tech innovation.

- Better connection of EIC-supported startups and Seal of Excellence holders to relevant local and European ecosystems and communities.

- Scaling up of capabilities in matching technology solutions developed by highly innovative EU-funded digital and deep tech startups with investment and growth opportunities.
EIE WP 2021-2022 calls for proposals

Destination: CONNECT - Interconnected Innovation Ecosystems

HORIZON-EIE-2021-CONNECT-01-01: Preparatory action for setting up joint programmes among innovation ecosystems actors

HORIZON-EIE-2021-CONNECT-01-02: Building capabilities in innovation procurement

Destination: SCALEUP - Elevating the scalability potential of European business

HORIZON-EIE-2021-SCALEUP-01-01: Expanding Acceleration Ecosystems

HORIZON-EIE-2021-SCALEUP-01-02: Scaling up deep tech ecosystems

HORIZON-EIE-2021-SCALEUP-01-03: Women TechEU
Destination: CONNECT - Interconnected Innovation Ecosystems

Topic: HORIZON-EIE-2021-CONNECT-01-01: Preparatory action for setting up joint programmes among innovation ecosystems actors
INNOVATION ECOSYSTEMS WORK PROGRAMME 2021-2022

Call: Interconnected of Innovation Ecosystems

Topic-01: Preparatory action for setting up joint programmes among innovation ecosystems actors

Target group(s): Public innovation authorities + private actors + R&I actors.

Main expected outcome: More dynamic, inclusive, and connected innovation ecosystems, via co-creation, co-planning and co-investments of specific activities around promising areas of joint and European interest;

Scope: to prepare joint action plans to strengthen their innovation efficiency/capacities/interconnection and jointly tackle challenges at all levels.

Applicants should:
- identify areas and activities of cooperation (networking, market access, training/skills, joint infrastructures, procurements)
- justify on the need for those joint activities that should be scalable at European level
- demonstrate their strong EU added value
- explain the potential for growth & competitiveness foreseen in the targeted sector and/or expected EU impact
- ensure inclusiveness and diversity (+private actors)
- explain how the action plans complement and reinforce their national/regional/local innovation plans/policies/strategies
- explain the planned process (open, clear, realistic and impact-oriented approach, +mechanisms, tools)
- present expected common knowledge assets, the benefit of the intended beneficiaries, the targeted milestones to be achieved
- plan their long-term commitments (at least 5 years) & engage in joint cooperation activities

Type of Action | CSA
--- | ---
Total Indicative budget | 4 m €
Expected EU contribution/project | 0.5 m €
Expected grants to be signed | 8
Estimated project duration | 2 years
Additional eligibility criterion | At least three (3) independent legal entities from MS/AC.
Lump sum grant | Eligible costs will take the form of a lump sum.
Topic-01: Preparatory action for setting up joint programmes among innovation ecosystems actors

The proposals may include **two (2) phases:**

1st phase: *(exploratory)*
- foster dialogue among stakeholders for strategy/partnership building
- mapping and analysis *(existing innovation agendas/strategies/policies/plans/activities, relevant active/inactive actors, ways to motivate inclusiveness, areas of competitive advantage, gaps, needs and opportunities)*
  - consider existing tools, knowledge and expertise.

2nd phase: **concretise, set up, finalise action plans** and allocation of the activities

→ The implementation of the proposed action plans is not part of this topic.
How the topic is linked to the COFUND topic in 2022? *(HE-EIE-2022-CONNECT-02-01)*

- This topic (CSA) will finance the **preparation** of joint action plans, i.e. explore areas and ways of cooperation, concretise and co-design these action plans.
- COFUND topic (2022) will finance the **implementation** of joint action plans that are mature and applicants already know what they want to achieve (areas of cooperation, activities, etc.).

Will successful projects of the topic get automatically financing for their implementation via the COFUND topic (2022)?
No. Successful projects do not automatically get funding for their implementation via the COFUND topic (2022). Operationally, this would not be feasible due to the close timeframe between the 2 calls.

What opportunities will successful projects have for financing the implementation of their joint action plans?
The applicants may wish to:
- seek further financial support from HE/EIE WP future COFUND actions or
- check other opportunities with national/regional authorities and networks (including the EEN), i.e. public and/or private programmes (with similar approach and objectives).

Read COFUND call !!!
Destination: CONNECT - Interconnected Innovation Ecosystems

Topic: HORIZON-EIE-2021-CONNECT-01-02: Building capabilities in innovation procurement
**Topic-02: Building capabilities in innovation procurement**

**Target group(s):** Public and private buyers, public-owned enterprises, SMEs and start-ups, research and technological organisations

**Main expected outcome:**
Fostered and facilitated implementation of innovation procurement.
Leveraged potential new markets and contribute to tackle societal challenges

**Scope:** support new training and guidance, exchange best practices, building capacities for innovation procurement, new innovation-friendly design of strategies and procedures, new collaboration networks

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<tr>
<th><strong>Type of Action</strong></th>
<th><strong>CSA</strong></th>
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<tbody>
<tr>
<td>Total Indicative budget</td>
<td>4 m €</td>
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<tr>
<td>Expected EU contribution / project</td>
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<td>Expected grants to be signed</td>
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<tr>
<td>Estimated project duration</td>
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<tr>
<td>Additional eligibility criterion</td>
<td>At least 3 legal entities from MS/AC</td>
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<td>Lump sum grant</td>
<td>Eligible costs will take the form of a lump sum.</td>
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<tr>
<td>Deadline</td>
<td>26/10/2021</td>
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INNOVATION ECOSYSTEMS WORK PROGRAMME 2021-2022

CONNECT

Call: Interconnected Innovation Ecosystems

Topic-02: Building capabilities in innovation procurement

Proposals should focus on:

• Training portfolios to improve skills and capacities to design innovative procurement

• Activities to raise awareness, strengthen knowledge on legal frameworks and practical use of legal procedures - for public buyers and evaluators

• Creation of public-private collaboration and co-design - between SMEs and buyers (public/private)

• Identify and scale-up best examples of definition of needs and design - of programmes, procedures and long-term strategies

• Set up expert networks/local competence centres - coaching services, legal assistance, support in design, exchange of best practice.

• Cooperation and Partnerships between public/private buyers and deployment actors - to tap into the under-exploited innovative potential
INNOVATION ECOSYSTEMS WORK PROGRAMME 2021-2022

Call: Interconnected of Innovation Ecosystems

Topic-02: Building capabilities in innovation procurement

How the topic is linked to the COFUND topic in 2022? *(HE-EIE-2022-CONNECT-02-02)*

- **COFUND topic (2022)** - authorities together with research & innovation actors prepare joint multi-annual programmes of activities (action plans) with the aim of strengthening their efficiency, capacities and interconnection and jointly tackle challenges at EU, national, regional and local level.
The EIE and Startup EU calls for proposals

Presentations

Giulia Facelli, Ciara Phelan, Natalia Nowinska

Project Advisers EISMEA Unit I-01
Destination: SCALEUP - Elevating the scalability potential of European business

Topic: HORIZON-EIE-2021-SCALEUP-01-01: Expanding Acceleration Ecosystems
Topic-01: Expanding Acceleration Ecosystems

Target group(s): Business-acceleration providers: incubators, accelerators, company-builders, innovation agencies, business clubs and networks, regional public authorities and educational institutions.

Main expected outcome: More open, competitive and inclusive innovation ecosystems. Better quality and outreach of business acceleration services (BAS).

Scope: support 'modest'/moderate' (emerging) innovation ecosystems in attracting international businesses. Improve quality of BAS, network outreach and scale-up support.

Applicants should:

- Identify the best consortium configuration including at least 3 legal entities: >1 entity established in a 'modest'/moderate'/emerging' innovator region + >1 entity established in a 'strong'/innovation leader' innovator region.

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<thead>
<tr>
<th>Type of Action</th>
<th>CSA</th>
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<tr>
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<td>5m €</td>
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<tr>
<td>Expected EU contribution / project</td>
<td>1 m €</td>
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<tr>
<td>Expected grants to be signed</td>
<td>5</td>
</tr>
<tr>
<td>Estimated project duration</td>
<td>2 years</td>
</tr>
<tr>
<td>Additional eligibility criterion</td>
<td>At least 3 legal entities from MS/AC + innovator regions criterion</td>
</tr>
<tr>
<td>Lump sum grant</td>
<td>Eligible costs will take the form of a lump sum.</td>
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</table>
Topic-01: Expanding Acceleration Ecosystems

The proposals must include:

- share **business acceleration related best practices**, knowledge, tools and methods;
- exchange of promising start-ups and SMEs, including women-led businesses, involving participation in acceleration programmes abroad and introduction to foreign financing institutions;
- exchange of accelerator programme experts, including evaluators, thematic experts, mentors and investors;
- establishing **links between local actors in developing ecosystems**, particularly research, education institutions and local authorities and incoming start-ups, international accelerators and experts to enhance transfer of technology and knowledge to supply them with innovative solution;
- establishing a **virtual platform** with an overview of accelerator programmes, financial resources, mentors, events in partner ecosystems.
**What is the current classification of Innovator Regions?** *(European and Regional Innovation Scoreboards 2021)*

<table>
<thead>
<tr>
<th></th>
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</thead>
<tbody>
<tr>
<td>Innovation <strong>Leaders</strong> are all countries with a relative performance in 2019 <strong>above 125%</strong> of the EU average in 2019.</td>
<td>Innovation <strong>Leaders</strong> are all countries with a relative performance in 2021 <strong>above 125%</strong> of the EU average in 2021.</td>
<td>Strong Innovators are all countries with a relative performance in 2021 <strong>between 100% and 125%</strong> of the EU average in 2021.</td>
<td>EIS 2020 Methodology Report: <a href="https://ec.europa.eu/docsroom/documents/41861">https://ec.europa.eu/docsroom/documents/41861</a></td>
</tr>
<tr>
<td>Strong Innovators are all countries with a relative performance in 2019 <strong>between 95% and 125%</strong> of the EU average in 2019.</td>
<td>Strong Innovators are all countries with a relative performance in 2021 <strong>between 100% and 125%</strong> of the EU average in 2021.</td>
<td>Moderate Innovators are all countries with a relative performance in 2021 <strong>between 70% and 100%</strong> of the EU average in 2021.</td>
<td>EIS 2021 Methodology Report: <a href="https://ec.europa.eu/docsroom/documents/45971">https://ec.europa.eu/docsroom/documents/45971</a></td>
</tr>
<tr>
<td>Moderate Innovators are all countries with a relative performance in 2019 <strong>between 50% and 95%</strong> of the EU average in 2019.</td>
<td>Moderate Innovators are all countries with a relative performance in 2021 <strong>between 70% and 100%</strong> of the EU average in 2021.</td>
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</tr>
<tr>
<td>Modest Innovators are all countries with a relative performance in 2019 <strong>below 50%</strong> of the EU average in 2019.</td>
<td>Emerging Innovators are all countries with a relative performance in 2021 <strong>below 70%</strong> of the EU average in 2021.</td>
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<td></td>
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</tbody>
</table>
Destination: SCALEUP - Elevating the scalability potential of European business

Topic: HORIZON-EIE-2021-SCALEUP-01-02: Scaling up deep tech ecosystems
INNOVATION ECOSYSTEMS WORK PROGRAMME 2021-2022

**SCALEUP**

Call: Elevating the scalability potential of European business

**Topic-02: Scaling up deep tech ecosystems**

**Target group(s):** Pan-European research and technology infrastructures, industry including small and medium enterprises, clusters, universities, RTOs, business schools, national / regional innovation funding agencies.

**Expected outcomes:** Enhanced development of deep tech* ecosystems around pan-European research and technology infrastructures to generate, scale and deploy breakthrough technologies with market and social value.

Increased involvement of industry, including SMEs, with research and technology infrastructures to raise the technology level and competitiveness of companies and generate market opportunities, including through the generation of start-up or spin-off companies;

Improved valorisation of the socio-economic impact of past investments in panEuropean research and technology infrastructures from the European Structural and Investment Funds.

*Deep tech is technology that is based on cutting-edge scientific advances and discoveries and is characterised by the need to stay at the technological forefront by constant interaction with new ideas and results from the lab. Deep tech is distinct from 'high tech' which tends to refer only to Research & Development intensity.
**Topic-02: Scaling up deep tech ecosystems**

**Scope:** The proposal should pilot the possibility to seed the development of innovation ecosystems around diverse technological areas related to pan-European research and technology infrastructures by providing grants to pilot projects in three to five different technological areas.

The proposals should:

- identify **deep tech opportunities related to pan-European research infrastructures** with breakthrough potential;
- assess the **feasibility and scalability** of the identified opportunities;
- suggest a **selection and clustering** of those opportunities and nascent ecosystems that demonstrate sufficient maturity to provide a clear potential for industrial implementation;
- identify **those opportunities with strongest potential** towards industrial application with societal or market value;
- run and evaluate **calls** to provide grant funding to pilot projects in the identified technological areas;
- assess the outcome of the pilot grants.
Destination: SCALEUP - Elevating the scalability potential of European business

Topic: HORIZON-EIE-2021-SCALEUP-01-03: Women TechEU
General context

• Severe underrepresentation of women in tech industry
• Very limited VC funding offered to women-led companies

Expected outcome:
• Support deep tech innovation as a basis for a modern, knowledge-driven, resource-efficient and competitive economy
• Promote female leadership in the deep tech industry to build fairer, more inclusive, and more prosperous innovation ecosystems in Europe.

Budget: 3.75 million
Beneficiaries: Up to 50 start-ups
Who can apply?

To apply, you must:

• Be a **woman**, 

• Be a **founder or a co-founder** of an **early stage deep tech start-up, registered** and established in an EU Member State or Horizon Europe Associated Country for at least six months at the time of the submission,

• Hold a **top management position** (CEO, CTO or equivalent) in the company.
What can you get via the Women TechEU?

• **Financial support to the company** as an individual grant of EUR 75,000 to support the initial steps in the innovation process, and the growth of the company,

• Mentoring and coaching provided by the EIC Business Acceleration Services (BAS), under the new “**Women Leadership Programme**”, which include dedicated networking and pitching events,

• The possibility to participate in dedicated activities organised by InvestEU and Enterprise Europe Network.
Your application

• 10 pages of an application form structured around 3 criteria:
  ➢ Excellence, Impact, Implementation

• An inspirational video:
  ➢ A short teaser pitch + a non-exhaustive list of questions

• Annexes:
  ➢ Executive summary of the business plan & Financial and corporate information

• Duration of your project

• Evaluation report
Thank you!

EISMEA-EU-ECOSYSTEMS@ec.europa.eu
Agenda

AFTERNOON SESSION --- FINANCIAL and ADMINISTRATIVE QUESTIONS

14:00  Make a good proposal! The proposal evaluation process
14:20  Lump Sums Schemes
14:40  Third-Party financing actions
15:00  Q&A
Make a good proposal!
The proposal evaluation process

Eric Koch, Project Adviser
EISMEA I-01
Back ing visionary entrepreneurs

Make a good proposal

INFO DAY
European Innovation Ecosystems

Brussels, 21 September 2021

Eric Koch
EISMEA Project adviser
Think about the basics

• Is my organisation **eligible**? E.g. number of entities, countries, other criteria such as level of innovation according to the Regional innovation scoreboard, etc. → “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

Incl budget table as Excel (Work package details...) for lump sum
Consult the call text/page in detail

- Read and re-read... Obvious but often forgotten: think about **relevance** of your proposal for EIE/EIC Work programmes (WP).
- 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 including on the destinations (Connect and Scale up for EIE) (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 could differ from call to call!
- Check out **further background docs** on the portal; might be “hidden” further below the page documents. Some calls require extra info to be submitted (Women TechEU: a video...).
Be prepared

• Ask **experienced** former applicants.

• Check with your [Enterprise Europe Network (EEN)](https://een.ec.europa.eu) partner and/or [National Contact Point (NCP)](https://ec.europa.eu/region/national-contact-points_en) 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](https://participation.copernicus.eea.europa.eu/partner_search). Only add partners if they agree!

• **Ask your generic/call specific questions** through the [portal](https://ec.europa.eu/programmes/horizon2020/en). 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”.

Be nice to evaluators and EU colleagues...

- ...does **NOT** mean that you can be in touch with them. 😊
- ...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, excess pages (usual standard 30 or 45 for parts 1-3) 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). It is rarely mentioned by the applicants but very often raised by the evaluators. Do the **ethics self-assessment**.
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.
• 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 maximize** 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).
# IMPACT IMPLEMENTATION

Example

## STRATEGIC PLAN
Policy priorities & R&I strategic orientation

<table>
<thead>
<tr>
<th>Result</th>
<th>Outcome</th>
<th>Impact</th>
</tr>
</thead>
<tbody>
<tr>
<td>-</td>
<td>-</td>
<td>Seamless, smart, inclusive and sustainable mobility services through new digital technologies</td>
</tr>
</tbody>
</table>

## WORK PROGRAMME
Destinations & Topics

<table>
<thead>
<tr>
<th>Strategic Plan</th>
<th>Work Programme</th>
<th>Impact</th>
</tr>
</thead>
<tbody>
<tr>
<td>Seamless, smart, inclusive and sustainable mobility services through new digital technologies</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

## PROJECT
Project results & objectives

<table>
<thead>
<tr>
<th>Strategic Plan</th>
<th>Work Programme</th>
<th>Impact</th>
</tr>
</thead>
<tbody>
<tr>
<td>Successful large-scale demonstration trial with 3 airports of an advanced forecasting system for proactive airport passenger flow management</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Innovative logistics solutions applied by the European air transport sector</td>
<td></td>
<td></td>
</tr>
<tr>
<td>At least 9 European airports adopt the advanced forecasting system that was demonstrated during the project</td>
<td></td>
<td></td>
</tr>
<tr>
<td>15% increase of maximum passenger capacity in European airports</td>
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</table>

Impact (2): from strategic plan to project results
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 staff costs/resources calculation and the personal cost wizard (NB: current one only H2020 – a new one available soon).

- In case of lump sum actions, less cost details needed (but check requirements).

- 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.

• In many Horizon Europe calls, the 3 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
Lump Sums Schemes

Benedicte Charbonnel, Project Officer
DG RTD H3
THE EU RESEARCH & INNOVATION PROGRAMME
2021 – 2027

LUMP SUM FUNDING
INFO-DAY OF HORIZON EUROPE WORK PROGRAMME “EUROPEAN INNOVATION ECOSYSTEMS”

BÉNÉDICTE CHARBONNEL, DG RTD
Common Implementation Centre
Common Service for Business Processes
Lump sum funding – Which topics under the EIE work programme?

- HORIZON-EIE-2021-CONNECT-01-01: Preparatory action for setting up joint programmes among innovation ecosystems actors
- HORIZON-EIE-2021-CONNECT-01-02: Building capabilities in innovation procurement
- HORIZON-EIE-2021-SCALEUP-01-01: Expanding Acceleration Ecosystems
Lump sum funding – Why?

**Significant simplification potential:**

- Despite all simplification, funding based on reimbursement of incurred costs stays complex and error-prone
- Lump sum project funding removes all obligations on actual cost reporting and financial ex-post audits – i.e. a **major reduction of administrative burden**

**Focus on performance:**

- Shift from focus on financial management and checking costs to **focus on scientific-technical content** of the projects
Lump sum funding – Basic principles

How is the lump sum fixed?

- A **methodology** has been developed explaining how to determine the amount of the lump sum of the proposal. The lump sum contribution must be an **approximation of the beneficiaries’ underlying actual costs**
- You will find the link to the decision establishing this methodology [here](#)
- Following the evaluation, the lump sum is fixed during grant preparation

**Principles:**

- Proposals provide a **detailed estimation of costs** and a lump sum **split per work package an beneficiary** via an Excel workbook.
- **Experts assess cost details during evaluation** (through the excel workbook), and make recommendations (panel will include expert/s with project management / financial expertise).
- Based on this, the lump sum is fixed during grant preparation
I. Lump sum – Basic principles

Lump sum evaluation and grant agreement follow standard approach as much as possible

- Same evaluation criteria: excellence, impact and implementation (the detailed estimation of costs is evaluated under the implementation criteria)
- Same pre-financing and payment scheme
- Reporting periods and technical reporting as today, though focusing on completion of work packages

One lump sum share is fixed in the grant agreement for each work package:

- This amount is paid when all the activities of all the participants in a given work package are completed.
- As today, payment does not depend on a successful outcome, but on the completion of activities
LUMP SUM FUNDING: WHAT DO I NEED TO KNOW?

Lump Sum Model Grant Agreement
Model Grant Agreement – Budget allocation

Budget allocation:

Max. liability of the beneficiary after payment of balance

<table>
<thead>
<tr>
<th></th>
<th>WP1</th>
<th>WP2</th>
<th>WP3</th>
<th>WP4</th>
<th>WP5</th>
<th>WP6</th>
<th>WP7</th>
<th>WP8</th>
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</thead>
<tbody>
<tr>
<td>Beneficiary A</td>
<td>250.000</td>
<td></td>
<td></td>
<td>50.000</td>
<td>300.000</td>
<td>250.000</td>
<td>300.000</td>
<td></td>
<td>1.150.000</td>
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<tr>
<td>Beneficiary B</td>
<td></td>
<td>250.000</td>
<td>350.000</td>
<td>50.000</td>
<td>100.000</td>
<td>150.000</td>
<td></td>
<td></td>
<td>900.000</td>
</tr>
<tr>
<td>Beneficiary C</td>
<td>100.000</td>
<td>100.000</td>
<td>50.000</td>
<td>280.000</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>530.000</td>
</tr>
<tr>
<td>Beneficiary D</td>
<td>120.000</td>
<td></td>
<td>50.000</td>
<td></td>
<td>100.000</td>
<td>150.000</td>
<td></td>
<td></td>
<td>420.000</td>
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<tr>
<td>Total</td>
<td>350.000</td>
<td>470.000</td>
<td>350.000</td>
<td>200.000</td>
<td>300.000</td>
<td>530.000</td>
<td>200.000</td>
<td>600.000</td>
<td>3.000.000</td>
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</table>

Lump sum = Maximum grant amount

Art 5.4 lump sum MGA
Model Grant Agreement – Consortium

Costs actually incurred are not relevant. **Who does the work still is!**

- As in the General MGA:
  - Affiliated entities and associated partners must be named in the grant agreement
  - The description of the action (Annex 1) must detail the tasks to be:
    - Attributed to each affiliated entity
    - Attributed to each associated partner
    - Subcontracted
Model Grant Agreement – Work packages

Work packages distribution:

As many as needed but no more than what is manageable

Therefore:

- A single activity is not a WP
- A single task is not a WP
- A % of progress of work is not a WP (e.g. 50 % of the tests)
- A lapse of time is generally not a WP (e.g. activities of year 1)

**Horizontal work packages** (e.g.: Management, Dissemination and Exploitation, etc.) may be approached differently

Proposals must **describe precisely** the activities that are covered by each work package
Model Grant Agreement – Budget transfers

All **budget transfers** require an amendment

- Transfer amounts between Work Packages only acceptable if:
  - Work Packages not already completed (and declared in a financial statement)
  - Justified by the technical and scientific implementation of the action
Types of payments:

- **Pre-financing payment**
  - Same functioning that in the general MGA
  - Coordinator distributes the amount according to consortium agreement

- **Interim payment(s)**
  - One or more
  - Pay the shares of the lump sum set out in Annex 2 for the work packages completed & approved in the reporting period (if any)

- **Payment of the balance**
  - Closes the financial aspects of the grant
  - Uncompleted WPs will (generally) NOT be paid*
  - Releases the amount retained for the Mutual Insurance Mechanism

* Exceptionally and upon assessment by the project officer and a possible review, work packages partially completed could be partially paid.

Art 22 lump sum MGA
Model Grant Agreement – Interim payments

**Sum of the share of the lump sum** allocated to Work Packages fully completed in the reporting period

<table>
<thead>
<tr>
<th></th>
<th>WP1</th>
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<th>WP3</th>
<th>WP4</th>
<th>WP5</th>
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<tr>
<td>Beneficiary A</td>
<td>250.000</td>
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<td></td>
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<td>300.000</td>
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<tr>
<td>Beneficiary B</td>
<td>250.000</td>
<td>350.000</td>
<td></td>
<td>50.000</td>
<td></td>
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<tr>
<td>Beneficiary C</td>
<td>100.000</td>
<td>100.000</td>
<td></td>
<td>50.000</td>
<td></td>
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<tr>
<td>Beneficiary D</td>
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<td>120.000</td>
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<td></td>
<td>50.000</td>
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<tr>
<td><strong>Total</strong></td>
<td>350.000</td>
<td>470.000</td>
<td>350.000</td>
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<th>WP4</th>
<th>WP5</th>
</tr>
</thead>
<tbody>
<tr>
<td>Beneficiary A</td>
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<td>Not completed</td>
<td></td>
</tr>
<tr>
<td>Beneficiary B</td>
<td>Completed</td>
<td>Completed</td>
<td>Not completed</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Beneficiary C</td>
<td>Completed</td>
<td>Not completed</td>
<td>Not completed</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Beneficiary D</td>
<td></td>
<td>Completed</td>
<td>Completed</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Art 22.3.3 lump sum MGA**

Annex 2

State of play at the end of the reporting period
Model Grant Agreement – Interim payments

**Sum of the share of the lump sum** allocated to Work Packages fully completed in the reporting period

<table>
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<tr>
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<td>350.000</td>
<td>470.000</td>
<td>350.000</td>
<td>200.000</td>
</tr>
</tbody>
</table>

Payment = 350 000 + 0 + 350 000 + 0 = 700 000 €

⚠ Limited to 90 % of the total grant
Checks, reviews and audits for:

- Proper implementation of the action (e.g. technical review)
- Compliance with the other obligations of the grant:
  - IPR obligations
  - Obligations related to third parties (e.g. financial support)
  - Other obligations (e.g. ethics, visibility of EU funding, etc.)

No financial audits by the European Commission
Model Grant Agreement – Keeping records

We **need**

- Technical documents
- Publications, prototypes, deliverables
- Who did what?
  - ...any document proving that the work was done as detailed in Annex 1

We **don't need**

- Time-sheets
- Pay-slips or contracts
- Depreciation policy
- Travel invoices
- ...actual costs

*Already the case under the general MGA*
LUMP SUM: WHAT DO I NEED TO KNOW?

How to fill the lump sum Excel Workbook?
Conclusions – Key reference documents

- Model Grant Agreement Lump Sum
- Annotated Model Grant Agreement
- Decision authorising the use of lump sum contributions under the Horizon Europe Programme
- Frequently Asked Questions at the Funding & Tenders Portal

The reference documents for Horizon Europe are nearly ready and will be published soon.
Conclusions

What do I have to keep in mind when preparing a proposal for a Lump sum topic?

- Lump sum project funding removes all obligations on actual cost reporting and financial ex-post audits
- Lump sum shares are defined by work package and beneficiary and are fixed in the Grant Agreement
- Payment upon completed work packages at the end of the reporting period

Keep it in mind to structure your proposal!

However, the number of WPs should be reasonable
Thank you!

# HorizonEU

http://ec.europa.eu/horizon-europe
Third-Party financing actions

Milena Stoyanova, Project Adviser
EISMEA I-01
Back ing visionary entrepreneurs

European Innovation Council and European Innovation Ecosystems

INFO DAY
Financial support to third parties

Brussels, 21 September 2021

Milena Stoyanova
Project advisor, EISMEA Unit I.01
I. Legal Basis

II. FSTP in H2020 INNOSUP-1 projects: best practices & lessons learnt
I. Legal Basis
Legal Basis (Financial Regulation)


--> 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”

- ✓ HORIZON-EIE-2021-SCALEUP-01-02: Scaling up deep tech ecosystems
- ✓ HORIZON-EIC-2021-STARTUPEU-01-01: Enhancing synergies between the EIC and Startup Europe
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

! For more information, see AGA (Annotated Model Grant Agreement), -> articles 6.2.D.1 and 9.4
Legal Basis (Grant Agreement)

- General Model Grant Agreement (MGA)
  EIC Accelerator Contract
  (depending on the calls there might be some technical differences in the GA!)


-> 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
Art 6.2.D.1 Financial support to third parties (1) (MGA)

- Costs for providing financial support to third parties (in the form of grants, prizes or similar forms of support; if any) are eligible:

  ✓ if and as declared eligible in the call conditions,

  ✓ if they fulfil the general eligibility conditions (i.e. incurred during the action duration, necessary, linked to the action, etc; see Article 6.1(a) MGA),

  ✓ are calculated on the basis of the costs actually incurred (the amounts paid by the beneficiary) and

  ✓ the support is implemented in accordance with the conditions set out in Annex 1 (Annex 1 GA =DoA; originates from the proposal!); Conditions set out in Annex 1 must ensure objective and transparent selection procedures.
Art 6.2.D.1 Financial support to third parties (2) (MGA)

Conditions set out in Annex 1 must also include at least:

• for grants (or similar):

  ✓ the maximum amount of financial support for each third party ('recipient');
  ✓ the criteria for calculating the exact amount of the financial support
  ✓ the different types of activity that qualify for financial support, on the basis of a closed list;
  ✓ the persons or categories of persons that will be supported
  ✓ the criteria and procedures for giving financial support
Art 6.2.D.1 Financial support to third parties (3) (MGA)

The maximum amount of financial support for each third party (‘recipient’):

The amount is specified in the call. It may not be more than 60 000 EUR, unless the objective of the action would otherwise be impossible or overly difficult (Article 204 EU Financial Regulation 2018/1046).

Call HORIZON-EIE-2021-SCALEUP-01-02: Scaling up deep tech ecosystems:
- max. amount to be granted to each third party is 75 000EUR
- at least 60% of budget must be distributed in the form of grants to third parties

Call HORIZON-EIC-2021-STARTUPEU-01-01: Enhancing synergies between the EIC and Startup Europe
- the usual 60 000 maximum has been waived for this call (thus no maximum amount; 30-60 k advised!)
- at least 75% of the total proposed budget must be dedicated to FSTP grants, prizes or vouchers for services, either with or without identified service providers
- the voucher possibility seems to suit best to the projects’ purpose (see Guidance document)
- Monitoring and management of FSTP to be ensured by the coordinator
- 2 approaches for payment: 1) to startups or 2) directly granted to an identified service provider outside the consortium
Art 6.2.D.1 Financial support to third parties (4) (MGA)

Conditions set out in Annex 1 **must also include at least**:

- **for prizes** (or similar) (# EU prizes):
  - the eligibility and award criteria
  - the amount of the prize
  - the payment arrangements
Art 6.2.D.1 Financial support to third parties (5) (MGA)

! Cost for providing financial support to third parties (in the form of grants, prizes or similar forms of support) will not be taken into account for the indirect cost flat-rate.

-> Indirect costs will be reimbursed at the flat-rate of 25% of the eligible direct costs (except volunteers costs, subcontracting costs, financial support to third parties and exempted specific cost categories, if any).
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.
Other important points (AMGA)

• The recipients are not party to the Grant Agreement and therefore do NOT need to be listed there.

• Support in kind (e.g. transfer of material for free) by the beneficiary to a third party is NOT considered financial support.
II. FSTP in H2020 INNOSUP-01 projects: best practices & lessons learnt
Preparation activities:
(H2020 projects)

• Call documents & Call Announcement (call text, guide for applicants, annexes, etc) submitted to the EISMEA project officer at ca 4 weeks prior expected date of publication.

• The call specifications should be in line with Annex 1 part B of GA (no consistent changes!)
Publication of the call: (H2020 projects)

- Call Announcements are published, at least:
  
  ➢ in the dedicated web page of the Horizon 2020 F&T Portal (via EISMEA project officer)
    https://ec.europa.eu/info/funding-tenders/opportunities/portal/screen/opportunities/competitive-calls
  
  ➢ and on the actions own websites.

- Full call details must be available on the day of the publication on the project website!
Proposal reception: (H2020 projects)

- H2020 beneficiaries are recommended to close the call on a Wednesday, so that their help facility is available to proposers throughout the last three days of the week.

- On receipt of each proposal they are advised to send an Acknowledgment of receipt to the proposer (template available).

- They cannot accept late submissions !!! (except if delays are due to IT bugs beyond the control of the applicants).
Proposal evaluation and selection: (H2020 projects)

- H2020 beneficiaries are advised to evaluate the proposals as submitted (better to avoid negotiations!): after the close of the call no additions or changes to received proposals should be taken into account.

- H2020 beneficiaries evaluate proposals received in the light of the criteria laid down in the Full Call Details (Evaluation criteria).

- The H2020 beneficiaries remain responsible for the evaluation towards the third parties, even though they might count on the assistance of external experts.
Communications with proposers: (H2020 projects)

• Beneficiaries will get into contact with successful proposer(s).

• Beneficiaries will communicate to the non-successful proposers as well that their proposal was not successful in the call.

• Beneficiaries should define in advance (in their call text) and include in the call text when published, a review/redress procedure to allow non-successful applicants to complain.
Management of the budget dedicated to provision of FSTP (1): (H2020 projects)

- Depending on what has been foreseen in Annex 1, the beneficiaries will award the financial support on:
  - an output based scheme — upon delivery of the expected output (lump sum)
  - an input based scheme — upon fulfilment of eligibility conditions (reimbursement of actual costs)

- Payment of the financial support to third parties
  Costs are eligible if incurred during the action duration.

- EISMEA has no direct contractual link with any third party
  EISMEA may not intervene in the internal affairs between the beneficiary and third parties.

- Monitoring the budget allocated to financial support to third parties
  FSTP to be closely managed and regularly monitored, at beneficiary's and consortium's level (!
  This is different than monitoring of individual sub-projects)
Thank you!

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#EUeic