

Lo Strumento PMI in Horizon 2020



Roma, 28 ottobre 2015



Horizon2020: le origini



2007 - 2013



2014 - 2020



Ente di ricerca non profit

Nasce come “Task Force” del
Ministero dell’Università e della Ricerca.

25 anni di
esperienza



MISSION

- Promuovere e Supportare la **Partecipazione Italiana** ai programmi europei di ricerca su sviluppo e innovazione
- Migliorare la “**Qualità**” della partecipazione italiana nei programmi europei di ricerca su sviluppo e innovazione.

APRE ospita tutti i National Contact Point H2020 in Italia

[COSA è APRE?]





[MISSION]

Definizione di PMI

La definizione di PMI utilizzata dalla Commissione (da 01/01/2005):

- Impegnata in una attività economica
- < 250 addetti
- Fatturato annuo di \leq € 50 Milioni oppure un bilancio totale di \leq € 43 Milioni
- Autonoma

SME Questionnaire!!!



Definizione:

http://ec.europa.eu/enterprise/policies/sme/facts-figures-analysis/sme-definition/index_en.htm

Guida alla nuova definizione:

http://ec.europa.eu/enterprise/enterprise_policy/sme_definition/sme_user_guide_it.pdf

Struttura H2020

Excellent Science

- **European Research Council**
 - Frontier research by the best individual teams
- **Future and Emerging Technologies**
 - Collaborative research to open new fields of innovation
- **Marie Skłodowska Curie actions**
 - Opportunities for training and career development
- **Research infrastructures** (including e-infrastructure)
 - Ensuring access to world-class facilities

Industrial Leadership

- **Leadership in enabling and industrial technologies**
 - **ICT, nanotechnologies, materials, biotechnology, manufacturing, space**
- **Access to risk finance**
 - Leveraging private finance and venture capital for research and innovation
- **Innovation in SMEs**
 - Fostering all forms of innovation in all types of SMEs

Societal Challenges

- **Health, demographic change and wellbeing**
- **Food security, sustainable agriculture, marine and maritime research & the bioeconomy**
- **Secure, clean and efficient energy**
- **Smart, green and integrated transport**
- **Climate action, environment, resource efficiency and raw materials**
- **Inclusive, innovative and reflective societies**
- **Security society**

Fast track to innovation

European Institute of Innovation and Technology (EIT)

Spreading Excellence and Widening Participation

Science with and for society

Joint Research Center (JRC)

EURATOM

Opportunità per le PMI in H2020

- **Strumento per le PMI – mainstreaming (applicato in tutte le societal challenges e nelle LEITs)**
- **Partecipazione dell'Industria ai piu' tradizionali progetti collaborativi**
- **Fast track to innovation**
- Sostegno delle PMI a alta intensità di ricerca: innovazione nelle start-ups, spin-offs and giovani imprese research-intensive (Eurostars2)
- Rafforzare le capacità di innovazione delle PMI (mentoring e coaching + other activities – ProInno...): Innovation in SMEs
- Accesso alla finanza di rischio (prestiti e strumenti di equity)
- Dottorati industriali, scambio e mobilità dei ricercatori incluse le PMI (Marie Curie actions)
- Link all'accesso ai procurement





Lo Strumento PMI in H2020

Lo Strumento PMI *



Concept e
 valutazione della
 fattibilità

Idea to concept,
 risk assessment,
 technological & commercial
 feasibility

Dimostrazione,
 market replication
 R&D

Demonstration, prototyping,
 testing , market replication,
 scaling up, miniaturisation,
 research

Commercializzazione
 dei risultati

Quality label for
 successful projects,
 access to risk finance,
 indirect support

Idea

Business coaching

Mercato

* Approccio prevalentemente *bottom-up*

LE TRE FASI

Fase 1: concetto e valutazione della fattibilità



Input:
 Idea/Concept in "**Business Plan I**"

(~ 10 pages)
10% budget

Main Activities:

- Feasibility of concept
- Risk assessment
- IP regime
- Partner search
- Design study
- Pilot application

Output: elaborated "**Business plan II**"

Lump sum: around 50.000 €

~ 6 months

Fase 2: R&D, dimostrazione, market replication



Input:
 "**Business plan II**" + "**Description of activities under Phase 2**" (~ 30 pp.)

88% budget

Main Activities:

- Development Prototyping
- Testing
- Piloting
- Miniaturisation
- Scaling-up
- Market replication

Output: investor-ready

"**Business plan III**"

0,5-2,5 (5) M€ EC funding

~ 12 to 24 months

Fase 3: Commercializzazione



Input:
 "**Business plan III**"

+

Opportunities:

'**Quality label**' for successful Phase 1 & 2

Easier access to private finance

Support via networking, training, coaching, information, addressing i.a. IP management, knowledge sharing, dissemination

SME window in the EU financial facilities (debt facility and equity facility)

No direct funding

Coaching = 2% budget



Lo Strumento PMI



LE FIGURE DI SUPPORTO

Il mentoring del „Key account manager“ EEN

SME instrument Phase1

- I. Assess SME gaps and needs (0.5d)
- II. Selection lead coach (1d)
- III. Facilitate initial Coach-SME interaction (1d)

SME instrument Phase 2

- IV. Facilitate interaction between SME, coach and EC (4d)
- V. Close case & initiate next steps (0.5d)



Il coaching

- Voluntary coaching offered in Phase 1 and Phase
 - ✓ Phase 1 – 3 coaching days
 - ✓ Phase 2 – 12 coaching days
- Coaches will drive the performance of the organization by working with the senior management team
- 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





I coach

- 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)



Caratteristiche dello strumento PMI

- Indirizzato a tutti i tipi di PMI innovative che presentino una forte volontà di crescere, svilupparsi e internazionalizzarsi
- Solo PMI potranno richiedere finanziamenti (sostegno a una sola impresa è possibile, ma collaborazione certamente consigliabile)
- Competitivo, dimensione EU → solo migliori idee accedono al finanziamer
- Orientato al mercato; attività close-to-market: finanziamento al 70% in Fase 2
- Costituito da 3 fasi + il coaching
- Possibilità di entrare in fase 1 o fase 2
- Applicato in tutte le 'Societal Challenges' e 'LEITs'



SME Instrument = “Open call”*

Apertura call: 1° marzo 2014 (Fase 1 e Fase 2)

Scadenze/Cut off dates:

2015	
<u>Fase 1</u>	<u>Fase 2</u>
18/03/2015	18/03/2015
17/06/2015	17/06/2015
17/09/2015	17/09/2015
25/11/2015	25/11/2015

* Stesse scadenze SME Instrument all’interno di LEITs + SCs

Lo Strumento PMI e l'approccio

PREVALENTEMENTE BOTTOM-UP...



SME I nelle LEITs – Il Pilastro

TOPIC	BUDGET €	FUNDING RATE FASE 2
ICT-37-2014/2015 Open Disruptive Innovation Scheme (implemented through the SME instrument)	€ 45 million 2014 € 43 million 2015	70%
NMP 25 – 2014/2015 Accelerating the uptake of nanotechnologies, advanced materials or advanced manufacturing and processing technologies by SMEs	€ 21,80 million 2014 € 23,80 million 2015	70%
BIOTEC 5 – 2014/2015 SME-boosting biotechnology-based industrial processes driving competitiveness and sustainability	€ 3,80 million 2014 € 2,40 million 2015	70%
SME-SPACE-1-2014/2015 Call “SME Instrument” 2014 and 2015	€ 8,50 million 2014 € 8,55 million 2015	70%

SME I nelle Societal Challenges – III Pilastro

TOPIC	BUDGET €	FUNDING RATE FASE 2
SC 1 - PHC 12- 2014-2015 Clinical validation of biomarker and/or diagnostic medical devices	€ 66,10 million 2014 € 45 million 2015	100%
SC 2 - SFS 8 – 2014-2015 Resource-efficient eco-innovative food production and processing	€ 10 million 2014 € 17 million 2015	70%
SC 2 - BG 12 – 2014-2015 Supporting SMEs efforts for the development-deployment and market replication of innovative solutions for blue growth	€ 4 million 2014 € 5 million 2015	70%
SC 3 - SIE 1 – 2014-2015 Stimulating the innovation potential of SMEs for a low carbon and efficient energy system.	€ 33,95 million 2014 € 34,76 million 2015	70%
SC 4 - IT.1 - 2014-2015 Small business innovation research for transport	€ 35,87 million 2014 € 38,96 million 2015	70%
SC 5 - SC5 – 20 – 2014-2015 Boosting the potential of small business for eco-innovation and a sustainable supply of raw material	€ 17 million 2014 € 19 million 2015	70%
SC 6 - INSO 9 – 2015 Innovative mobile e-government applications by SMEs.	€ 4 million 2015	70%
SC 6 - INSO 10 – 2015 SME business model innovation for inclusive societies.	€ 11 million 2015	70%
SC 7 - DRS 17 – 2014-2015 Protection of urban soft targets and urban critical infrastructures	€ 7 million 2014 € 7,4 million 2015	70%

Lo Strumento PMI e l'idea progettuale:
DA DOVE SI PARTE?



TECHNOLOGY READINESS LEVEL

TRL 1 – basic principles observed

TRL 2 – technology concept formulated

TRL 3 – experimental proof of concept

TRL 4 – technology validated in lab

TRL 5 – technology validated in relevant environment (industrial environment in the case of key enabling technologies)

TRL 6 – technology demonstrated in relevant environment (industrial environment in the case of key enabling technologies)

TRL 7 – system prototype demonstration in operational environment

TRL 8 – system complete and qualified

TRL 9 – actual system proven in operational environment (competitive manufacturing in the case of key enabling technologies; or in space)

General Annexes



Lo Strumento PMI

REGOLE DI PARTECIPAZIONE

TYPE OF FUNDING ACTIONS (art.6 RfP)

- RESEARCH AND INNOVATION ACTION
- INNOVATION ACTION
- **SME INSTRUMENT**
- FAST TRACK TO INNOVATION
- CO-FUND ACTION
- COORDINATION AND SUPPORT ACTIONS
- PROGRAMME CO-FUNDING ACTIONS
- PRE-COMMERCIAL PROCUREMENT (PCP)
- PUBLIC PROCUREMENT OF INNOVATIVE SOLUTIONS (PPI)
- AWARD

CONDIZIONI MINIME DI PARTECIPAZIONE (art.9)

In H2020

almeno 3 SOGGETTI GIURIDICI

indipendenti stabiliti in **3 diversi stati membri o associati**

Nello Strumento PMI

almeno una PMI “for profit”

Soggetti eleggibili: soltanto PMI “for profit”

stabilite in **stati membri o associati**

SME Questionnaire!!!



Award criteria (SME Instrument Phase 1-2)

1. Excellence

- 1.1 Objectives
- 1.2 Relation to the work programme
- 1.3 Concept and approach
- 1.4 Ambition

2. Impact

- 2.1 Expected impact:
 - Users/markets
 - Company
- 2.2 Measures to maximize the impact:
 - Dissemination and exploitation of results
 - Intellectual Property, knowledge protection and regulatory issues



3. Implementation

- 3.1 Work plan – Work package and deliverable
- 3.2 Management structure and procedures (only to the extent relevant in single entity proposals)
- 3.3 Consortium as a whole (if applicable)
- 3.4 Resources to be committed

Scoring/thresholds/weights

Maximum score: 15

- **Phase 1:**
individual threshold of 4; overall threshold of 13
- **Phase 2:**
Impact threshold of 4; overall threshold of 12
 - impact criterion weighted by factor of 1.5
 - Impact considered first when scores equal

VERIFICA CAPACITA' FINANZIARIA

**SOLO PER COORDINATORI SE
 CONTRIBUTO PROPOSTA > 500.000€, A
 MENO CHE CI SIANO DUBBI SULLA
 SOLIDITA' FINANZIARIA DEL
 COORDINATORE O DEI PARTECIPANTI**

Self check tool sul Participant Portal

VERIFICA CAPACITA' FINANZIARIA

GA Multibeneficiari

- Fase 1: self check tool
- Fase 2: verifica affidabilità economico-finanziaria CE

GA Monobeneficiario

- Fase 1 e 2: nessuna verifica (regola generale H2020)





REGOLE DI FINANZIAMENTO



Tassi di finanziamento



Fase 1

€ 50.000 *lump sum* →
no giustificazione costi



Fase 2

70% dei costi totali
eleggibili
(eccezione PHC 12)



Fase 3

Nessun contributo
comunitario
→ "Quality label"

ALLA FINE DEL PROGETTO,
PER **CONTRIBUTI UE \geq**
325.000€



EX POST AUDITS

ENTRO DUE ANNI DAL
PAGAMENTO FINALE

TEMPISTICA SME Instrument

ESITO DELLA VALUTAZIONE

2 MESI in Fase 1 e 4 MESI in Fase 2

DALLA SOTTOMISSIONE della PROPOSTA

FIRMA DEL GRANT AGREEMENT

1 MESE in Fase 1 e 2 MESI in Fase 2

DALLA COMUNICAZIONE DEGLI ESITI DELLA VALUTAZIONE

TTG = 3 MESI in Fase 1 e 6 MESI in Fase 2

Vs 8 mesi in H2020 (11 mesi in 7PQ)

PROCEDURA DI REVIEW della VALUTAZIONE (Art. 16)

Qualora i proponenti ritengano che la valutazione sia affetta da **errori procedurali/formali**



PROCEDURA DI REVIEW della VALUTAZIONE



COMITATO DI REVIEW decide su:

- **RI-VALUTAZIONE PROPOSTA** (da parte di valutatori diversi da quelli coinvolti nella precedente valutazione)
- **CONFERMA OPINIONE INIZIALE**

Uno Strumento fortemente competitivo:

ERRORI DA EVITARE



Lesson learnt

- Too much focused on the project and **not enough on the business opportunity**
- Not convincing when **describing the company** (you have to explain why **your company** will succeed and not your competitor)
- Not providing enough information on **competing solutions**
- Having a too **low level of innovation**, planning to develop a product that already exists on the market
- Proposing just an idea **without any concept for its commercialisation**
- Just **trying their luck** (the SME Instrument is not a lottery!)



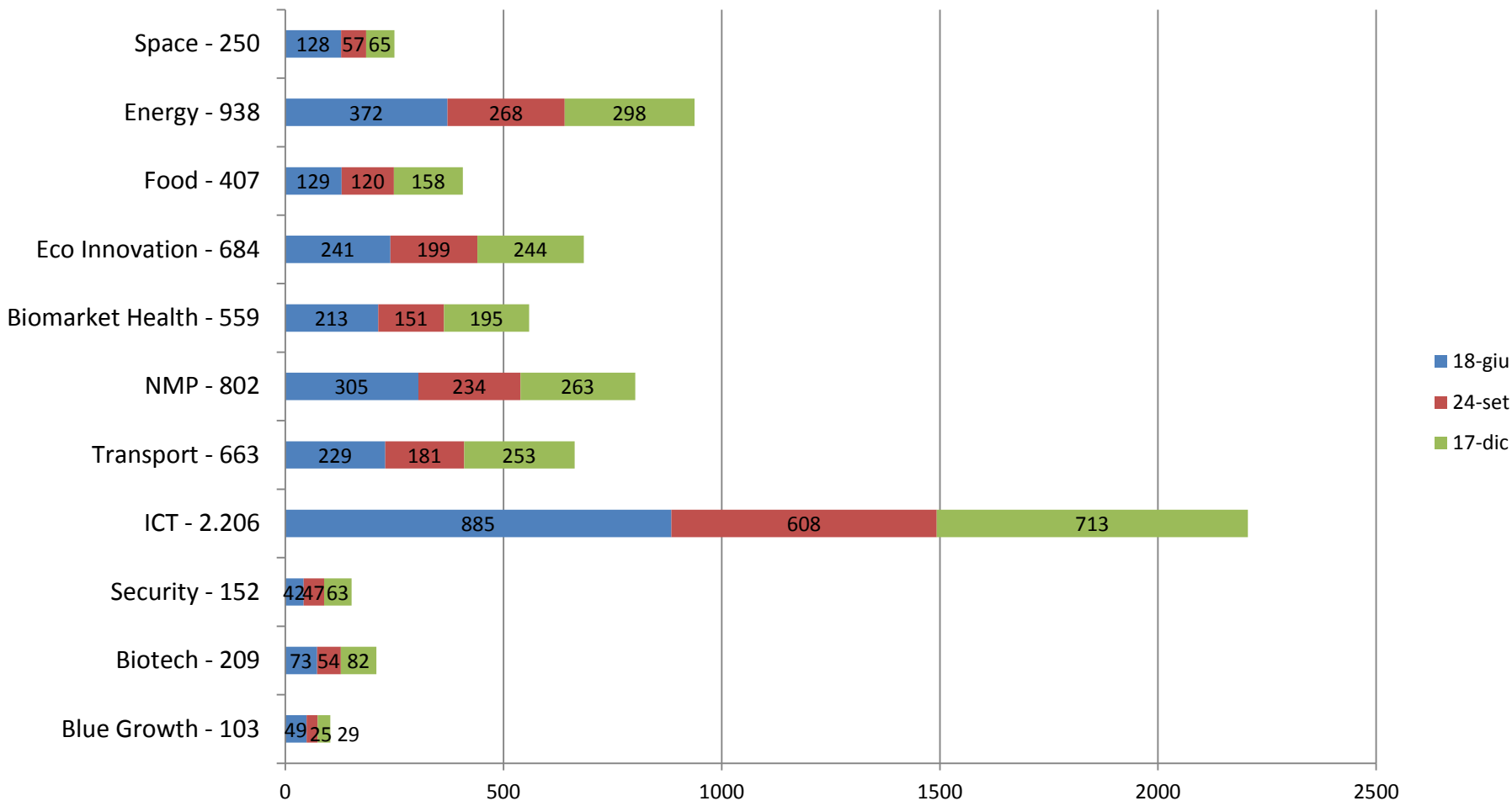
L'analisi delle proposte finanziate

Per riassumere...

Horizon 2020 SME Instrument SMEs, projects and funding overview

	Cut-off date	Number of SMEs	Number of projects	Funding (€ m.)
Phase 1	June 2014	162	155	7,75
	Sept. 2014	200	178	8,9
	December 2014	293	259	12,95
<i>Sub-total</i>		655	592	29,6
Phase 2	October 2014	78	60	108,13
	December 2014	94	74	117,62
<i>Sub-total</i>		172	134	225,75
TOTAL		827	726	255,35

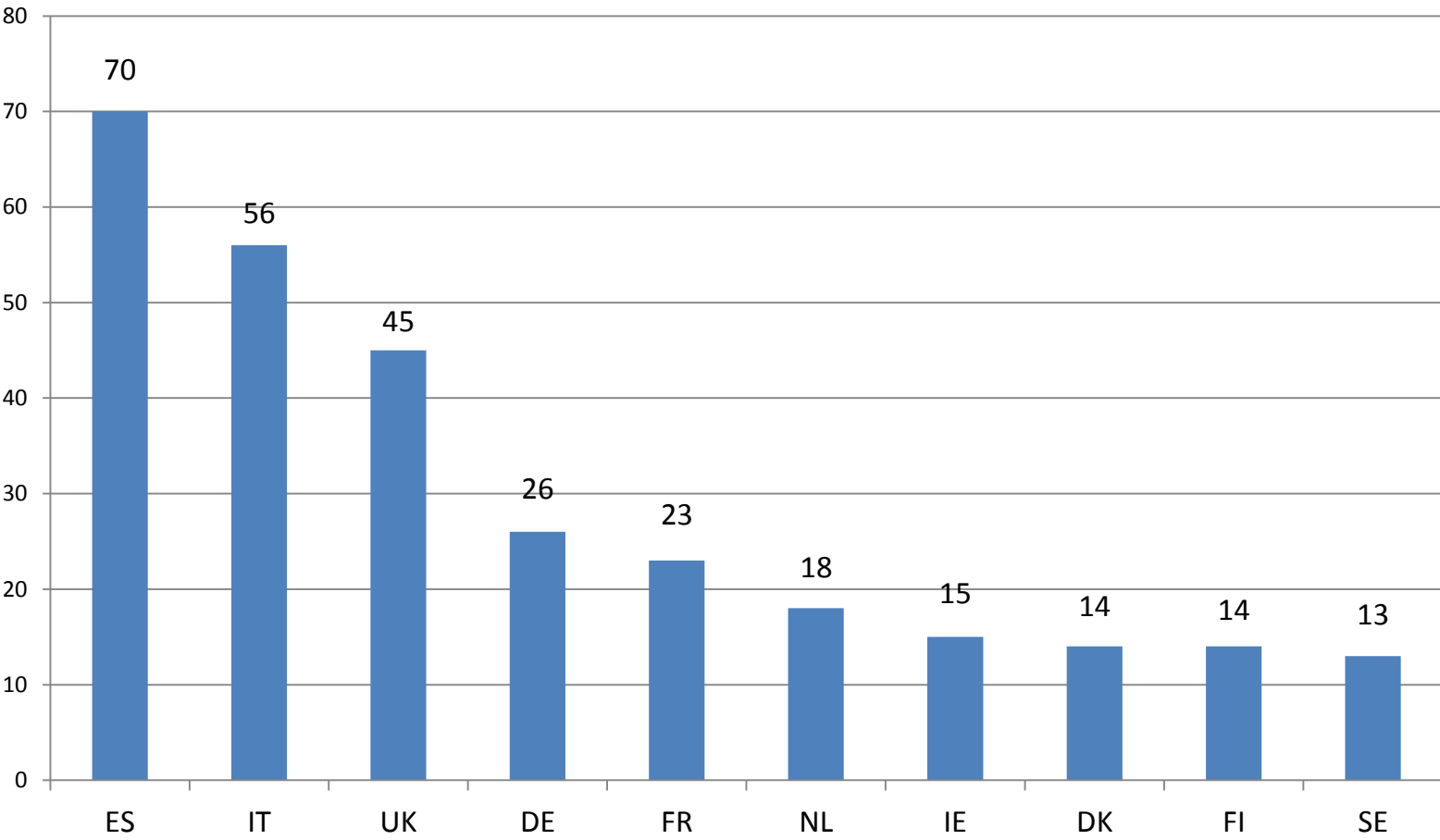
Fase 1: proposte presentate per topic



Fase 1: proposte finanziate per topic

Topic	Budget in EUR for first cut-off	Projects funded under the first cut-off	Budget in EUR for second cut-off	Projects funded under the second cut-off	Budget in EUR for third cut-off	Budget in EUR for third cut-off
BG-12	150.000	3	250.000	5	150.000	3
Biotech	150.000	3	200.000	4	400.000	8
IT-1	1.300.000	26	1.150.000	23	1.050.000	21
NMP	850.000	17	950.000	19	1.300.000	26
SC-5	600.000	12	750.000	15	1.650.000	33
SFS-8	350.000	7	450.000	9	800.000	16
SIE-1	1.150.000	23	1.400.000	28	2.150.000	43
SPACE	200.000	4	500.000	10	350.000	7
DRS-17	300.000	6	250.000	5	700.000	14
PHC-12	1.200.000	24	1.050.000	21	1.600.000	32
ICT-37	1.500.000	30	1.950.000	39	2.800.000	56
TOTAL	7.750.000	155	8.900.000	178	12.950.000	259

Fase 1: partner finanziati per Paese *

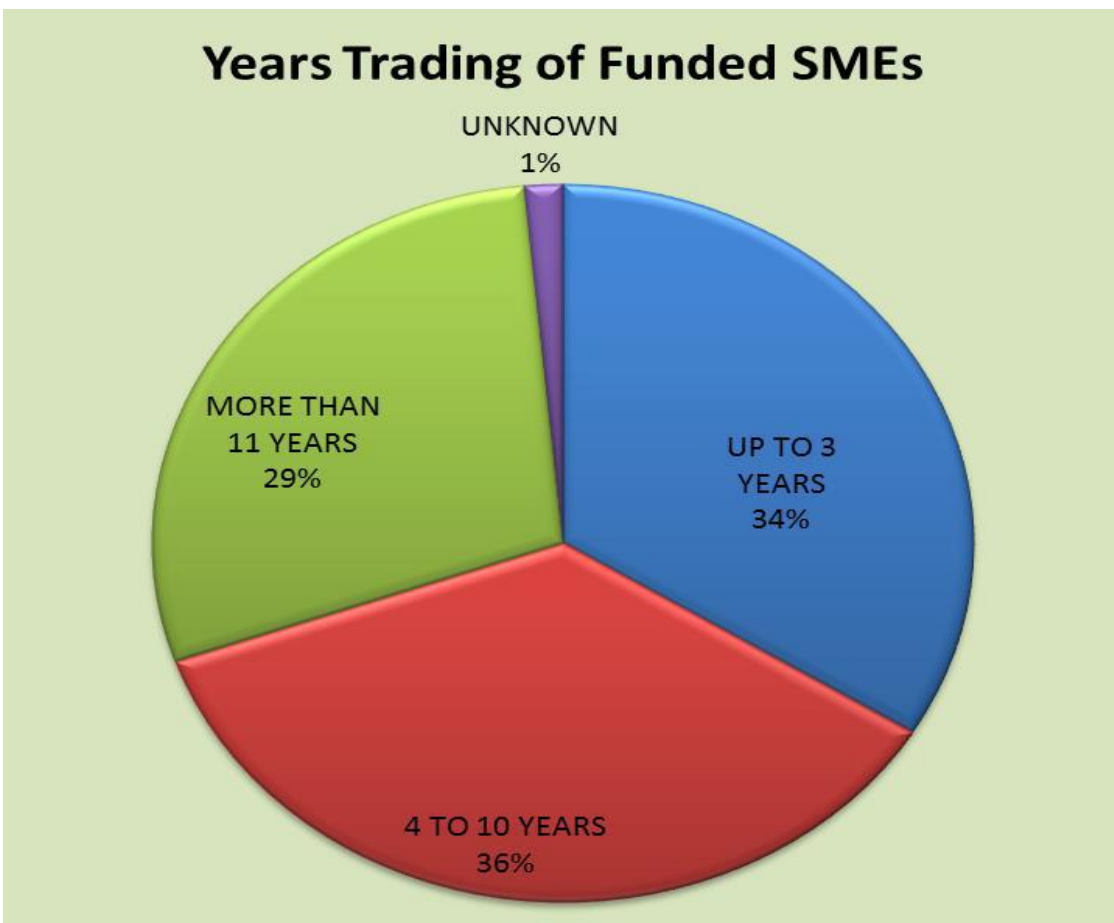


* 18/06/2014 + 24/09/2014



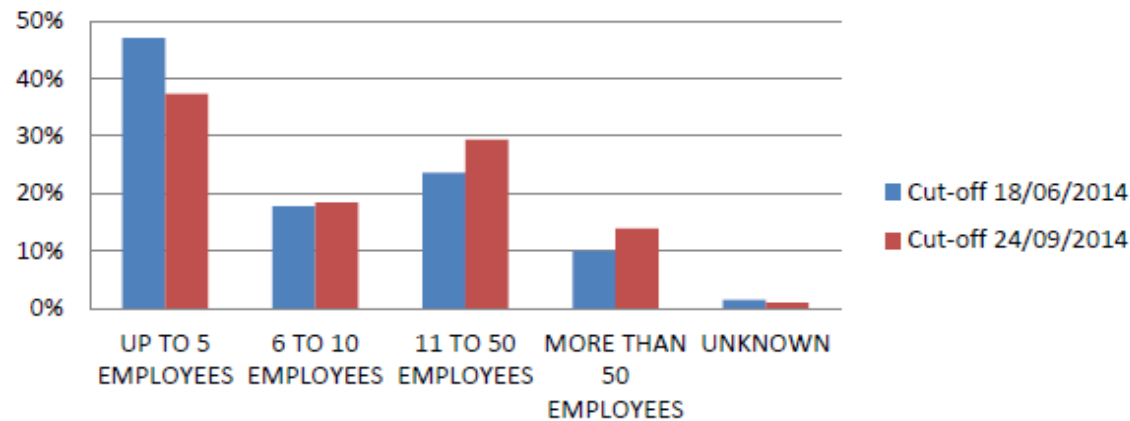
Fase 1: tipologia di azienda finanziata (24/9)

Il 91% delle proposte finanziate (161) provengono da singole aziende.

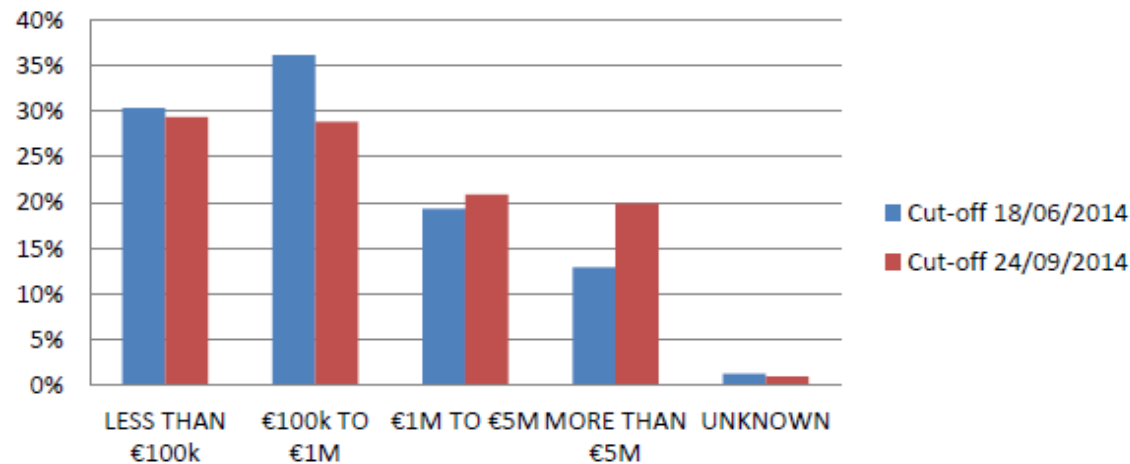


Fase 1: tipologia di azienda finanziata

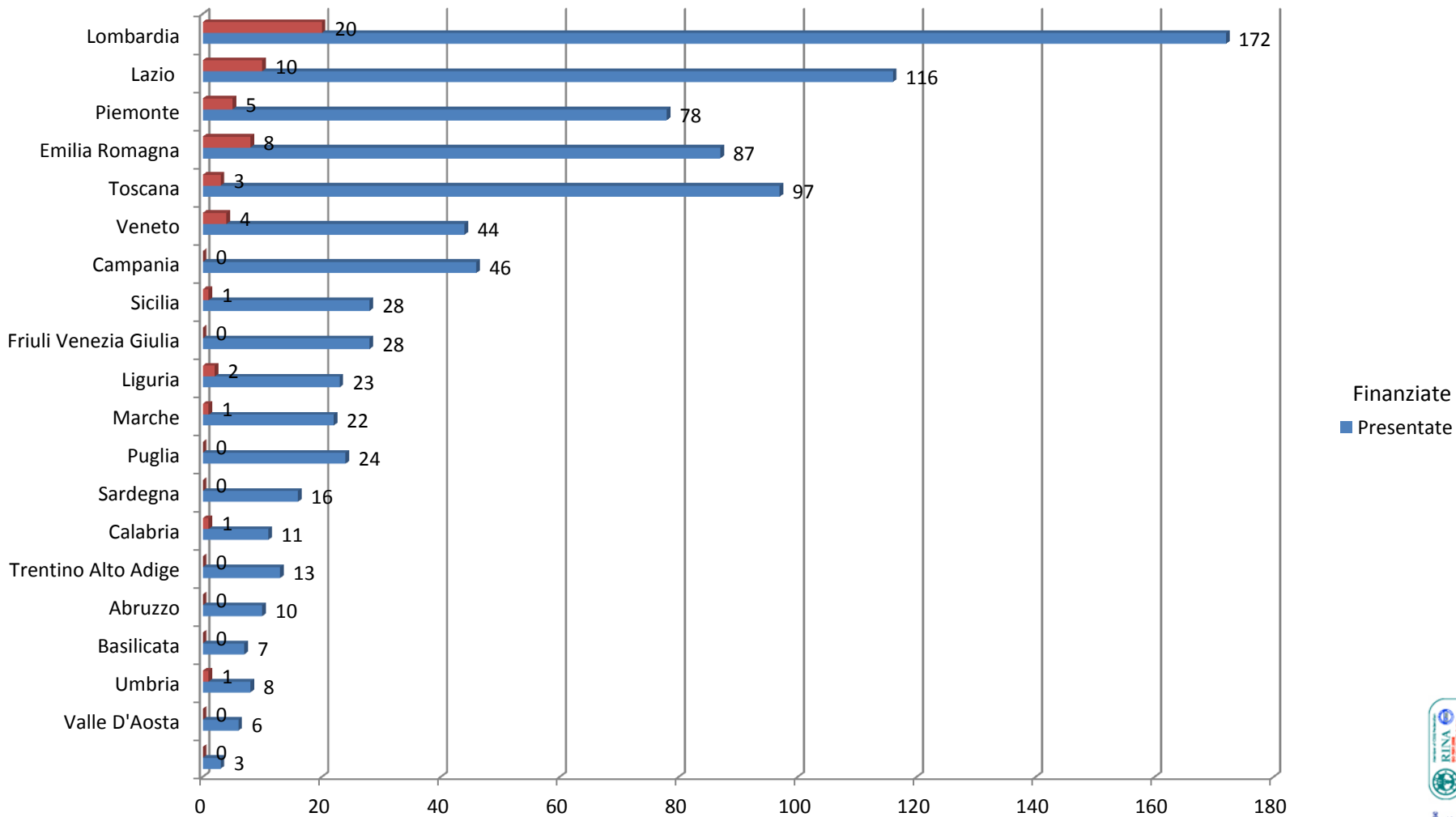
Staff in Phase 1 funded SMEs



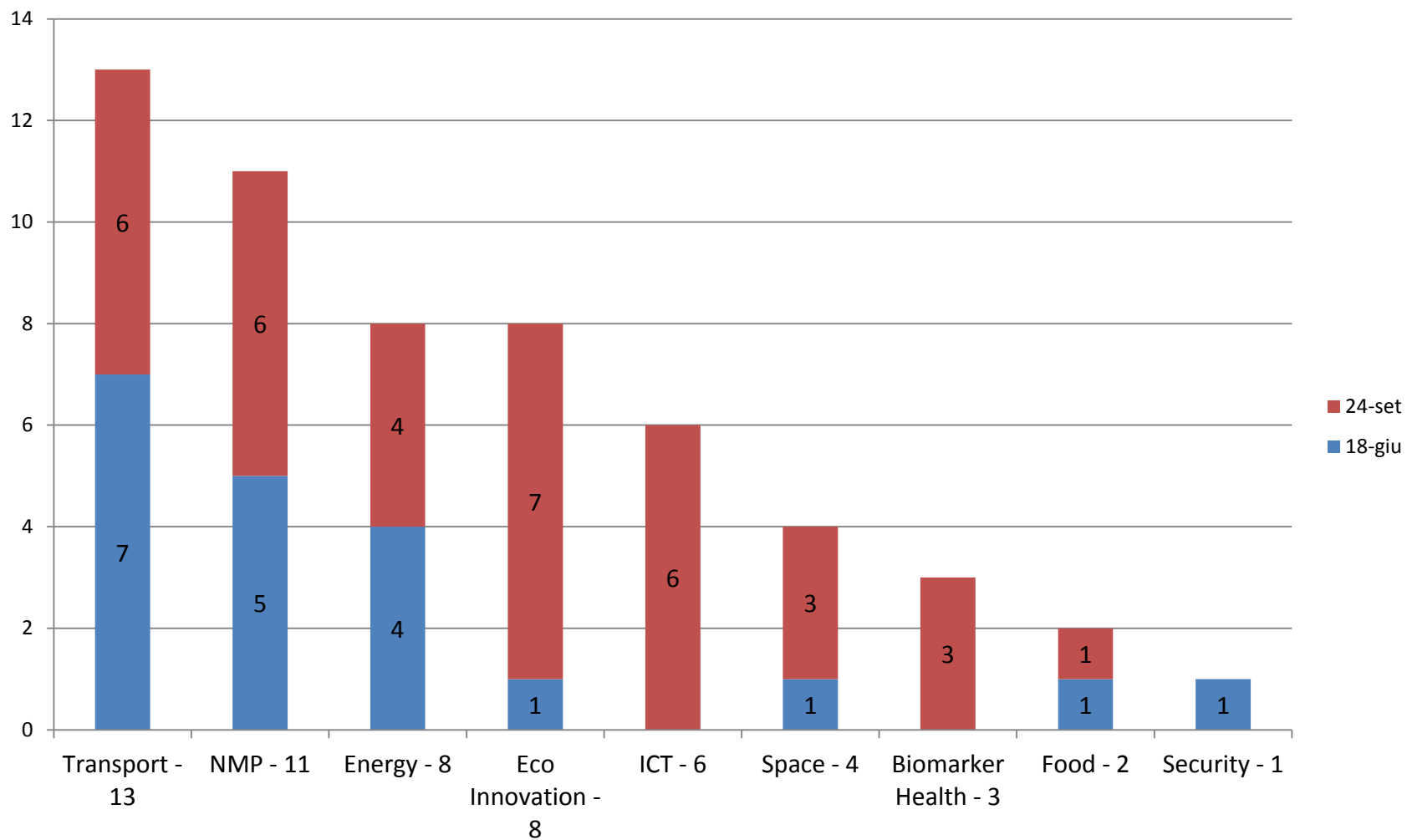
Turnover of Phase 1 funded SMEs



Fase 1: distribuzione regionale



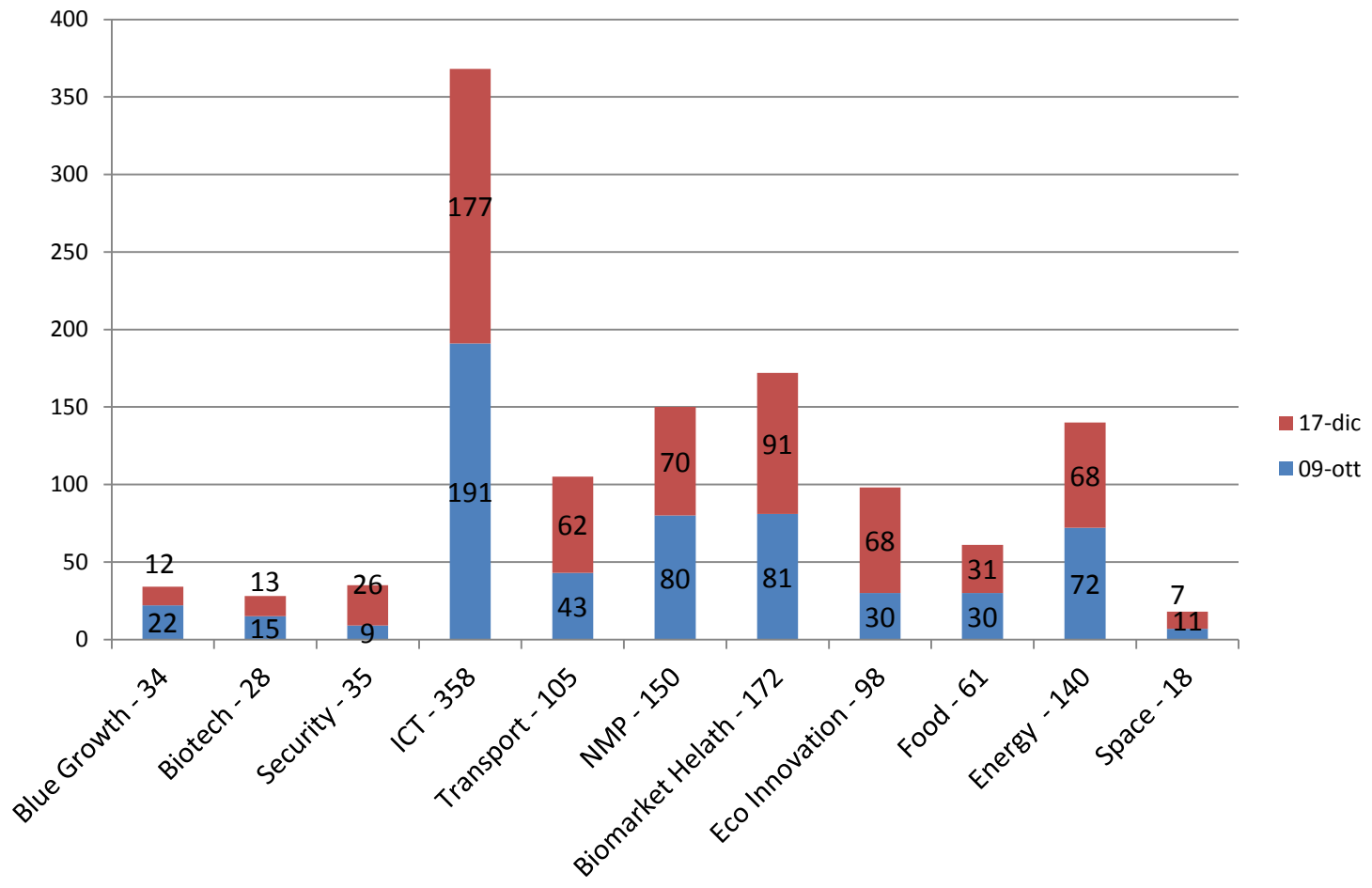
Fase 1: PMI italiane finanziate per topic





Fase 2

Fase 2: proposte presentate per topic (per partner)

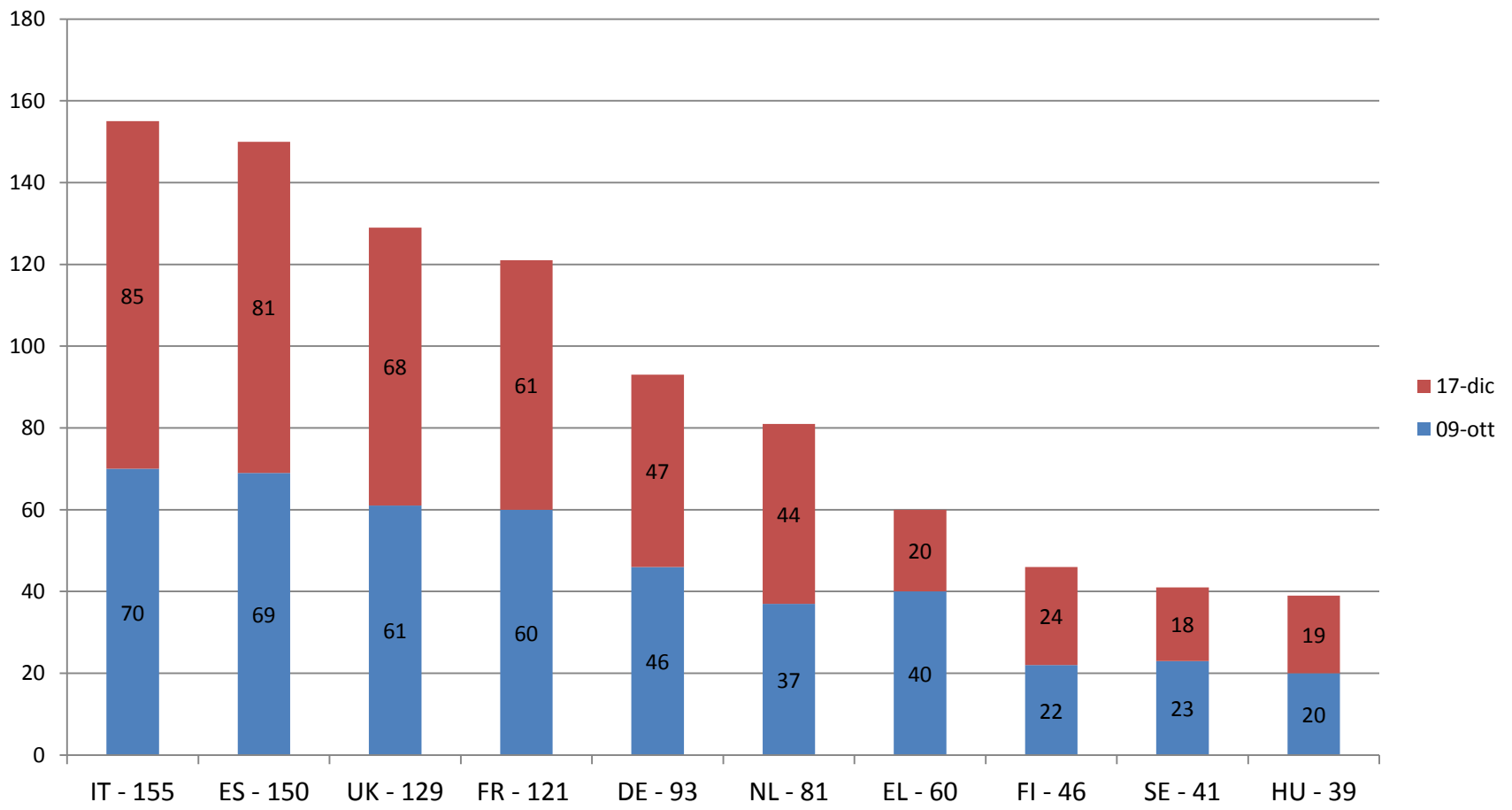




Fase 2: proposte finanziate per topic

Topic	Projects funded under the first cut-off	Budget in EUR for first cut-off	Projects funded under the second cut-off	Budget in EUR for second cut-off
BG-12	1	1.672.000	0	0
Biotec-5	1	1.760.000	1	539.788
IT-1	8	15.782.800	16	21.534.234
NMP-25	6	9.592.000	7	9.950.881
SC-5	4	7.480.000	9	11.542.108
SFS-8	3	4.400.000	4	4.021.264
SIE-1	9	14.938.000	9	16.300.895
SPACE-1	2	3.740.000	2	1.319.618
DRS-17	10	29.084.000	4	4.854.310
PHC-12	1	3.080.000	9	30.049.041
ICT-37	15	19.800.000	13	17.502.938
TOTAL	60	111.328.800	74	117.615.077

Fase 2: proposte presentate per Paese (per partner)





Fase 2: distribuzione budget per Paese (9/10)

Country	Grant requested (€ m.)	Number of SMEs
United Kingdom	17,0	10
France	14,9	9
Netherlands	13,8	10
Spain	13,4	12
Sweden	10,1	6
Germany	9,1	6
Ireland	8,5	4
Italy	3,3	3
Finland	3,0	2
Estonia	2,7	3
Denmark	2,6	2
Hungary	2,4	2
Belgium	2,3	1
Israel	2,0	1
Slovenia	1,6	3
Luxembourg	0,7	1
Poland	0,6	2
Turkey	0,2	1
Total	108,1	78



Fase 2: distribuzione budget per Paese (17/12)

**Horizon 2020 SME Instrument
 Number of beneficiaries and grant requested per country
 Phase 2 - December 2014 cut-off**

Country	Grant requested € m.	Number of SMEs
Spain	€12,97	13
United-Kingdom	€14,55	15
Germany	€13,43	11
Netherlands	€13,77	7
France	€10,79	6
Italy	€7,76	8
Sweden	€7,81	3
Hungary	€3,69	6
Denmark	€4,58	4
Finland	€5,04	4
Ireland	€2,48	1
Israel	€6,26	4
Poland	€1,38	2
Slovenia	€0,51	1
Turkey	€2,10	2
Norway	€1,60	2
Austria	€2,37	2
Greece	€5,65	2
Portugal	€0,92	1
Total	€117,62	94

Tipologia di azienda per fatturato

Turnover in Funded SMEs

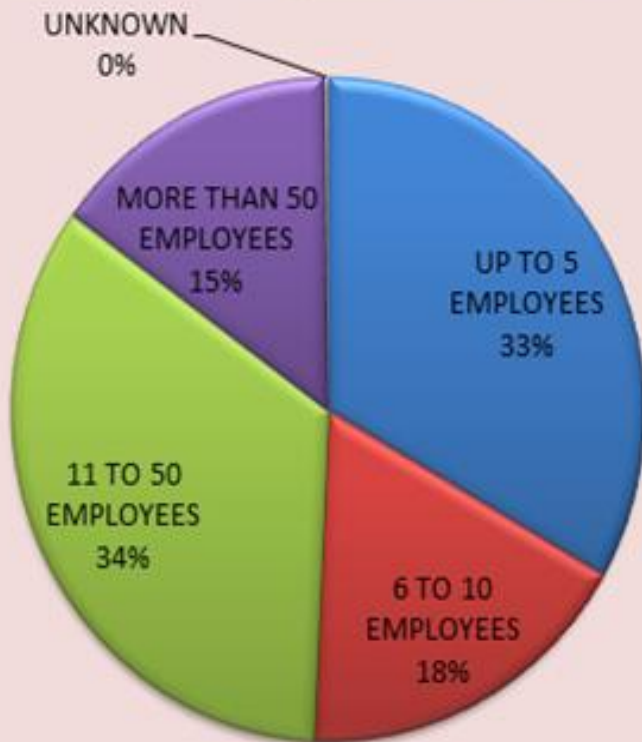


Turnover in Applicant SMEs

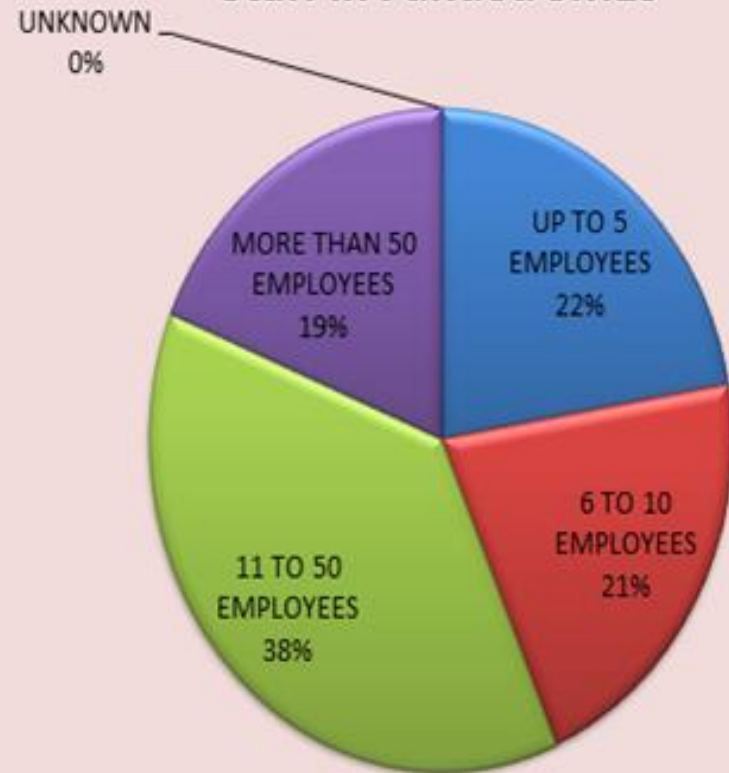


Tipologia di azienda per n. addetti

Staff in Applicant SMEs

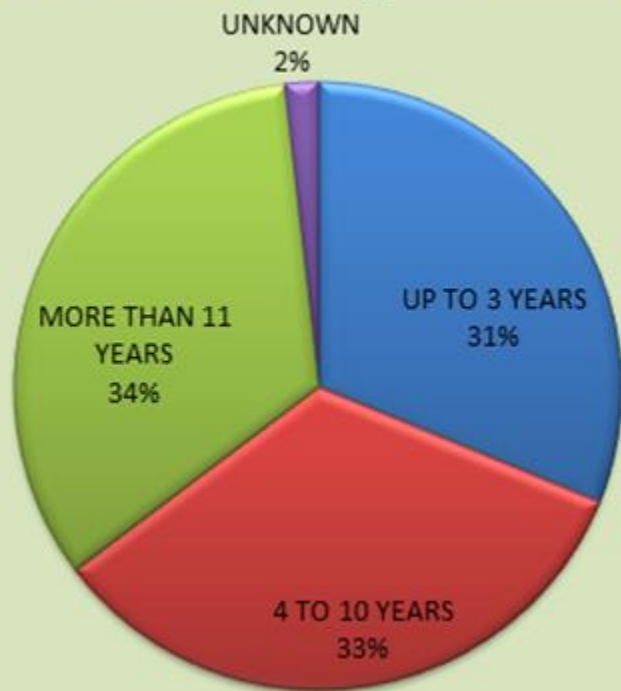


Staff in Funded SMEs

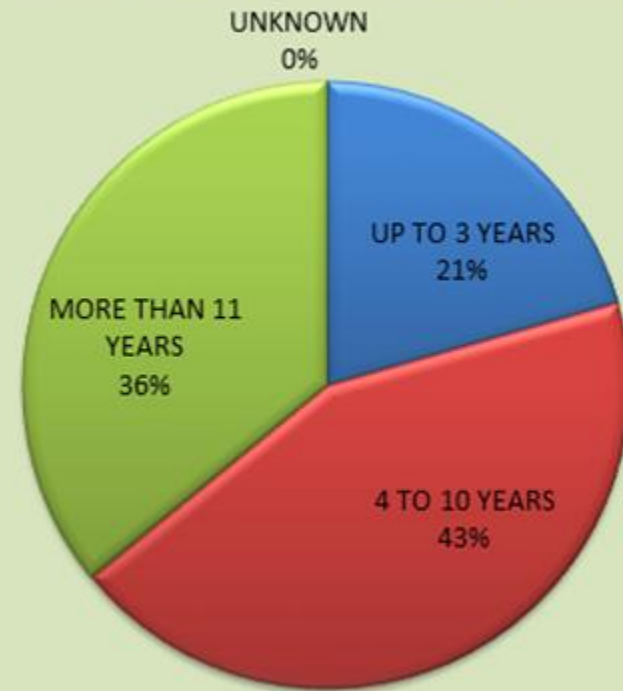


Tipologia di azienda per “maturità”

Years trading of Applicant SMEs



Years Trading of Funded SMEs



Link utili

Horizon 2020

<http://ec.europa.eu/programmes/horizon2020/>

Participant portal

<http://ec.europa.eu/research/participants/portal/desktop/en/home.html>

EASME

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

Fast Track

<http://ec.europa.eu/programmes/horizon2020/en/h2020-section/fast-track-innovation-pilot-2015-2016>

SME TechWeb

<http://sme.cordis.europa.eu/home/index.cfm>

APRE

<http://www.apre.it/>



La Fase 3 e l'Access to risk finance



Il “quality label”

Nessun contributo comunitario ma...

- Dialogo privilegiato con gli intermediari finanziari che offrono strumenti di finanza di rischio
- Dialogo privilegiato con investitori privati
- Link con i Pre Commercial Procurement H2020
- Attività ed eventi EEN



Horizon 2020 e COSME sosterranno congiuntamente gli strumenti finanziari per le PMI

Equity Facility per la crescita delle PMI e R&I

- o **Strumento di Capitale proprio per la Ricerca e l'Innovazione (H2020):** si concentra su fondi che forniscono capitale di rischio a imprese in fase di start-up
- o **Strumento di Capitale proprio per la Crescita (COSME):** si concentra su fondi che forniscono capitale di rischio a imprese in fase di espansione

Strumento di Debito per la crescita delle PMI e R&I

- o **Strumento di garanzia dei prestiti per Crescita (COSME)**
- o **Strumento di garanzia dei prestiti per la Ricerca e l'Innovazione (H2020 - RSI)**



Risk Sharing Instrument – H2020

In Italia:

[Alba Leasing](#)

[Banco Popolare](#)

[Cassa di Risparmio di Cento](#)

[Credem](#)

[Gruppo Credito Valtellinese](#)

[ICCREA](#)

[DeutscheBank](#)



http://www.eif.org/what_we_do/guarantees/RSI/



Il portale informativo è unico:

www.access2finance.eu

programmes

► Access to finance

Exchanges for
young
entrepreneurs

Access to EU finance

This site will help you to apply for finance supported by the European Union. To access EU finance, click on your country to locate banks or venture capital funds that provide finance supported by the EU:

Select a country



How it works

More information

EU grants, funds and programmes (calls for proposals)



Help & advice

News

10/02/2014 - [UK: First Progress Microfinance agreement with internet lender Ezob](#)

22/01/2014 - [Call for proposals - Enterprise Europe Network \(2015-2020\)](#)

11/12/2013 - [First Horizon 2020 calls for projects published](#)

Related topics

For enterprises & entrepreneurs

- + Start-ups
- + Public contracts - Rules & procedures

Questions about the EU?

+00 800 6 7 8 9 10 11

- E-mail

- Europe Direct centres

- Web chat

Link utili

COSME

http://ec.europa.eu/enterprise/initiatives/cosme/index_en.htm

EASME

http://ec.europa.eu/enterprise/initiatives/cosme/index_en.htm

APRE

<http://www.apre.it/le-pmi-in-europa/>

A2F H2020

http://ec.europa.eu/research/participants/portal/doc/call/h2020/common/1587761-06_accesstoriskfinance_wp2014-2015_en.pdf

A2F COSME

http://ec.europa.eu/enterprise/initiatives/cosme/access-to-finance-smes/index_en.htm

EEN

<http://een.ec.europa.eu/>

Access Eu Finance

http://europa.eu/youreurope/business/funding-grants/access-to-finance/index_it.htm

GRAZIE PER L'ATTENZIONE!

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