

# EU Funding & Horizon 2020



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# Agenda

- Introduction and funding lines
- Funding mechanisms
- The new Multiannual Financial Framework
- Horizon2020
- From FP7 to Horizon 2020 - Adaptations in Funding opportunities
- Selecting a funding opportunity
- A stepwise approach for setting up a proposal
- Some tips and lessons learnt (a.k.a. do's and don't's)
- Sources of information

## DISCLAIMER:

This presentation is based on public information from the EC and is updated at the best knowledge of the author, however it neither represents an official document by the EC nor replaces the formal documents published by the EC

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Introduction and funding lines

# Introduction

- Member States to the European Commission regularly set and revise common strategies and priorities
- Along them, areas of investments and financial support mechanisms are identified and organised
- Funding opportunities are available to all legal entities established in the MS, with different intensity and rules depending on the areas
- Typically there is one Community Programme for each thematic area, but funding on a specific theme can be found in many programmes

# Direct Grants (1)

They support includes programmes covering the whole EU or seeking the common interest of the Community. They are typically managed by the European Commission or by an implementing authority appointed by the EC. **Competition is at EU-level.**

## Examples of Community Programmes in 2007-2013:

- Aeronautics and Air Transport (Clean Sky)
- Ambient Assisted Living Joint Programme (AAL)
- Baltic Sea Research and Development Programme (BONUS)
- **Civil Protection Financial Instrument**
- **CIP - Competitiveness and Innovation Framework Programme**
- Embedded Computing Systems (ARTEMIS)
- Europe for Citizens
- Eurostars
- **FP7 - Seventh Framework Programme**

# Direct Grants (2)

## Examples of Community Programmes in 2007-2013 (continued):

- Fundamental Rights and Justice
- Galileo
- ISA - Interoperability Solutions for European Public Administrations
- **LLP - Lifelong Learning programme**
- Nanoelectronics Technologies 2020 (ENIAC)
- Public Health Programme
- Safer Internet Programme
- Security and Safeguarding Liberties Framework programme

# Indirect Grants (1)

The main sources of indirect financing go to regional, agricultural and external support. **Competition is on a national level.**

Programmes in 2007-2013:

- External Assistance
  - **IPA - Instrument for Pre-Accession**
  - DCI - Development Cooperation Instrument
  - **ENPI - European Neighbourhood Partnership Instrument**
  - TAIEX - Technical Assistance and Information Exchange
  - TWINNING
  - MFA - Instrument for Macro-Financial Assistance
  - EIDHR - European Instrument for Promoting Democracy & Human Rights
  - IfS - Instrument for Stability
  - NSCI - Nuclear Safety Co-operation Instrument
  - Humanitarian Aid
  - ICI - Instrument for cooperation with industrialised countries

# Indirect Grants (2)

## Programmes in 2007-2013 (continued):

- Structural Funds, Regional Policy
  - **ERDF - European Regional Development Fund**
  - ESF - European Social Fund
  - PEACE III Programme
  - Community Initiatives
  - **INTERREG**
  - URBACT
  - Regions for Economic change
  - ESPON Programme
- Cohesion Fund
- Agriculture, Rural Development and Fisheries
  - EAGF - European Agricultural Guarantee Fund
  - EAFRD - European Agricultural Fund for Rural Development
  - EFF - European Fisheries Fund



# Other lines of funding

They are not necessarily connected to the European Union, but usually initiated by group of (member) states and target different regions. **They have a separate management and implementations system.** The programmes are run by a variety of actors, consisting of non EU and EU Member States but they all include a specific target group within a specific field and are managed by according to their own specific rules.

## Programmes in 2007-2013:

- EEA & Norway Grants
- EBRD - European Bank for Reconstruction and Development
- EUREKA
- Visegrad Fund
- IFIs - The World Bank Group & IMF
- EDFI - European Development Finance Institutions
- EIB Group - European Investment Bank & European Investment Fund
- EDF - European Development Fund
- EUSF - European Union Solidarity Fund
- EGF - European Globalisation Adjustment Fund
- COST - European Cooperation in Science and Technology

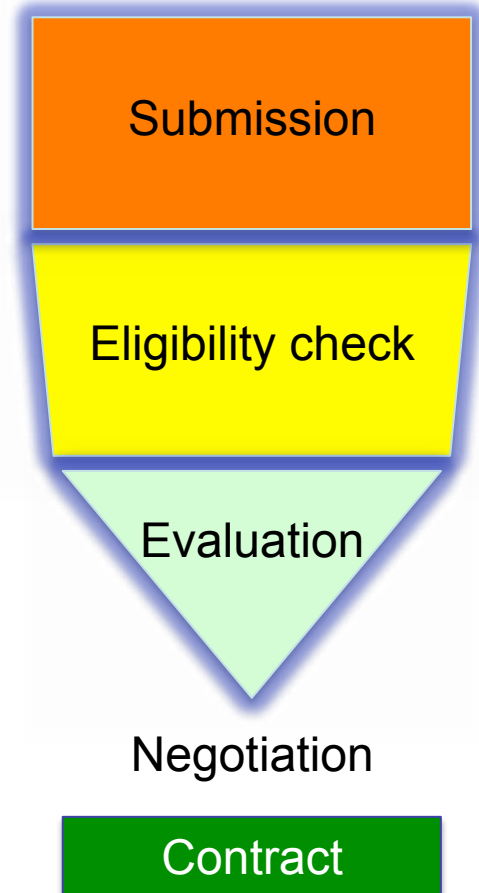
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Funding mechanism

# Funding process

- Once the Funding Programmes are agreed and published, **Call for Proposal** are opened, based on (bi-)annual work Programmes that detail the objectives, topics and expected results for the Call
- Proposers **submit** their proposals according to the Call rules
- Proposal are checked for eligibility and **evaluated** (different schemes apply here) and finally some of them are selected for funding
- The selected proposal are the **negotiated** until a **contract is agreed and signed**
- From now on, activities can start and get partly funded by the Programmes



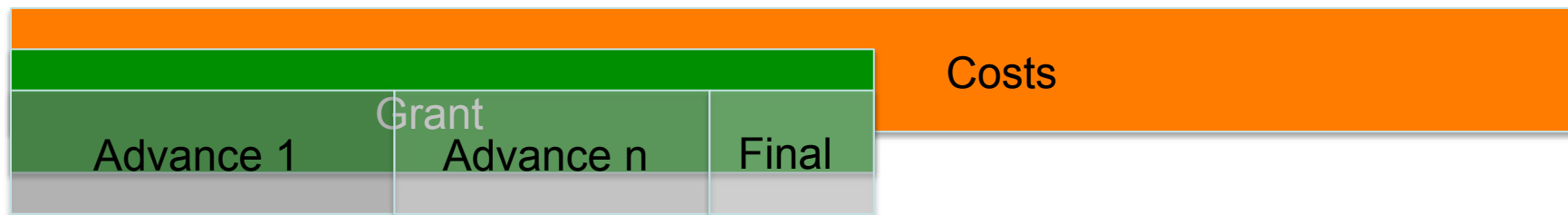
# Funding Mechanisms (1)

- Proposals include a breakdown (budget) for the project costs; after the negotiation, they become part of the contract and the basis for the funding
- Grants are calculated as a % of the costs, sometimes with variations between categories (personnel, equipment, traveling, consumables, management...)
- All funded project receive an advance payment at the time of the contract signature
- On a regular basis (usually annually) projects are reviewed to assess their progresses and further instalments may be released



# Funding Mechanisms (2)

- The progress of the project is measured in terms of delivered results (e.g. reports, meetings, exercises...) and justified costs
- A financial reporting mechanism is always specified in the contract, being the full justification of the declared costs the main purpose
- The final payment is subject to the submission of all contractual documents and to a final review by the EC
- The EC has the right to organise financial audits about the submitted costs, to ascertain that all financial provisions have been met by the participant



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The new Multiannual Financial Framework

# The next Multiannual Financial Framework (MFF)

- The new MFF will cover the seven years between 2014 and 2020
- It will be drawn up for a European Union comprising 28 Member States on the working assumption that Croatia will join the Union in 2013.
- It will have the following structure:
  - “**Competitiveness for growth and jobs**” which will include the Connecting Europe Facility;
  - “**Economic, social and territorial cohesion**”;
  - “**Sustainable growth: natural resources**” which will include a sub-ceiling for market related expenditure and direct payments;
  - “**Security and citizenship**”;
  - “**Global Europe**”;
  - “Administration” which will include a sub-ceiling for administrative expenditure;
  - “Compensations”.

# Allocated budget in the MFF

- The European Council has reached political agreement that the maximum total figure for expenditure for EU 28 for the period 2014-2020 is **EUR 959,988 million** (constant 2011 prices - there will be automatic annual technical adjustments for inflation)
- The MFF has been agreed by the European Council on 8 February 2013
- The European Parliament has rejected the MFF on 13 March 2013
- The MFF will be further negotiated aiming at its approval by in 2013
- **All figures given in the next slides are therefore not final, yet**
- The ceiling to the MFF proposed by the European Commission is **EUR 1,125,099 million** (current prices)



# MFF 2014-2020 Headlines

<b>Smart and Inclusive Growth</b>	<b>508,918 MEUR</b>
Sustainable Growth: Natural Resources	420,035 MEUR
Security and citizenship	17,723 MEUR
Global Europe	66,261 MEUR
(Administration)	69,585 MEUR
(Compensations)	29 MEUR
<u>Outside the MFF (e.g. Emergency aid reserve)</u>	<u>42,548 MEUR</u>
<b>TOTAL</b>	<b>1,125,099 MEUR</b>

Mapping the programmes of the period 2007-2013 onto the new structure of the MFF is a complex exercise

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Horizon 2020

# Horizon 2020

- Horizon 2020 is the financial instrument implementing the Innovation Union, a Europe 2020 flagship initiative aimed at securing Europe's global competitiveness.
- It is included under the heading “Smart and Inclusive Growth” of the MFF
- Running from 2014 to 2020 with an **€80+ billion EUR budget**, the EU’s new programme for research and innovation is part of the drive to create new growth and jobs in Europe.
- Horizon 2020 provides major simplification through a single set of rules.
- It will **combine all research and innovation funding** currently provided through the Framework Programmes for Research and Technical Development (**FP7**), the innovation related activities of the Competitiveness and Innovation Framework Programme (**CIP**) and the European Institute of Innovation and Technology (**EIT**).

# A time line for Horizon 2020

From 30/11: Parliament and Council negotiations on the basis of the Commission proposals

Ongoing: Parliament and Council negotiations on EU budget 2014-20 (including overall budget for Horizon 2020)

Mid 2013: Final calls under 7th Framework Programme for Research to bridge gap towards Horizon 2020

By end 2013: Adoption of legislative acts by Parliament and Council on Horizon 2020

**1/1/2014: Horizon 2020 starts; launch of first calls**

# Horizon 2020 Admin & Finances

- Single overhead model: 20-25% of direct costs (to be confirmed)
- Maximum funding rate for research increased from 75% to 100%
- Maximum funding rate for demonstration increased from 50% to 75%
- Ex-ante viability check only for coordinators
- Time-to-grant targeted in 100 days (average)
- Guarantee fund (as in FP7)
- Audit certificates to be submitted by those partners exceeding 325,000 EUR of EU contribution, but only at the end of the project
- No changes from FP7 about eligibility

# Horizon 2020 - Implementation

The Horizon 2020 programme consists of the following parts:

- “Excellent science”
- “Industrial leadership”
- “Societal challenges”

In addition, there is a specific programme named “Non-nuclear direct actions of the Joint Research Centre (JRC)”.

“Excellent science”, “Industrial leadership” and “Societal challenges” will be implemented by the Commission, which will adopt **annual work programmes** that contain descriptions of the actions to be financed, an indication of the amount allocated to each action, indicative implementation timetables, as well as a multi-annual approach and strategic orientations for the essential evaluation criteria and the maximum rate of co-financing.

# Horizon 2020 - Excellent science

- Budget: EUR 24,598 million
- Supported activities
  - European Research Council (ERC) will provide substantial grants to top-level individual researchers working in Europe (€13.2 billion)
  - Future and emerging technologies (FET) opens up new fields of research and innovation. (€3.1 billion)
  - Marie Curie Actions develops research and innovation skills through the training, mobility and career development of researchers (€5.75 billion)
  - Funding of €2.4 billion will also be available for supporting access to, and networking of priority research infrastructures across Europe.

# Horizon 2020 - Industrial leadership

- Budget: EUR 17,938 million
- Supported activities
  - Leadership in enabling and industrial technologies (€13.7 billion) – the themes are the following:
    - **Information and Communication Technologies (ICT)**
      - Nanotechnologies
      - Advanced materials
      - Biotechnology
      - Advanced Manufacturing and Processing
    - **Space**
  - Access to risk finance (Debt facility, Equity facility and Specific implementation aspects) (€3.5 billion).
  - Innovation in SMEs (Mainstreaming SME support and Specific support)



# Horizon 2020 - Societal challenges

- Budget: EUR 31,748 million
- Supported activities
  - Health, demographic change and well-being;
  - Food security, sustainable agriculture, marine and maritime research and the bio based economy;
  - Secure, clean and efficient energy;
  - Smart, green and integrated transport;
  - Climate action, resource efficiency and raw materials;
  - **Inclusive, innovative and secure societies.**

# EU Funding & Horizon 2020



From FP7 to Horizon 2020  
Adaptations in Funding opportunities

# Main sources of EC funding for this community: 2007-2013

Many programmes were interesting for Emergency Services and Safety & Rescue organisations:

- 7th Research Framework Programmes (FP7)
- Competitiveness and Innovation Framework Programme (CIP)
- Prevention, Preparedness and Consequence Management of Terrorism
- Civil Protection Financial Instrument
- European Regional Development Fund (INTERREG)
- Lifelong Learning
- European Regional Development Fund (ERDF)
- Instrument for Pre-Accession Assistance (IPA)
- European Neighborhood and Partnership Instrument (ENPI)

# Main sources of EC funding for this community: 2014-2020

Many programmes were interesting for Emergency Services and Safety & Rescue organisations:

- Horizon 2020 [Smart and Inclusive Growth]
- Internal Security Fund (Police and Border components) [Security and citizenship]
- Civil Protection Financial Instrument [CPI + EER]
- Eur. Reg. Develop. Fund (INTERREG) [Smart and Inclusive Growth]
- Erasmus for All [Smart and Inclusive Growth]
- Eur. Reg. Develop. Fund (ERDF) [Smart and Inclusive Growth]
- Instrument for Pre-Accession Assistance (IPA) [Global Europe]
- European Neighborhood Instrument (ENI) [Global Europe]

# Mapping of FP7 Themes in Horizon 2020

Health	Societal challenges	Health, demographic change and well-being
KBBE	Societal challenges	Food security, sustainable agriculture, marine and maritime research and the bio based economy
ICT	Industrial leadership	Leadership in enabling and industrial technologies (+ relevant societal challenges)
Nanotechnologies	Industrial leadership	Leadership in enabling and industrial technologies (+ relevant societal challenges)
Energy	Societal challenges	Secure, clean and efficient energy
Environment	Societal challenges	Climate action, resource efficiency and raw materials
Transport	Societal challenges	Smart, green and integrated transport
SSH	Societal challenges	Inclusive, innovative and secure societies
Space	Industrial leadership	Leadership in enabling and industrial technologies
Security	Societal challenges	Inclusive, innovative and secure societies

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A stepwise approach for setting up a proposal

# Selecting a funding opportunity (1)

- A first step is to **stay updated!**
- Newsletters, Associations, National Contact Points, EC websites are good friends for this
- Most important is to have a trusted source for a digest on funding opportunities
- Before rushing to the financial section, read carefully the subject of the opportunities and verify that it suits with your aims, your organisation and your schedules
- **Embarking in answering to a Call is an important decision and may result in investing a considerable amount of resources**

# Selecting a funding opportunity (2)

- Read carefully the topics covered by the call and identify the subject of your application, its value for Europe and its peculiarities
- Evaluate the reasons why your organisation should apply: money should NOT be the main one
- Look for information days organised by the funding DG or in your country
- Start imagining your ideal partners – remember, this may be the start of a several-years cooperation
- Use your regular channels to explore if there is somebody else you know that is active on the chosen topic
- Appoint a responsible for the call and start!



# A stepwise approach (1)



- Have a good “core” group of partners sharing your idea...
- ...or consider to enter a formed consortium where you feel you can add some value
  
- Choose a reliable and trusted coordinator for the proposal
- Work out a short sketch (rationale) of the proposal idea
  
- Get the rationale approved, along with the identification of weaknesses and needs for additional partners
- Do your networking to complete the consortium

# A stepwise approach (2)



- Assign clear tasks to all partners, both in the writing process and in the eventual project
- Keep the core group motivated and updated
- Discuss your idea with a Project Officer in the Unit that is managing the call
- Collect all the relevant documents for the Call (Call text, Work Programme, Guide for Applicants, Available templates, Draft Grant Agreement)
- Get acquainted with the Award criteria (this will help you in writing your proposal)

# A stepwise approach (3)



- Get crucial administrative information from your admin (monthly cost of personnel, overheads...). It may take some time to get them and they are needed
- Identify the signatories in your organisation and check how much in advance they need the final proposal
- Draft your budget for costs and grants well in advance: discussions on money may be very long!
- Do a survey on on-going projects and initiatives: a full understanding of the state-of-the-art is a cornerstone of any good proposal.

# A stepwise approach (4)



- Draft a first workplan and progressively enrich and refine it: do not leave this as a last task, since a large part of the proposal is based on it
- Make an iterative exercise allocating resources to the tasks and checking the impact on the budgets
- Plan the release of intermediate versions of the proposal to be circulated and reviewed by partners. 2 or 3 versions should be OK.
- Make an intensive use of IT tools for cooperative work (conference calls, wiki, ftp's, mailing lists...)

# A stepwise approach (5)



- Close the writing of the proposal possibly 2 weeks ahead (but not later than 1 week ahead) of the deadline. Allow you and your partners some time for reading the proposal and fine tune it.
- If possible, ask some trusted and capable experts or colleagues of yours to give a “fresh” look to the proposal
- Submit the proposal in time!
- You did your best: relax and keep your finger crossed!

# A success story: ESENet

- Anticipations on the call topics in March 2011
- First contact between “core” partners (including EENA) at the EUESW 2011 in Budapest
- Preparation of a short description of the project 5 months before submission
- FP7-SEC Call launched in **July 2011**
- Several conference Calls and a physical meeting 2 months before submission (in Krakow during the 112 Roundtable)
- Contacts with Project Officers during the preparation
- Definition of the Consortium (**EENA, 1 Members of the EENA Advisory Board, letter of interest from ESSN members**)
- Refinement of budgets and text until 5 days before submission
- Submission in **November 2011**
- Successful evaluation, negotiation and start of the contract in **January 2013**

# A quest for funding: REFIRE

- 2009: Italian Fire Corps developed a brilliant concept for affordable indoor location based on pre-existing infrastructure
- Scanning for a suitable Call for proposal: FP7-SEC
- First attempt to setup a winning proposal for the FP7-SEC Call in 2009
- Good evaluation but not good enough to get funded
- Scanning for a suitable Call for proposal: FP7-SEC
- No suitable topics under FP7-SEC Call in 2010
- Scanning for a suitable Call for proposal: CIPS (DG-HOME)
- Setup of a resized proposal, with only Italian partners
- Submission in **January 2011**
- Successful evaluation, negotiation and start of the contract in **January 2012**

(more information about REFIRE at our meeting room)

# EU Funding & Horizon 2020



Some tips and lessons learnt  
(a.k.a. do's and don't's)



# Do's and dont's (1)

- DO NOT
  - Invest on a weak idea only because a friend of yours invited you
  - Accept “passengers” on board: all partners must be fully justified and committed
  - Write your proposal without checking what’s going on in Europe
  - **Wait to collect administrative information by your organisation**
  - Leave grey areas in the use of resources that “would be agreed afterwards”. This is easily spot by evaluators
  - **Wait until the very last minute to submit your proposal**
  - Be shy to ask support in writing the proposal in good English
  - Be lousy in formatting your proposal

# Do's and dont's (2)

- DO
  - Get in love with your idea, refine it and refine it again
  - Be ambitious and concrete
  - **Select good partners, possibly complementing your expertise**
  - Consider to include in the partnership a local partner that will eventually ease your day-by-day tasks
  - **Make a comprehensive analysis of the state-of-the-art and of the on-going EC-funded projects; report the main results in the proposal**
  - Work, rework and rework again the budgets and the list of contractual deliverables
  - **Study the award criteria and shape the proposal so that the readers (evaluators) may easily find what they are looking for**

# Do's and dont's (3)

- DO
  - Make use of pictures and graphs, but be careful with colours (proposals are always printed in black and white)
  - Take care of how the proposal looks like: a nice-looking proposal makes one thinking of a good organisation behind it
  - **Make a third person reading your proposal and make a good use of his/her impressions and feedbacks**
  - Take contacts with Project Officers well in advance to the deadline: once the time get short, they will not be able to help you
  - Work on all sections of the proposal, not only those that enjoy most

# Do's and dont's (4)

- DO
  - Be optimistic and motivated: getting EC funds is not a breeze, but it is always a good opportunity to improve your skills and knowledge!
  - Contact Gary (gm@eena.org) or Uberto (ud@eena.org) for any support you may need

# EU Funding & Horizon 2020



Source of information

# Source of information

- HORIZON 2020
  - <http://ec.europa.eu/research/horizon2020/>
- Official documents on Horizon 2020
  - [http://ec.europa.eu/research/horizon2020/index\\_en.cfm?pg=h2020-documents](http://ec.europa.eu/research/horizon2020/index_en.cfm?pg=h2020-documents)
- Multiannual Financial Framework 2014-2020
  - [http://ec.europa.eu/budget/mff/index\\_en.cfm](http://ec.europa.eu/budget/mff/index_en.cfm)

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Happy to take questions from the audience!



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