3. SMEs in HORIZON 2020

3.1 A key role for SMEs also in Innovation and FP7
"Innovation is more than just a 'research and development' policy. Innovation is the ability of a system not only to produce new ideas but also to bring them to the markets, and translate them into economic growth and prosperity. In short, innovation stands for turning new ideas into growth and jobs.

That is why innovation, which we could also call "applied creation", is for the years to come "the" overarching priority for the European Union, a benchmark for its actions."  

Herman Van Rompuy
President of the European Council
Brussels, 10 October 2013
SMEs - *driving force of economic growth and job creation in Europe:*

- 20.7 Million SMEs in the non-financial business economy (~99% EU enterprises)
- 85% of new jobs in the private sector created by SMEs that provide more than two thirds of jobs (more than 87M)
- SMEs account for more than 58% of the total gross-value added

**Performance indicator 'SME' in Horizon 2020:**

'Growth and job creation in participating SMEs'
What is an SME?

Any autonomous entity engaged in an economic activity, irrespective of its legal form, with the following characteristics:

- ≤ 250 employees
- ≤ € 50 Million Annual Turnover
- ≤ €43 Million Annual Balance Sheet

(Commission Recommendation 2003/361/EC)
What is a fast growing company?

Definition:

High-growth: average annual growth in either turnover or employment of more than 20% over three years

Young high-growth ('gazelles'): up to five years old

% of total enterprises: less than 10% (1%), but creating most new jobs

Challenge:

In US and emerging Asian economies, young leading innovative firms are more numerous, especially in high-tech sectors, and they grow faster.
Barriers to innovation & growth in SMEs

- Access to finance
  (additionality of public support)
- Knowledge and skills shortage
- Weakness in networking and cooperation with external partners
  (open innovation)
- Internationalisation
Innovation Union Commitment n°7

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

* European Council 4 February 2011

Commission is invited to explore the feasibility of a Small Business Innovation Research Scheme
SME support - Objective

To stimulate growth by means of increasing the levels of innovation in SMEs, covering their different innovation needs over the whole innovation cycle for all types of innovation, thereby creating more fast-growing, internationally active SMEs.

All types of innovation

More impact!!
### %SME share on EU Contribution, 2007-2013

Data of 20/06/2013

<table>
<thead>
<tr>
<th>Theme</th>
<th>%EU €</th>
</tr>
</thead>
<tbody>
<tr>
<td>HEALTH</td>
<td>17.1%</td>
</tr>
<tr>
<td>KBBE</td>
<td>14.7%</td>
</tr>
<tr>
<td>ICT</td>
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<tr>
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<tr>
<td>SPA</td>
<td>15.3%</td>
</tr>
<tr>
<td>SEC</td>
<td>21.6%</td>
</tr>
<tr>
<td>THEMES</td>
<td>16.9%</td>
</tr>
</tbody>
</table>
FP7 has attracted innovative SMEs:

- 97% innovative entreprises (mainly manufacturing & knowledge-based services)
- Annual growth rate of employment: 9.5%*

SMEs that participate in European projects:

- increase their R&D and innovation capability due to possibility to tap best knowledge in EU
- get access to international networks,
- open up new markets; new customers
- get access to qualified staff
- increase reputation and visibility on EU level

*2010-2012
Pitfalls and challenges

- Less than 50% of industrial partners use the publicly funded applied research projects strategically.
- Only about 22% of SMEs participating in EU research programmes are strategic innovators.
- Most academics engage with industry to further their research rather than to commercialise knowledge.
- Projects are not designed for exploitation.

---) need for funding mechanism that is better aligned to the strategic needs of innovative SMEs.
3. SMEs in HORIZON 2020

3.2 Overview
SME support: integrated approach

20 % budgetary target in LEITs & SC

Collaborative projects 13%
SME instrument 7%

Eurostars II
Enhancing Innovation Capacity
Market-driven Innovation

Access to Risk Finance

'Innovation in SMEs'
SME support – what continues

- SME participation in **collaborative** R&D or innovation projects (but no dedicated SME calls, no budget earmarked etc.)
- **Eurostars II**
- Enhancing the **innovation capacity** of SMEs (Europe INNOVA former CIP-EIP)
- Exchange and **mobility** of researchers involving SMEs (Marie Skłodowska-Curie actions)
- Access to **finance, but wider scope!**

what stops:

- **Research for the benefit of SMEs** scheme
Horizon 2020

FET Open

Collaborative R&D&I
Target: R&D topics (3 participants)

SME Instrument
Target: Close-to market activities in SME (1 participant)

Eurostars
Target: R&D intensive SME (2 participants)

R&D driven projects

Market opportunity driven projects
University

Small Business

Funding Gap (range: 1-3 M€)

Public Funds

Resources Invested

Research

Development

Commercialization

Private Funds

Industry

Venture Capital

Angel Investors
3. SMEs in HORIZON 2020

3.3 SME Instrument

Business Processes
1- Business processes: main simplifications
2- SME instrument specificities
   1. Phase 1
   2. Phase 2
   3. IPR
3- Expected demand
4- Performance indicator
1- Business processes: main simplifications

- **SME validation**: a dedicated IT tool linked to PDM/URF will guide the applicants in the process of determining their SME status
  
  - Applicants unable to complete the declaration themselves can request help from the Commission services in order to help them through the completion process.

- **Financial capacity check**: General rule: only required for coordinators in actions with an EU contribution equal or above 500 K€.
  
  - It does not apply for mono-beneficiary projects
  - In case of consortia: general rule applies
2- SME instrument specificities

1- Phase 1

• Fixed lump sum: 50,000 Euros

• Annotated Grant Agreement for phase 1: multi and mono versions.

• Output based logic (payment for results)
  - No financial reports (no cost statement) at termination of phase 1
  - Output as proof of payment
2- SME instrument specificities (2)

2- Phase 2.

- Minor deviations to common practices: subcontracting.
- Annotated Grant Agreement: multi and mono versions.
2- SME instrument specificities (3)

3- IPR

- "Freedom to operate": SMEs must retain the right to commercially exploit the results under reasonable conditions.
3- Expected demand (1)

- **Expected demand**
  
  It is estimated that about 1 to 6 % of all SMEs belong to the target group, i.e. 200,000 to 1.2 million SMEs.

  Without restrictions, an estimation of 10 to 15,000 SME applications for Phase 1 is expected every year (surveys (EVCA, EIM, NESTA))
3- Expected demand (2)

Phase 1: fixed lump sum of 50 k€
Phase 2: assumed average project size 1.5 M€

↓ Over 7 years:

- 5,200 Ph. 1 projects will be funded → 10%-15% success rate
- 1,700 Ph. 2 projects with an average size of 1.5 M€ can be funded (or 2550 of an average size of 1 M€, 1250 of an average size of 2 M€)
4- Performance indicator

The results and impacts of the specific objective "Innovation in SMEs" shall be measured by the following indicator (H2020 FP):

"Share of participating SMEs introducing innovations new to the company or the market (covering the period of the project plus three years)"

"Growth and jobs" (Overall and amongst target group)
3. SMEs in HORIZON 2020

3.4 Meeting SMEs "on the ground" SME Instrument Coaching and Innovation in SMEs Work Programme
Coaching and mentoring in H2020

• Proposal for a Council decision establishing the H2020 (COM (2011) 811/3):

"...Relying on existing SME support networks a mentoring scheme for the beneficiary SMEs shall be established to accelerate impact from the support provided...”

• Coaching is a developmental partnership to share knowledge, skills, information and perspectives to foster the professional and organizational growth and performance of an SME

• Coaching will be delivered in cooperation with the Enterprise Europe Network (EEN)
Why coaching?

- Majority of EU funded research stays unexploited
- Problems occur at commercialization, rather than research stage
- Only for 35% of SMEs participating the project was well aligned to the company strategy
- Only 22% of SMEs participating in EU research programs are strategic innovators
- Research without commercialization is not a true innovation
Coaching scheme in H2020

- Objectives:
  - Enhance the commercial potential and impact of SME participation in the dedicated H2020 instrument
  - Achieve tangible organizational change
  - Leave a legacy, H2020 to become the stepping stone to sustainable high growth

- To be delivered across Stage 1 & 2 of the instrument
- EEN acting as entry point to the system
- In Stage 3 EEN to link SMEs to targeted support available in the Network and externally
- Coaching provided through a European pool of coaches
Coaching and EEN support

Phase 1
- EEN Initial Assessment
  - Regional
  - HR
  - ...

Phase 2
- Facilitation and Moderation
- SME Instrument
- Coaching (not part of EEN)

Phase 3
- Support for Application
- Support for EU project Management
- Support for Access to Finance
Coaching scheme in H2020

- Coaching will be provided by the EEN and external coaches
- Coaches will be recruited from the H2020 Expert Database
- Coaching in Phase 1 (3 days) and Phase 2 (12 Days)
- Paid in addition to the project budget
- In Stage 3 EEN to link SMEs to targeted support available in the Network and externally
- EEN services paid through the “Innovation in SMEs” budget
Selection criteria for coaches

- Relevant business experience (running own company or top management for min 5 years)
- Track record in managing a range of business issues associated with periods of high growth:
  - Strategic planning,
  - Leadership and organisational development,
  - New product development, market development and internationalisation strategy,
  - Innovation management,
  - IPR and IA,
  - Financial management and investor readiness,
  - Specialist sector knowledge.
- Proven experience in publicly funded innovation programmes / initiatives,
- Evidence of having done similar coaching work previously (at least three references or testimonials from Chief Executive/Managing Director, etc)
H2020-Innosup-2014/2015: Enhancing SME innovation capacity by providing better innovation support

Objectives:

• Provide the link between innovation driven growth and SME eco-system

• Support the implementation of the SME Instrument
Principles

• Common budget for activities formerly under CIP/EIP (managed by ENTR) and RTD support actions (Eurostars, policy development)

• Support the implementation of the SME-instrument

• Continue to develop and test better innovation support services and related tools

• Capitalizing "Innovation Ecosystems" such as clusters and other business networks for innovation of value chains

➤ Typically the actions don't address SME directly – but 'support providers'
Activities in a nutshell / 1

Providing innovation support to SME:

- Services 'Enhancing the innovation management capacity of SMEs' provided by the Enterprise Europe Network:
  A) as service for the beneficiaries of the SME instrument
  B) for innovating SMEs to enhance to innovation management performance.

- The European Property Rights (IPR) helpdesk: Services provided directly to "SMEs participating in Horizon2020 projects" – CfP
Activities in a nutshell / 2

Developing high quality innovation support:

• IPorta 2 – Increasing the quality of IP advisory services to SMEs: Developing better services for SMEs in National IP offices – CfP addressing the NIPOs

• Capitalising the full potential of online-collaboration for SME innovation support: Developing ways to assist SME to make better use of online-collaboration for innovation – CfP
Activities in a nutshell / 3

Developing high quality innovation support-2

• Capturing innovation impulses from emerging economies: Developing a tool-box to recognise and realise market opportunities for innovative products/services in emerging economies – public procurement

• Adapting and maintaining the IMP³rove assessment tools on 'innovation management performance: Direct grant to IMP³rove Academy to adapt tools in context of EEN and SME instrument

• Capacities for design driven innovation: Tender to develop a 'strategic design'-tool box for SME support providers
Activities in a nutshell / 4

Market driven innovation

• Business Innovation Observatory+: Tender analysis, documentation and dissemination of new trends in SME innovation

• Internationalisation of innovation in SME: Conference to analysis and discuss international dimensions of SME innovation - Managed by RTD
Activities in a nutshell / 5

Learning and capacity building

• Peer learning of innovation agencies: Small grants to innovation agencies (or similar) to undertake EFQM quality management action or joint advanced twinning activities

• Community building and competence development for SME instrument coaching – Managed by RTD
Activities in a nutshell / 6

A performing ecosystem & connecting to innovation partners

• Open innovation analysis and open innovation management in SMEs: Analytical and support activities for 'open innovation' in SMEs –Managed by RTD

• A European label for innovation voucher programmes: Grant to managing authorities of innovation voucher programmes to coordinate programmes to accept foreign service providers at equal terms

• Collaborative projects of clusters to develop new value chains (detailed presentation following)
Innovation in SME 2014/15 - type of activity - total €140.0

- 48% Eurostars
- 21% Direct project support for SME (EUREKA / Cluster)
- 18% Cluster facilitated projects
- 9% Service directly for SME (EEN, IPR helpdesk)
- 4% Better service designs (concrete projects for tools)
- 0% Analytical + learning activities
- Other
COSME - What is the Programme about?

- Strengthening the competitiveness and sustainability of European enterprises

- Encouraging entrepreneurship and promoting SMEs

- Main target audience: SMEs, Entrepreneurs, Business Support Organisations, regional and national Administrations

- Foreseen budget: € 2.5 billion from 2014 to 2020
COSME – Priority areas:

- Improving the framework conditions for EU business
- Promoting entrepreneurship
- Improving access to finance
- Improving access to markets
Links to COSME

Horizon 2020 and COSME are complementary programmes to generate growth and jobs

Different focus:
- Horizon 2020 = innovation driven growth
- COSME = support to create favourable business environment and competitiveness

Closely coordinated, for instance:
- Integrated financial instruments (debt and equity), with facilities in both programmes serving complementary objectives
- Enterprise Europe Network set up under COSME, but support to SMEs for EU funding
For reference:

- Growth Accelerator: http://www.growthaccelerator.com/
- IMP3rove: https://www.improve-innovation.eu/
- Connet2ideas: http://www.connect2ideas.com/
3. SMEs in HORIZON 2020
3.5 Information & Communication
Prime Target Audiences

SMEs

Experts

Intermediaries:

- Enterprise Europe Network (branches)
- National Contact Points
- Others (private and public), incl. some listed on the participant portal
- The organisation of SME stakeholder-targeted information events (live and web)
- The distribution of specific promotion material

- Dedicated SME page on the new participant portal with simple navigation and search functions to retrieve SME instrument calls easily

- Promotion at stakeholder and networking events across the EU, to inform multipliers and SMEs directly
- Horizon 2020 web portal and SME Techweb / SME Update Newsletter (quarterly) / EASME website
• Sub-site of DG RTD website
• Features basic information on R&I support for SMEs
• News on events and important calls, success stories, link to publications
• Quarterly newsletter on EU policy for R&I-driven SMEs

• Horizon 2020 site – dedicated SME page
• Reference to all SME support actions, "Innovation in SMEs" & "Access to Risk Finance" / WPs
• Links support org. (EEN, NCP...)
• Web documentation on Horizon 2020 for SMEs & related sites
EASME – INNOVATIVE SMEs

Looking for Europe’s next innovation leader
Horizon 2020's SME Instrument

Are you a highly innovative, ambitious and passionate small- or medium-sized business with global ambitions? Are you looking for excellent business resources and mentorship – and substantial funding wouldn’t hurt either?

As part of the Horizon 2020 programme, the European Commission is hand-picking potentially disruptive businesses to invest and support as part of the SME Instrument. Your business could receive up to €3 million in funding, and world-class business support and mentorship.

Phases

The instrument will take place in three phases, with the aim of transforming disruptive ideas into concrete, innovative solutions with a European and global impact.

SMEs are recommended to apply for Phase 1, but may also apply for subsequent phases depending on the progress of their proposals:

Phase 1. Concept & Feasibility Assessment

Idea to concept (6 months)

The European Union will provide €50,000 in funding, and carry out a feasibility study to verify the viability of the proposed disruptive innovation or concept.

The SME will draft an initial business proposal (around 10 pages).

Phase 2. Demonstration, Market Replication, R&D

http://ec.europa.eu/easme/sme_en.htm

• All information on practical implementation of the calls
• Twitter account @H2020SME
The following services of Participant Portal may be unavailable on Thursday 23rd January from 17:00 (CET) while system maintenance is performed.

- Unique Registration Facility
- Role Management
- Reporting Tools
- Negotiation Facility
- Proposal list and Proposal Submission System

We apologise for any inconvenience this may cause.

On this site you can find and secure funding for research and innovation.

- 2014-2020 Horizon 2020 - Research and Innovation Framework Programme
- 2007-2013 7th Research Framework Programme (FP7) and Competitiveness and Innovation Framework Programme (CPFP)

Non-registered users

- search for funding
- read the funding guide & download the legal documents
- check if an organisation is already registered
- contact our support services or check our FAQs

SME Participation

SME instrument

The SME instrument has been designed specifically for single or groups of highly innovative SMEs with international ambitions, determined to turn strong, innovative business ideas into winners on the market. The instrument provides full-cycle business innovation support from the stage of business idea conception and planning (phase I) over business plan execution and demonstration (phase II) to commercialisation (phase III). Participants will be able to call on business innovation coaching for the duration of their project.

- **Phase I (proof-of-concept):** Explore the scientific or technical feasibility and commercial potential of your new idea in order to develop an innovation project, with the help of a €50,000 grant, and receive more support in case of a positive outcome!
- **Phase II (development & demonstration):** Develop your sound, ground-breaking business idea further with the help of a grant in the order of €500,000 to 2.5 million into a market-ready product, service or process!
- **Phase III (go-to-market):** Take advantage of additional EU support to enter the market successfully (no grants).

Collaborative Projects (SME + partners)

Work with at least 2 international partners (separate legal entities) from different EU countries (at least 3 in total) and request EU project support! To find partners, you can use the assistance of various partner search services.


+ FAQ document available at call level for the SME Instrument in particular
Available free-of-charge via EU Bookshop or with Office of Publications
Downloadable from our websites

More on SME Support under Horizon 2020:
• Fact sheet
• Webinar

Upcoming:
• SME opportunities at the EU level – a short guide (incl. Horizon 2020)
• SME Instrument promotional video:

Update newsletter
• Available at SME Techweb, subscription only
Support from Intermediaries

Promotion of the call for experts via:
- Speaking engagements and information events
- Targeted messaging on social media platforms
- Dedicated page on the Horizon 2020 participant portal
- Several official EU websites, including the new Horizon 2020 web portal, SME techweb and more
- Various official EU newsletters, including the Enterprise Europe Network Bulletin and the SME update newsletter

- The dedicated sub-group on communication of the Expert Advisory Group on Innovation for SMEs under Horizon 2020
- RESULT – Close to 4000 experts registered for the field "Innovation in SMEs" (quality of the profiles to be verified)
3. SMEs in HORIZON 2020
3.6 The EUrostars joint programme

Laura Piani
SMEs, Financial Instruments and State Aids, RTD-B3
DG Research and Innovation
EUROSTARS (2008-2013) - Key Features

- **Final beneficiaries**: R&D performing SMEs*.

- **Participants**: 33 countries in the Eureka framework (28 EU MSs + 5 Assoc. Cies) + EU.

- **Pooling national & EU resources for critical mass**:
  - MS & Associated Countries 300 M€
  - EU contribution: 100 M€ (maximum)
  - = 400 M€ for 2008-2013

- **Co-funding principle**: Co-funding by the project participants, Public & private funding to boost R&D in SMEs

- **EUREKA Secretariat (ESE)** acts as dedicated implementation structure (Indirect Centralised management)

*SME reinvesting > 10% of its turnover to R&D or dedicating > 10% of staff (FTE) to R&D

November 2010
Art. 185 TFEU: Joint Programme Initiative (PPP)

**Art 185 TFEU:** "(...)
The Union may make provision, in agreement with the Member States concerned, for participation in research and development programmes undertaken by several Member States, including participation in the structures created for the execution of those programmes."

By using art 185 for Eurostars, the Union aims at:

- **Addressing the fragmentation and the lack of coherent approach and interoperability of programmes** in support of R&D performing SMEs engaging in international research.

- Going beyond the coordination of national programmes, by **pooling national and EU resources** otherwise scattered to create a critical mass.

- A lasting **integration** of national programmes.
**INTEGRATION OF NATIONAL PROGRAMMES:**
- A pre-condition for art. 185 Initiatives in H2020 (Art. 20 Regulation)
- Three levels of integration:

<table>
<thead>
<tr>
<th><strong>Scientific integration:</strong></th>
<th>Participating countries accept a single evaluation by independent experts and common eligibility/selection rules and criteria</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Management integration:</strong></td>
<td>The Eureka Secretariat is designated as dedicated implementation structure in charge of implementing Eurostars and receiving, allocating, monitoring EU funding</td>
</tr>
<tr>
<td><strong>Financial integration:</strong></td>
<td>Earmarked funds by Participating States for Eurostars selected projects (but Virtual Common Pot: each participating state funds its own participants). Ranking list binding for allocating funds.</td>
</tr>
</tbody>
</table>
The main actors in the programme:

**European Commission**

- **Delegation Agreement:** Rights and obligations + **EU Funds** for projects and administration

**Eurostars Countries**

- **Bilateral Agreements** + **EU Funds** for projects

**Eureka Secretariat (ESE)**

- National funds for projects

**National Funding Bodies**

- **EU + MS funds**

**National SMEs in a Eurostars project**
Eurostars-1 Project profile:

- 3 to 4 participants (R&D SME Lead)
- 2 to 3 countries involved
- 29 Months Average duration
- 1,4 M€ Average Project Costs

Eurostars-1 number of applications:

Number of applications

[Bar chart showing number of applications for each cut-off from Cut-off 1 to Cut-off 10]
Eurostars-1 Type of Participant

Eurostars SMEs are high growth Innovative SMEs

83% of the R&D SMEs ave less than 50 employees

About 8500 SMEs applied

More than 11000 applicants
Eurostars-1 Main technological areas

Eurostars is bottom-up (open to all technological areas)

ICT is the main tech. area
Biotech the second one
Industrial the third one
EUROSTARS 2 – Key Features:

➢ A "Reinforced partnership option" based on full implementation of the recommendations made in the Interim Evaluation Report (2010).

• **Foreseen Funding (as in COM proposal) 3 times higher than E*1:**
  - Indicative contribution from E*2 participating countries = **861M€**
  - Indicative EU contribution = ~ **287M€** (25% of the overall public funding)
  = Total public budget increase from 400 million € in E*1 to almost **1.2 billion €**

• **Expected Improvements of Eurostars 2 (following review):**
  • streamlining the administration
    ✓ Quicker progress towards more scientific, management and financial integration, including a better synchronisation of funding.
    ✓ Efficiency and transparency of the evaluation process
    ✓ Shorter time to contract
    ✓ Respect of the Eurostars rules by all participating countries
    ✓ Increased Focus on SMEs without previous international research experience
## Status of decision-making process:

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<td>10 July 2013:</td>
<td>Adoption of Commission's proposal for a decision of Council and EP on the Union's participation in Eurostars (as part of Innovation Investment Package)</td>
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<tr>
<td>September 2013</td>
<td>Presentation of the Innovation Investment Package to the Council</td>
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<tr>
<td>Last quarter 2013 Jan/Feb 2014</td>
<td>Council General Approach 02/12/13</td>
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<td>Vote in ITRE Committee 23/01/14</td>
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<tr>
<td></td>
<td>Final Document - COREPER 26/02/2014</td>
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<td>Mid April 2014</td>
<td>Expected adoption by Council and EP</td>
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## Trialogue Compromise:

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<th>EP (23/01/14)</th>
<th>Council (02/12/13)</th>
<th>EC (11/07/13)</th>
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<tr>
<td>EC Top up</td>
<td>287 M€</td>
<td>287 M€</td>
<td>287 M€</td>
<td>287 M€</td>
</tr>
<tr>
<td>% Top up</td>
<td>25% with flexibility to go up to 33%</td>
<td>25% in general with flexibility to go up to 33%</td>
<td>Minimum 25% and max 33%</td>
<td>25%</td>
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<td>Administrative costs</td>
<td>4% EC Top up</td>
<td>6% EC Top up</td>
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<td>Evaluation Costs</td>
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<td>R&amp;D SME Definition</td>
<td>10% rule + rule 5/10 FTEs</td>
<td>10% rule + rule 5/10 FTEs</td>
<td>10% rule + rule 5/10 FTEs</td>
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<td>Participation Countries</td>
<td>EU28+5(IS,IL,NO,CH,TR)</td>
<td>EU28+5(IS,IL,NO,CH,TR)</td>
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<td>Programme Evaluation</td>
<td>Perform by EC in close collaboration with E!</td>
<td>Jointly done</td>
<td>Perform by EC in close collaboration with E!</td>
<td>Perform by EC</td>
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</tbody>
</table>
For more information:

http://www.eurostars-eureka.eu

At European Commission:

DG RTD - Unit B.3 SMEs, Financial Instruments and State Aids:

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