

Horizon 2020 per l'Innovazione:

Le opportunità per le PMI

Lucca, 25 maggio 2016

Valentina Fioroni

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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?]



www.apre.it





Servizi APRE

Informazione

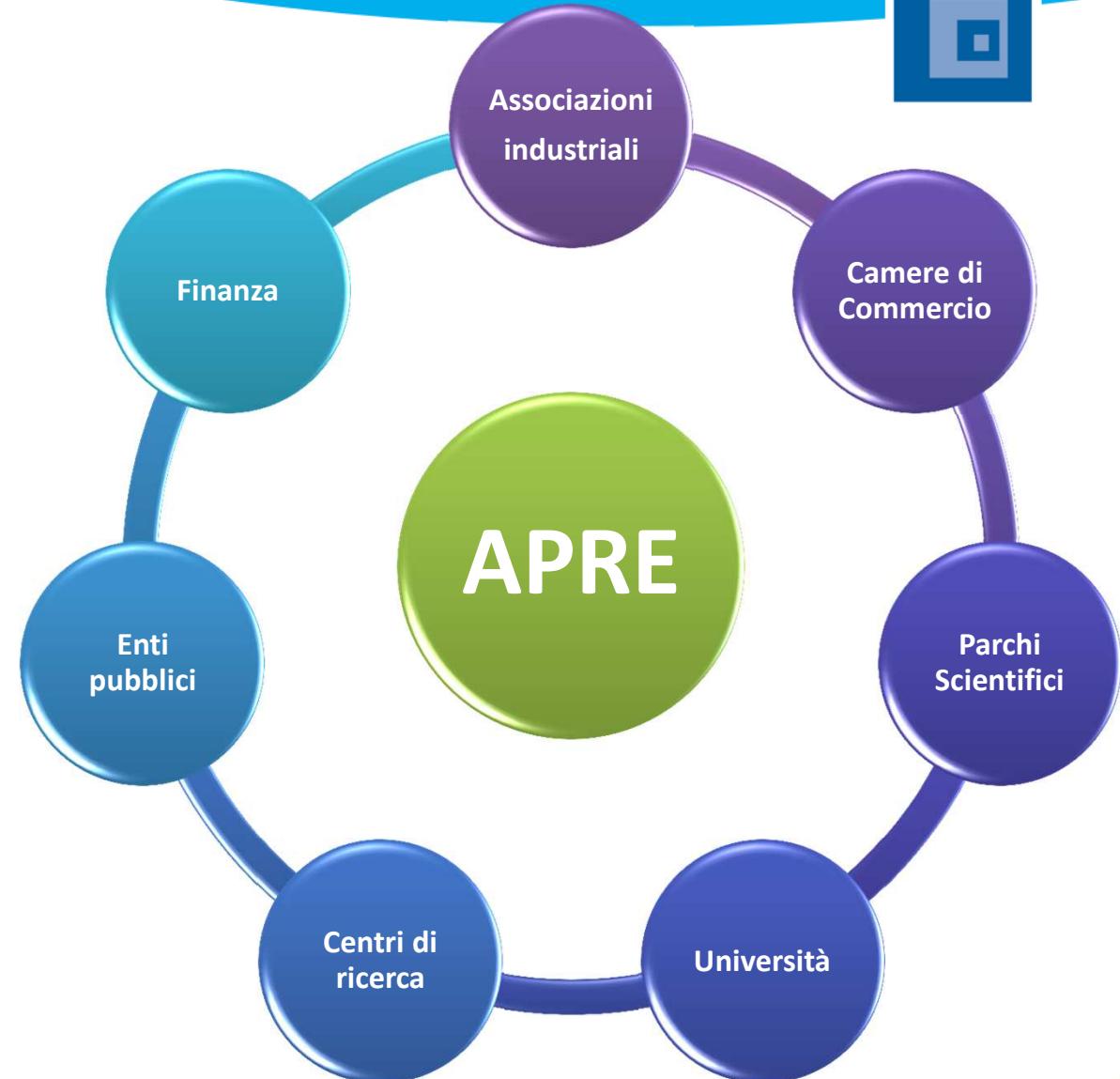
Assistenza

Formazione



www.apre.it

Una rete di oltre
116 Soci



[INTERLOCUTORI]



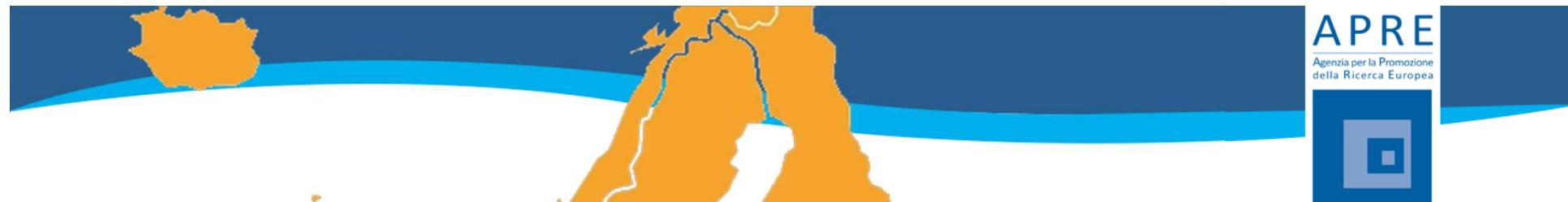
Basilicata
Calabria
Campania
Emilia Romagna
Friuli Venezia Giulia (Trieste)
Friuli Venezia Giulia (Udine)
Lombardia
Liguria
Marche
Molise
Piemonte
Puglia
Sardegna
Sicilia
Sportello dello stretto
(R.Calabria - Messina)
Toscana
Umbria
Veneto

**Rafforzare la cooperazione a livello
locale**



**Fornire servizi mirati ai bisogni
e alle vocazioni locali**

[SPORTELLI REGIONALI APRE]





Horizon 2020

IL NUOVO PROGRAMMA QUADRO DI
FINANZIAMENTO PER LA RICERCA E
L'INNOVAZIONE



www.apre.it

HORIZON 2020



2007 - 2013

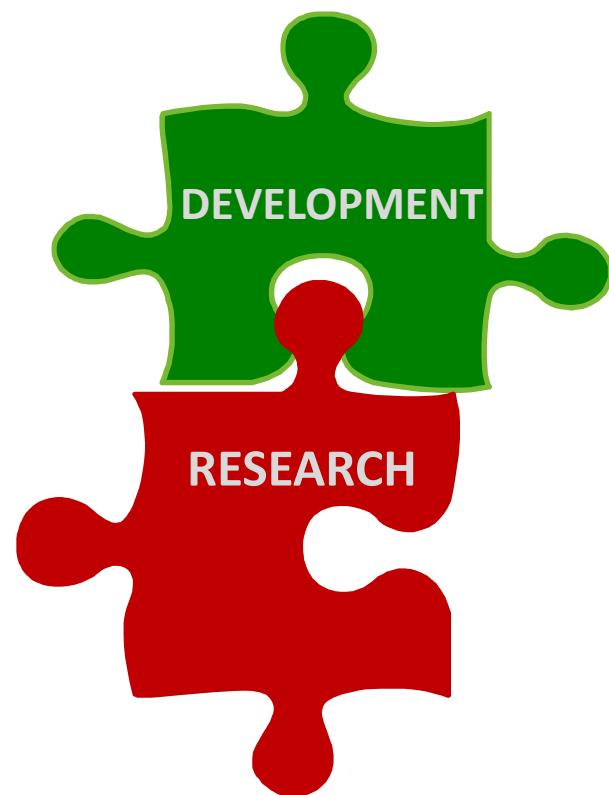


2014 - 2020



www.apre.it





EUROPA 2020 - Una strategia per una crescita intelligente, sostenibile ed inclusiva

crescita intelligente: sviluppare un'economia basata sulla conoscenza e sull'innovazione

crescita sostenibile: promuovere un'economia più efficiente sotto il profilo delle risorse, più verde, più competitiva

crescita inclusiva: promuovere un'economia con un alto tasso di occupazione che favorisca la coesione sociale e territoriale

Europa 2020 - 5 obiettivi

OCCUPAZIONE

innalzamento al 75% del tasso di occupazione (età 20-64)

R & INNOVAZIONE

3% del PIL dei Paesi EU investito in R&D

CLIMA / ENERGIA

Riduzione delle emissioni di gas serra del 20%

20% del fabbisogno di energia ricavato da fonti rinnovabili

Aumento del 20% dell'efficienza energetica

ISTRUZIONE

Riduzione tasso di abbandono scolastico precoce al di sotto del 10 %

Aumento al 40% dei giovani tra 30 e 34 anni con un'istruzione universitaria

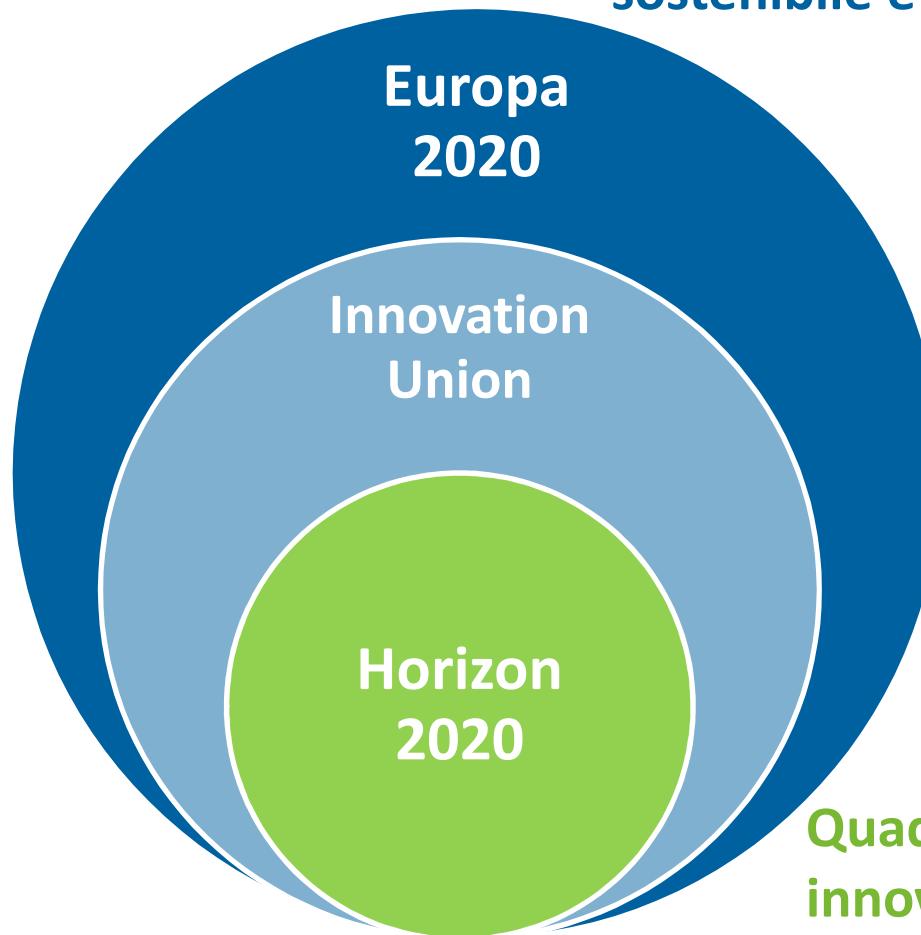
POVERTÀ'

almeno 20 milioni di persone in meno a rischio o in situazione di povertà ed emarginazione

Le 7 “Flagship Initiatives”

Smart Growth	Sustainable Growth	Inclusive Growth
Innovation « <u>Innovation Union</u> »	Climate, energy and mobility « Resource efficient Europe »	Employment and skills « An agenda for new skills and jobs »
Education « Youth on the move »	Competitiveness « An industrial policy for the globalisation era »	Fighting poverty « European platform against poverty »
Digital society « A digital agenda for Europe »		

**Strategia per una crescita intelligente,
sostenibile e inclusiva**



Iniziativa faro di sostegno alla
ricerca e all'innovazione

**Quadro strategico comune su ricerca e
innovazione (2014- 2020)**

Accordo sul Budget



**70,2 Miliardi di € - prezzi costanti
(incluso EURATOM)**

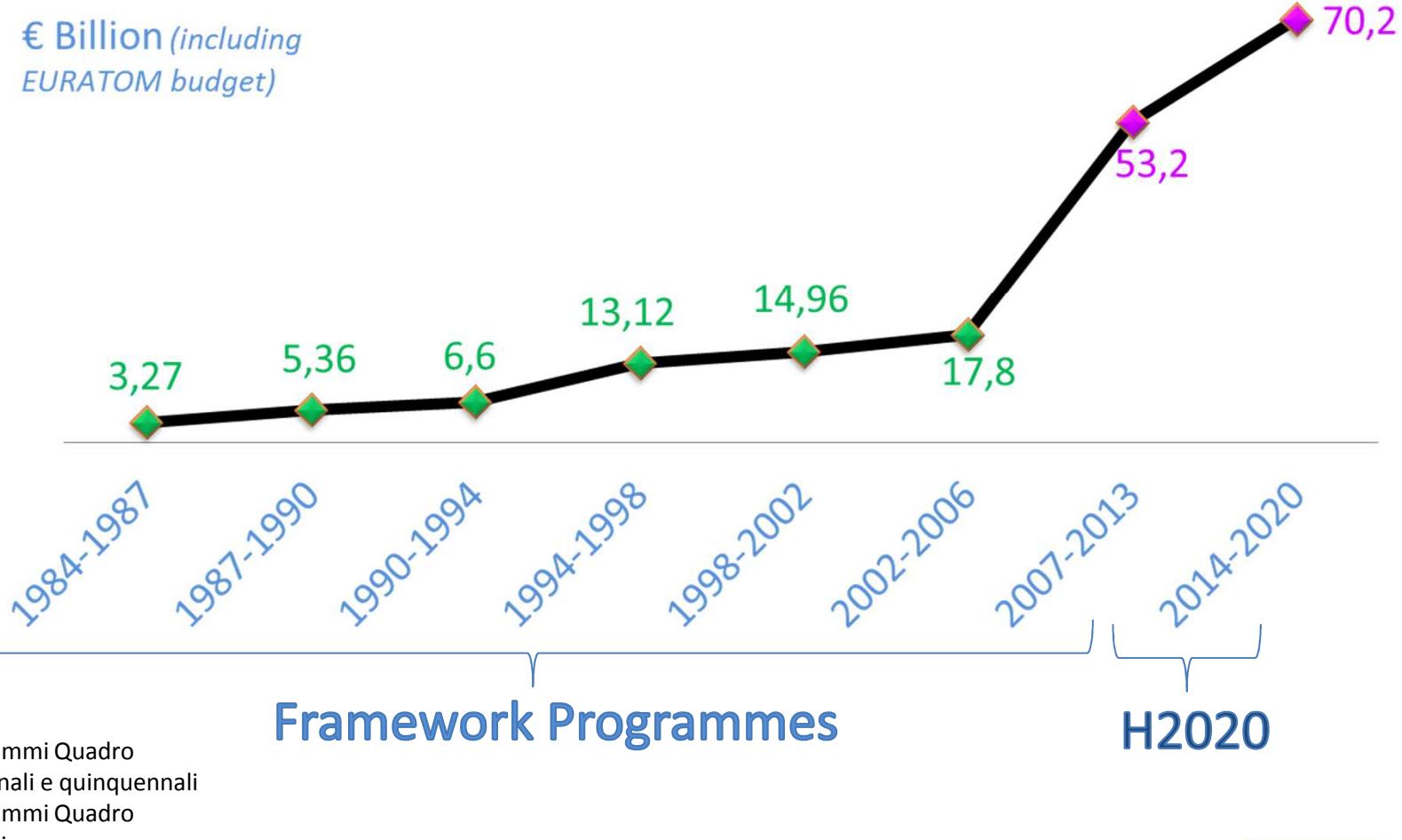
78,6 Miliardi di € - prezzi correnti

Quadro finanziario pluriennale
2014/2020 - MFF

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14

Budget da FP1 a Horizon 2020



■ Programmi Quadriennali e Quinquennali
■ Programmi Quadriennali Settennali.

Le opportunità per le Piccole e Medie Imprese in Horizon 2020: Lo Strumento PMI



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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

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Approccio integrato in H2020

**20 %
budget
LEIT + SC**

**LEIT:
'Innovation
in SMEs'**

**Progetti collaborativi
13%**

**Strumento PMI
7%**

**Eurostars II
Enhancing Innovation Capacity
Market-driven Innovation**

Access to Risk Finance

Definizione di PMI

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

- Impegnata in una attività economica
- < 250 addetti
- Fatturato annuo di ≤ € 50 Milioni oppure un bilancio totale di ≤ € 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



Lo Strumento PMI in H2020

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 finanziamento
- 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'





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 *



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*

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Fase 1: concetto e valutazione della fattibilità

Input:

Idea/Concept in "**Business Plan I**" (~ 10 pages)



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.)



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

Coaching

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)

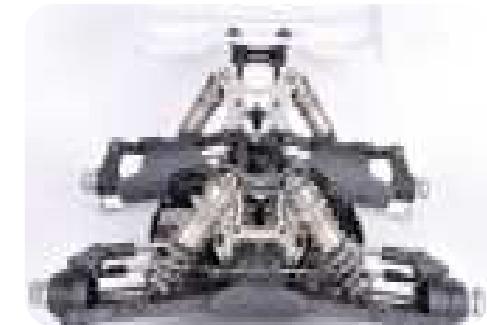
No direct funding

Fase 1 – Esempi di attività

- Feasibility of industrial scale-up
- Go to market strategy and 3-5 years Business Plan
- Product design for xxx application
- Market analysis and customers' survey
- Strategy for the commercialization/Development of an operational plan
- Economic statements
- Operational capacity analysis
- Technical assessment
- Partner search
- Organisational/network /financial feasibility

...

Fase 2 – Esempi di attività



- Project management and coordination
- Dissemination & Exploitation/Commercialization Plan and communication
- Design, building and integration in industrial production/engineering
- Testing and validation
- Performance validation and xxx compliance/Certification
- Specifications and design of Hardware / software
- Optimization and industrial application
- Analysis of developed solution pre commercial strategy

...

Le scadenze SME Instrument 2016-2017

2016	
<u>Fase 1</u>	<u>Fase 2</u>
24/02/2016	03/02/2016
03/05/2016	14/04/2016
07/09/2016	15/06/2016
09/11/2016	13/10/2016
2017	
<u>Fase 1</u>	<u>Fase 2</u>
15/02/2017	18/01/2017
03/05/2017	06/04/2017
06/09/2017	01/06/2017
08/11/2017	18/10/2017



Lo Strumento PMI e l'approccio

PREVALENTEMENTE BOTTOM-UP...



TOPIC	BUDGET €	FUNDING RATE FASE 2
SMEInst-01-2016-2017 Open Disruptive Innovation Scheme	€ 60 million 2016 € 66 million 2017	70%
SMEInst-02-2016-2017 Accelerating the uptake of nanotechnologies advanced materials or advanced manufacturing and processing technologies by SMEs	€ 31,83 million 2016 € 35,32 million 2017	70%
SMEInst-03-2016-2017 Dedicated support to biotechnology SMEs closing the gap from lab to market	€ 7,50 million 2016 € 7,50 million 2017	70%
SMEInst-04-2016-2017 Engaging SMEs in space research and development	€ 11,37 million 2016 € 12,60 million 2017	70%
SMEInst-05-2016-2017 Supporting innovative SMEs in the healthcare biotechnology sector	€ 35 million 2016 € 45 million 2017	100%
SMEInst-06-2016-2017 Accelerating market introduction of ICT solutions for Health, Well-Being and Ageing Well	€ 18 million 2016 € 12,50 million 2017	70%

SMEInst-07-2016-2017 Stimulating the innovation potential of SMEs for sustainable and competitive agriculture, forestry, agri-food and bio-based sectors	€ 25,81 million 2016 € 32,54 million 2017	70%
SMEInst-08-2016-2017 Supporting SMEs efforts for the development - deployment and market replication of innovative solutions for blue growth	€ 9,50 million 2016 € 10 million 2017	70%
SMEInst-09-2016-2017 Stimulating the innovation potential of SMEs for a low carbon and efficient energy system	€ 46 million 2016 € 50 million 2017	70%
SMEInst-10-2016-2017 Small business innovation research for Transport and Smart Cities Mobility	€ 57,57 million 2016 € 61,23 million 2017	70%
SMEInst-11-2016-2017 Boosting the potential of small businesses in the areas of climate action, environment, resource efficiency and raw materials	€ 25 million 2016 € 27,50 million 2017	70%
SMEInst-12-2016-2017 New business models for inclusive, innovative and reflective societies	€ 10,80 million 2016 € 11,40 million 2017	70%
SMEInst-13-2016-2017 Engaging SMEs in security research and development	€ 15,37 million 2016 € 14,67 million 2017	70%



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

Punteggio massimo: 15/15

- **Soglia minima complessiva:**
 - Strumento PMI Fase 1 = 13/15
 - Strumento PMI Fase 2 = 12/15
- **Soglie minime individuali:**
 - Strumento PMI Fase 1 = 4/5 su ogni criterio
 - Strumento PMI Fase 2 = 4/5 sull'Impatto
 - impact criterion weighted by factor of 1.5
 - Impact considered first when scores equal



CRITERI DI SELEZIONE E ATTRIBUZIONE (Art. 15)

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

www.apre.it



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)



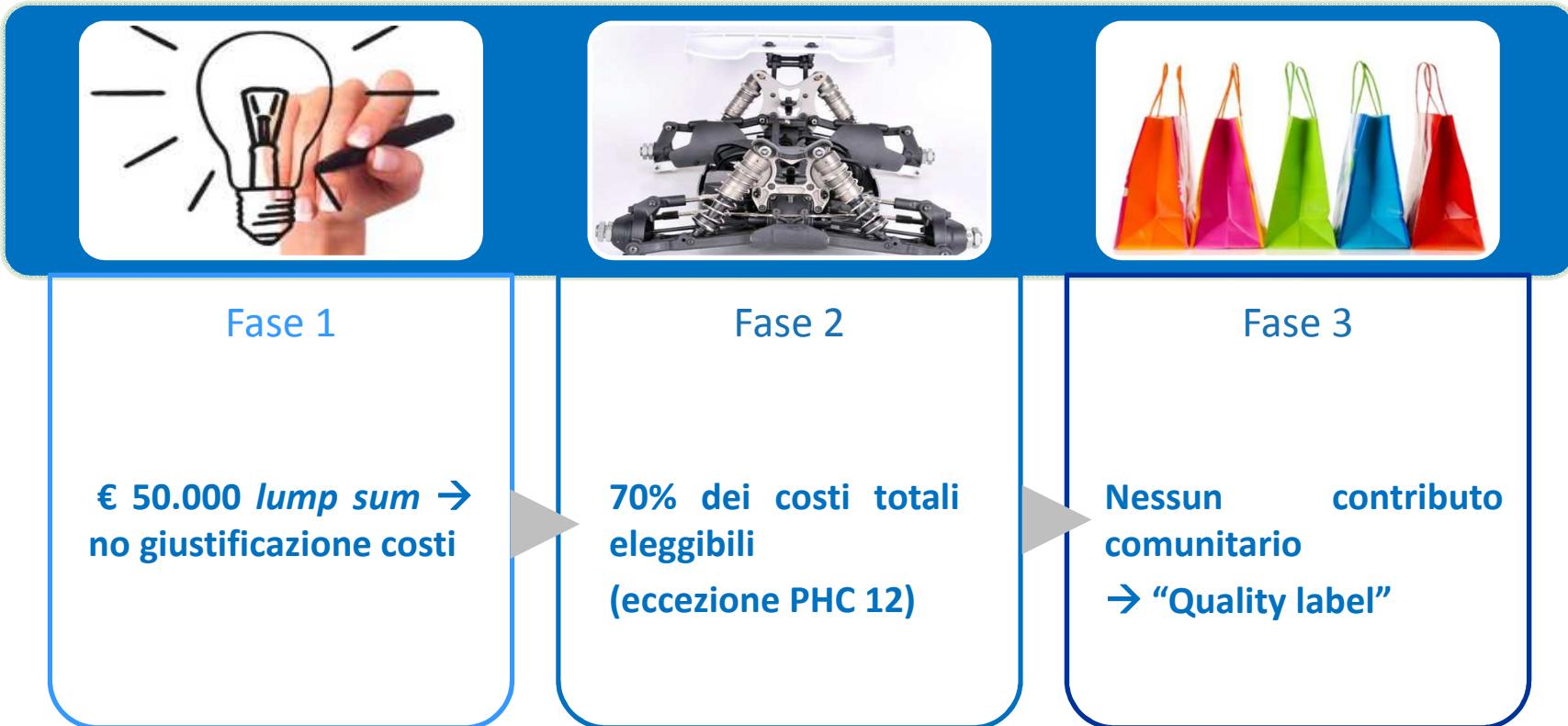


REGOLE DI FINANZIAMENTO





Tassi di finanziamento



CERTIFICATE ON FINANCIAL STATEMENT (Art. 34)

ALLA FINE DEL PROGETTO,
PER **CONTRIBUTI UE ≥**
325.000€



EX POST AUDITS

ENTRO **DUE ANNI** DAL
PAGAMENTO FINALE

TIME TO GRANT (art.20)

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

REDRESS



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

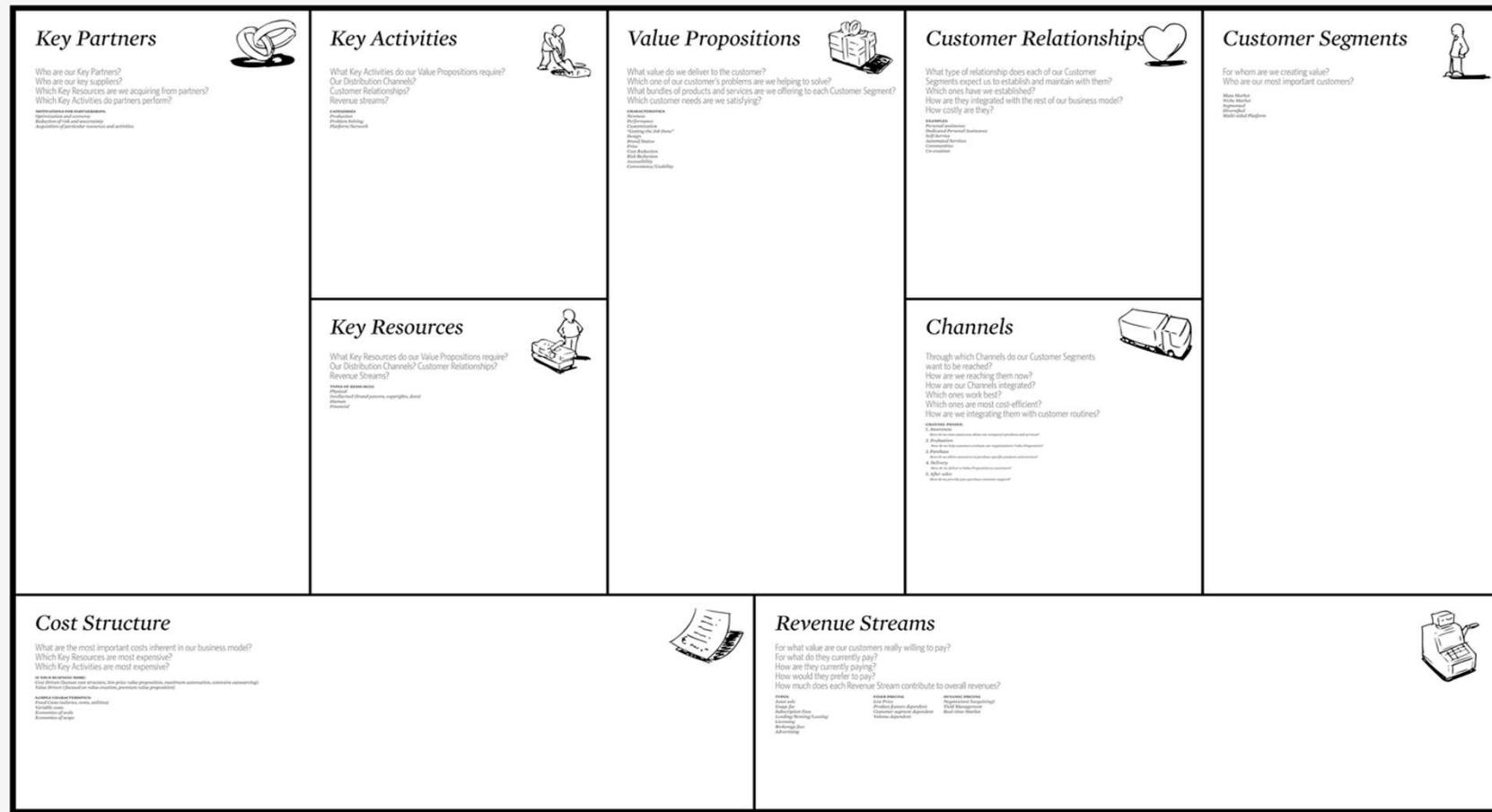
- Too much focused on the project and **not enough on the business opportunity**
- Not convincing when **describing the company** (you have to explain why **your company** will succeed and not your competitor)
- Not providing enough information on **competing solutions**
- Having a too **low level of 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!)



Uno strumento utile

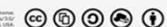
Business Model Canvas Alexander Osterwalder

The Business Model Canvas



www.businessmodelgeneration.com

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To view a copy of this license, visit <http://creativecommons.org/licenses/by-sa/3.0/>
or send a letter to Creative Commons, 171 Second Street, Suite 300, San Francisco, California, 94103, USA.



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 Ezboh](#)

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 EIB?

- 00 800 6 7 8 9 10 11
- E-mail
- Europe Direct centres
- Web chat



Uno Strumento fortemente competitivo

L'ANALISI DELLE PROPOSTE



Un po' di numeri nel 2014-2015

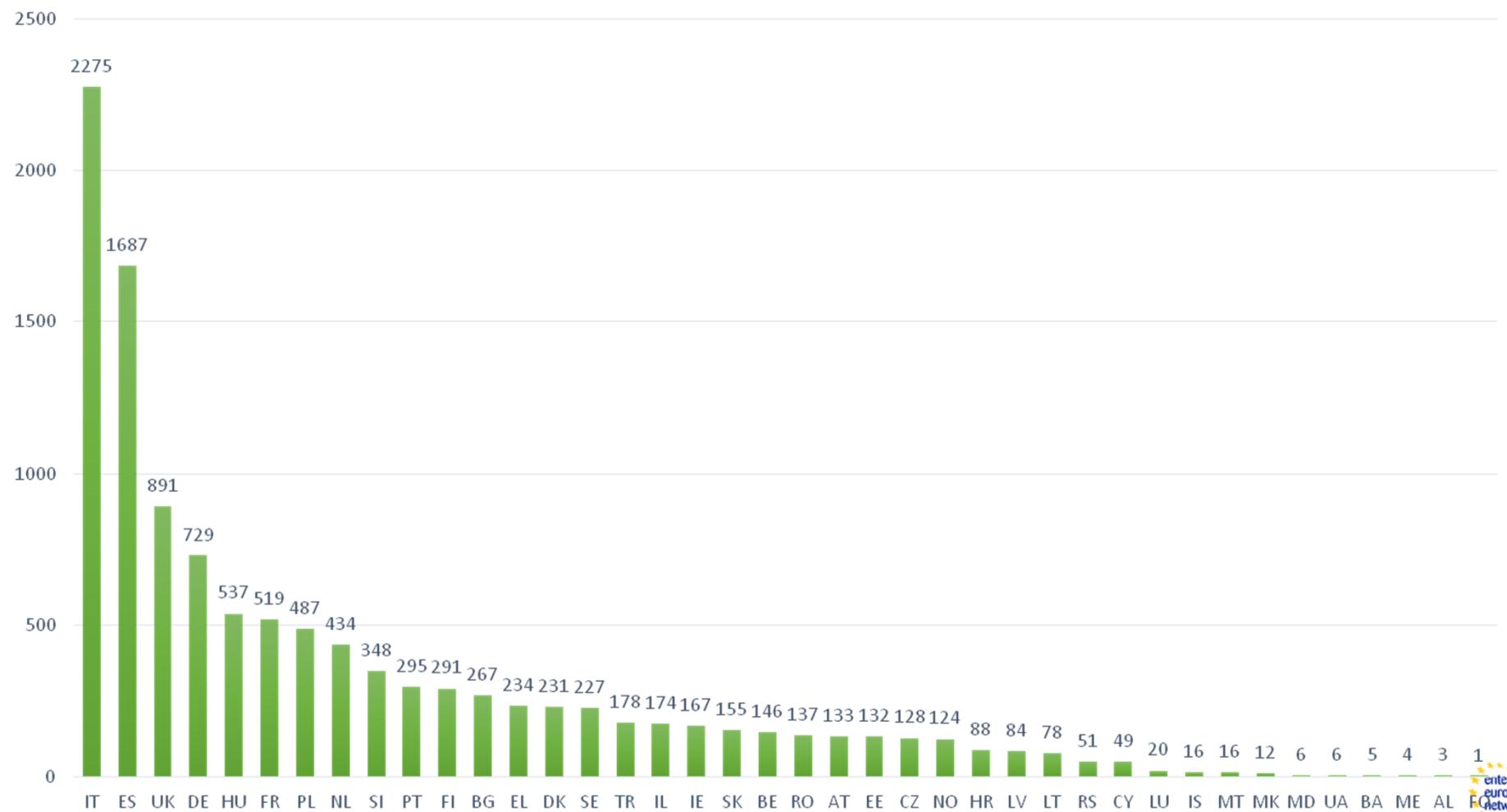
	Phase 1	Phase 2
Proposte ricevute	14.485	4.835
Proposte finanziate	1.166 (8.0%)	278 (5.7%)
Budget	€ 58.300.000	€ 468.715.437
Monobeneficiari	≈ 93%	≈ 80%



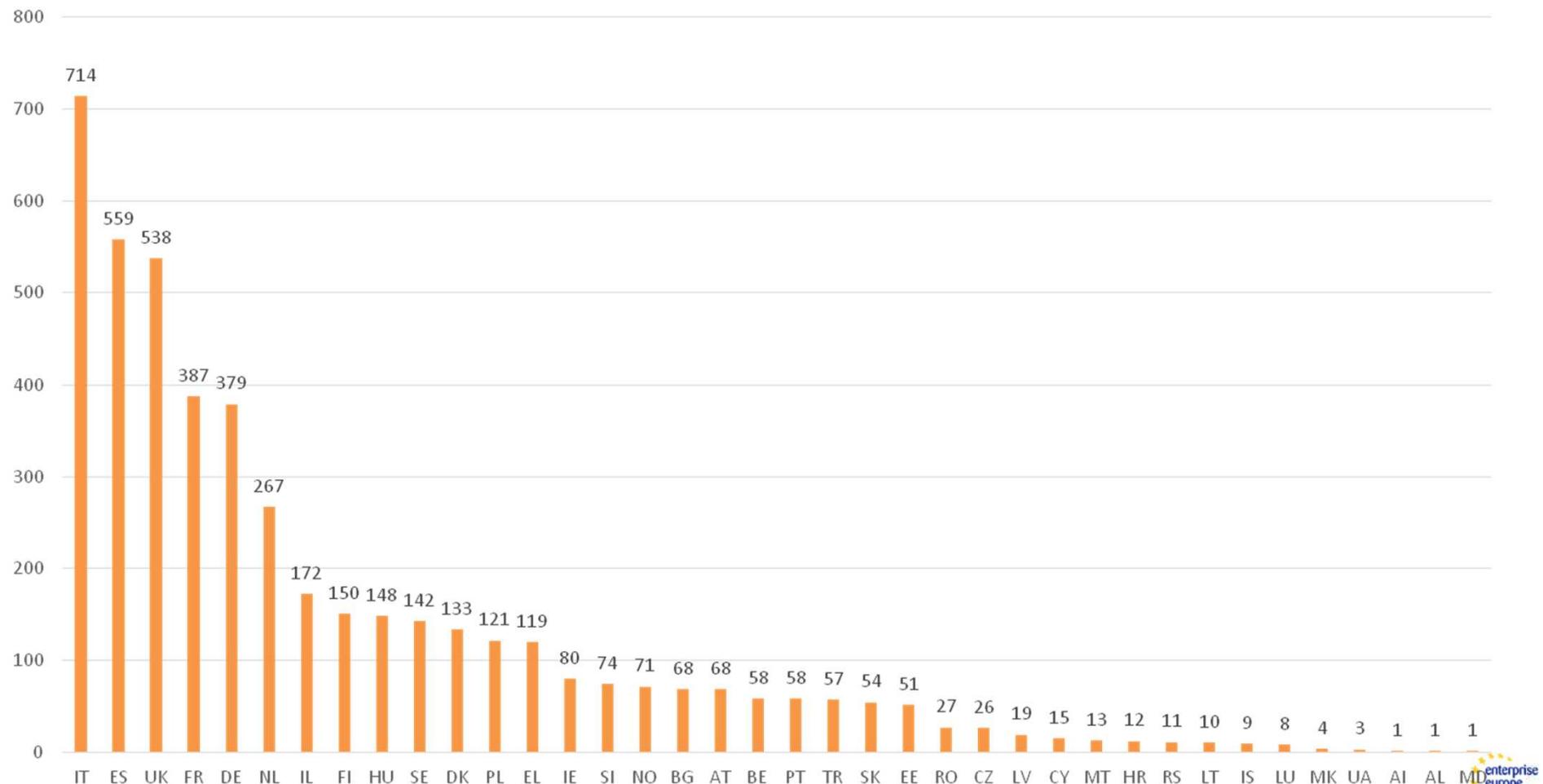
Submitted Proposals per Country

Phase 1 (2014-2015*)

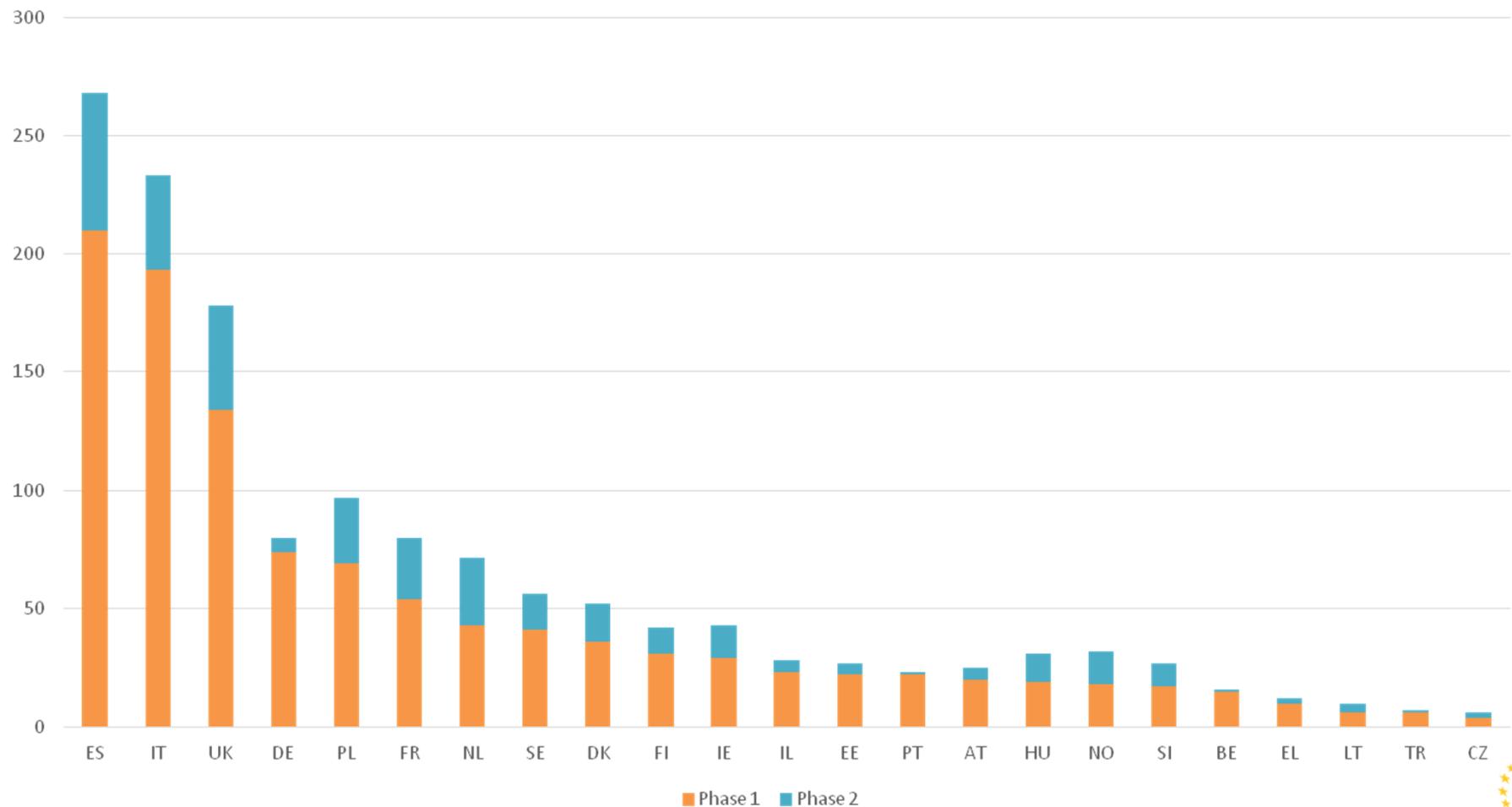
*Except 3rd cut-off September 2015



Proposal Submitted by Country Phase 2 (2014-2015)



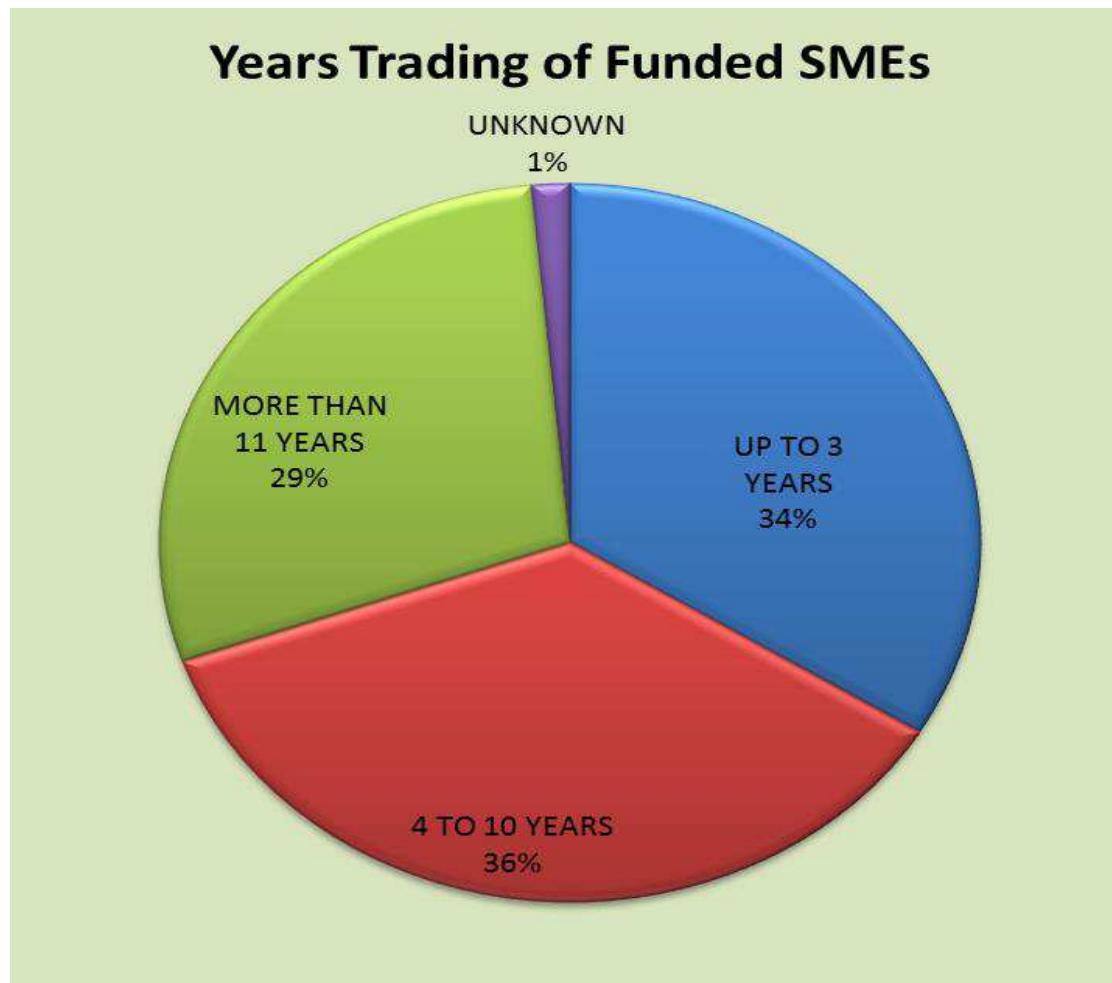
Projects Funded per Country (2014-2015)



■ Phase 1 ■ Phase 2

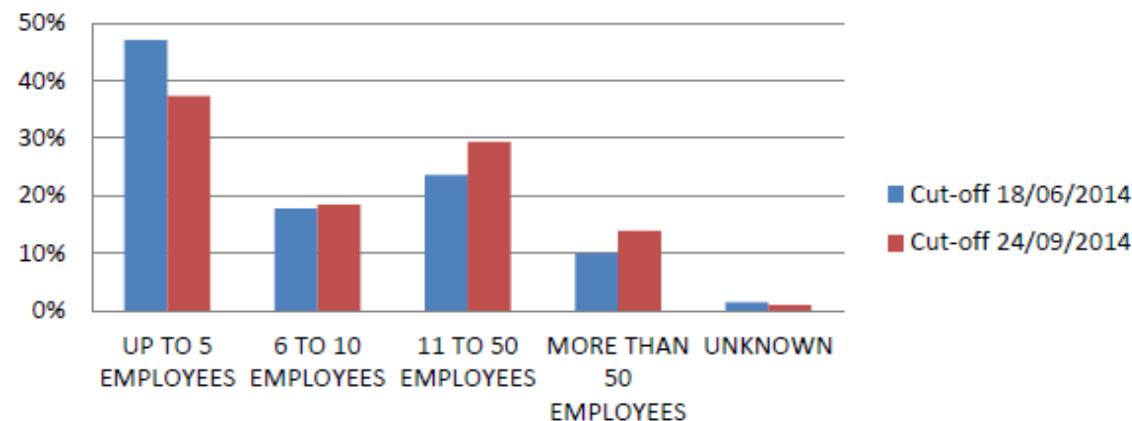
Fase 1: tipologia di azienda finanziata

Il 90% delle proposte finanziate provengono da singole aziende.

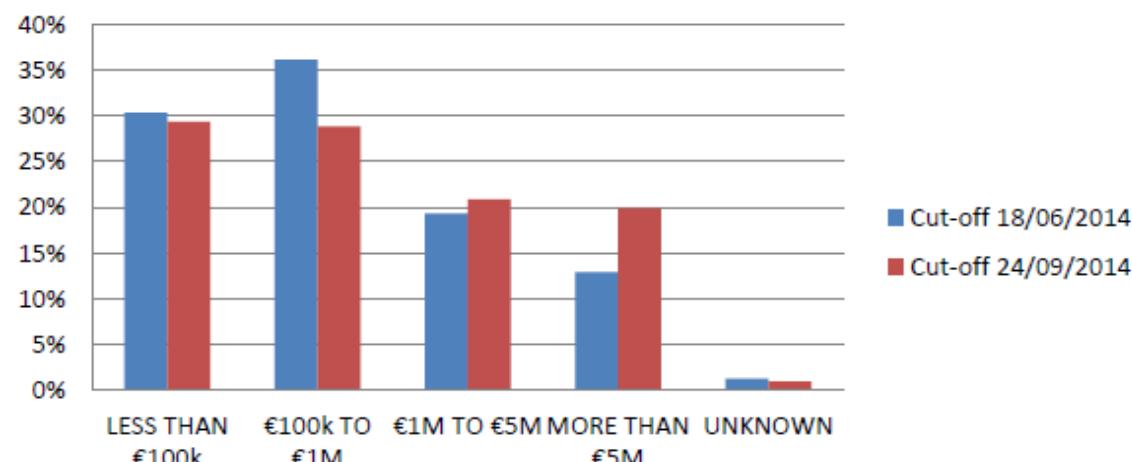


Fase 1: tipologia di azienda finanziata

Staff in Phase 1 funded SMEs



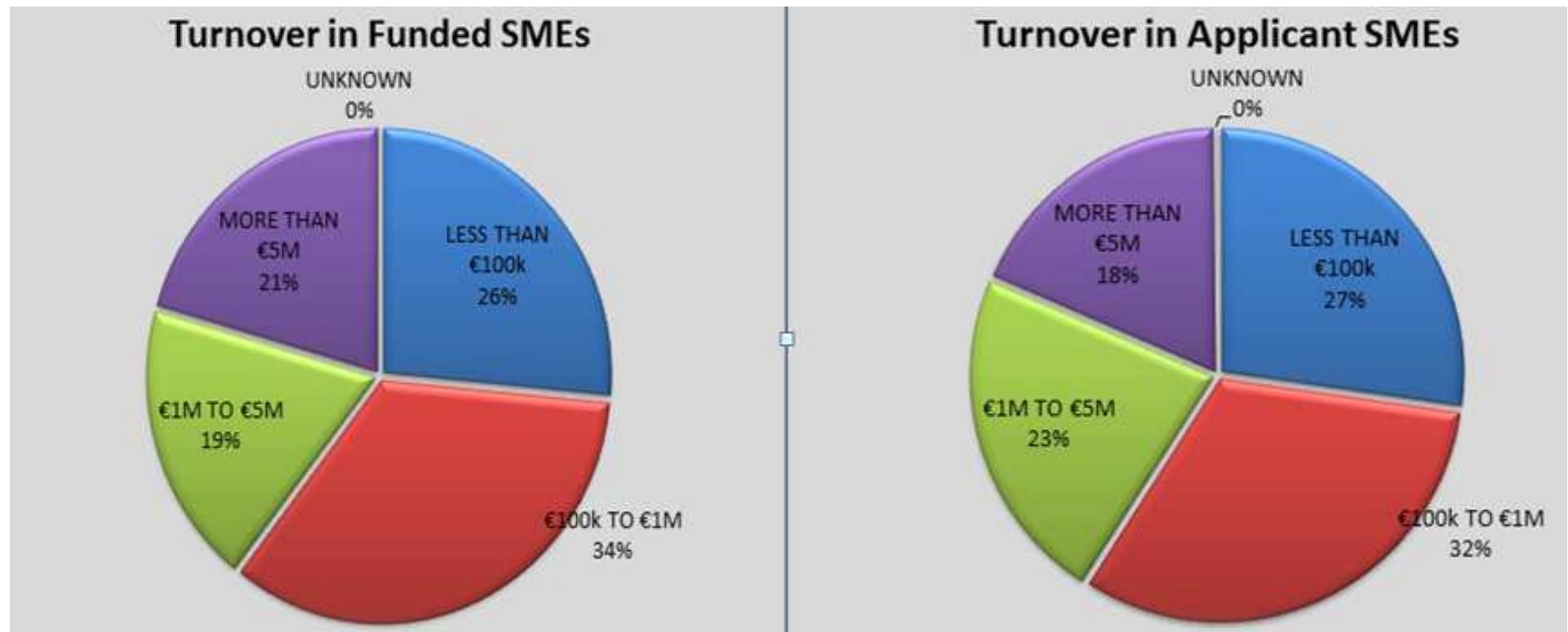
Turnover of Phase 1 funded SMEs





Fase 2

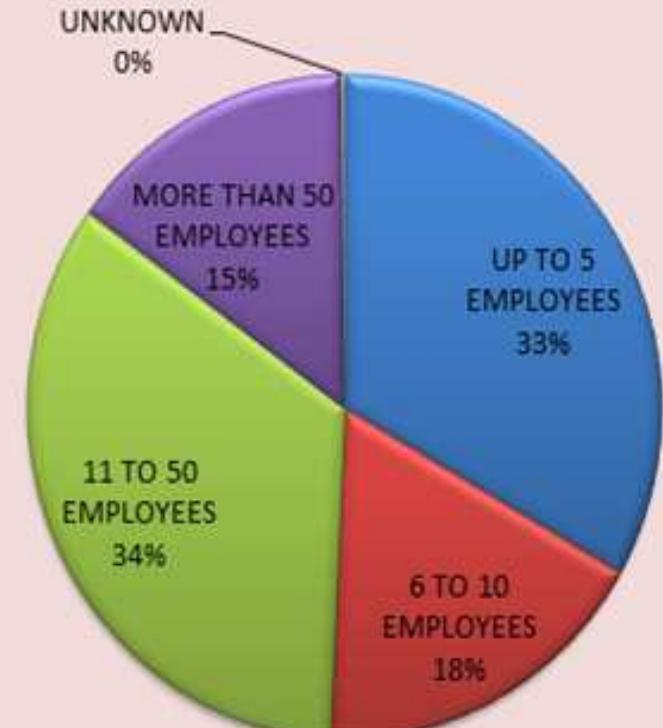
Tipologia di azienda per fatturato



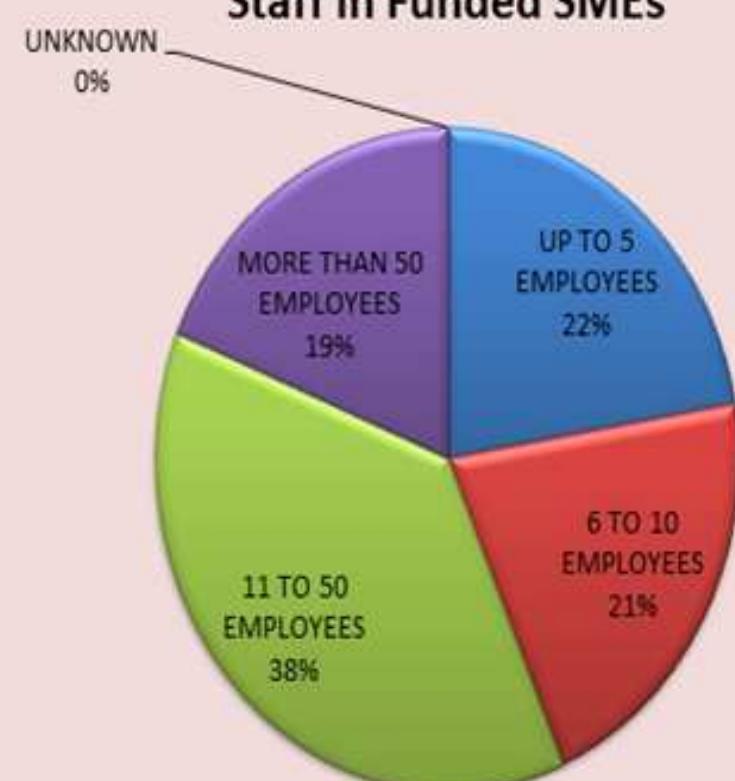


Tipologia di azienda per n. addetti

Staff in Applicant SMEs



Staff in Funded SMEs



Tipologia di azienda per “maturità”





L'analisi delle proposte finanziate

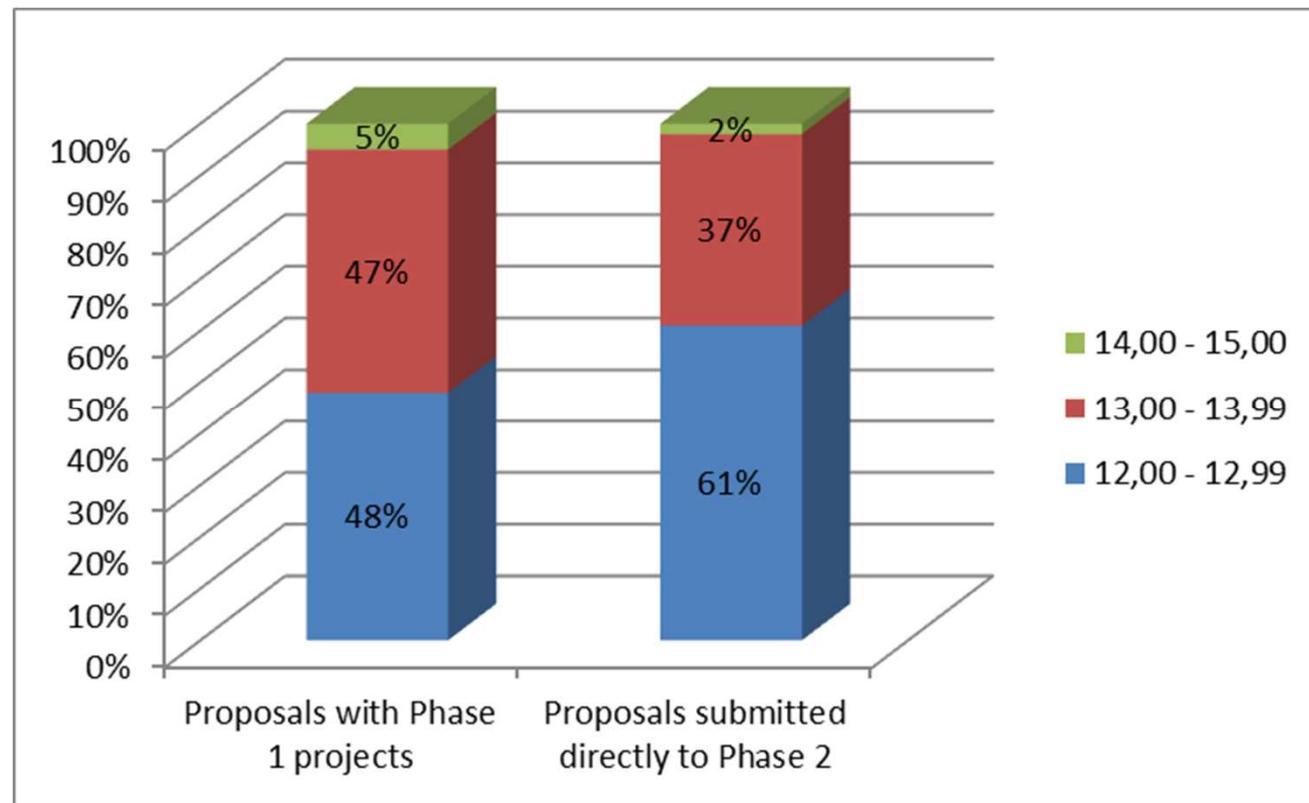
Cosa manca nelle proposte

- ✓ Market strategy
- ✓ Enfasi sugli aspetti tecnologici/scientifici
- ✓ Scarse opportunità e prospettive di mercato
- ✓ Poche risorse impiegate
- ✓ Poco potenziale innovativo
- ✓ Il TRL non dimostrato

Dal confronto con i valutatori

- Obiettivi chiari e misurabili
- User needs, target group (demand/market) chiari
- TRL (6) di parenza (stage of development)
- Analisi di mercato comparativa e posizionamento
- Short/mid term benefit per l'azienda
- Business model e business architecture
- Work plan realistico e convincente
- Capacità di “execution” e strutturalw + Sezione 4
- Descrizione/giustificazione subcontratti
- ...

Iniziare con la Fase 1 aiuta nella Fase 2?



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



PARTICIPANT PORTAL

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 RESEARCH & INNOVATION

Participant Portal

European Commission > Research & Innovation > Participant Portal > Home

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



On this site you can find and secure **funding** for projects under the following EU programmes:

- **2014-2020** Horizon 2020 - research and innovation framework programme
- **2007-2013** 7th research framework programme (FP7) and Competitiveness & Innovation Programme (CIP)
- Research Fund for Coal & Steel, COSME, 3rd Health Programme, Consumer Programme

Non-registered users

- search for funding
- read the H2020 Online Manual & download the legal documents
- check if an organisation is already registered
- contact our support services or check our FAQs

Registered users

- submit your proposal
- sign the grant
- manage your project throughout its lifecycle
- register as expert advising the Commission


WHAT'S NEW?


FUNDING OPPORTUNITIES


HOW TO PARTICIPATE


WORK AS AN EXPERT


MY PERSONAL AREA


INFORMATION AND SUPPORT

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

Electronic Submission

Electronic Submission System accessed from the call page

- ECAS password
- PICs for all partners
- Prepare proposal,
 - On-line for structured part
 - Upload non-structured part - pdf file(s)
- Submit the proposal!
- Validation checks
- Complete submission, before the 17h00 deadline

Submission failure rate = $\pm 1\%$

Only reason for failure; waiting till the last minute



Technical problems

Panic-induced errors (uploading the wrong proposal)

Too late starting upload, run out of time

Support and help

Participant Portal

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

ECAS account creation

<https://webgate.ec.europa.eu/cas/eim/external/register.cgi>

FAQ

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

Helpdesk

http://ec.europa.eu/research/participants/portal/desktop/en/support/research_enquiry_service.html

Unique Registration Facility – User's Guide

<https://ec.europa.eu/research/participants/portal4/desktop/en/organisations/index.html>

GRAZIE PER L'ATTENZIONE!

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*Supporto alle PMI e
Gruppo gestione progetti*