Fit for Health 2.0
Support to SMEs & Researchers in FP7 and Horizon 2020 health-oriented projects

The new SME Instrument in Horizon 2020

www.fitforhealth.eu

14.03.2014 | Webinar
Ines Haberl | Austrian Research Promotion Agency
Content

1. What is the concept?
2. Who should apply?
3. Which topics are available?
4. How to prepare an application for phase 1?
5. Submission and evaluation procedure
6. Accompanying support, further information and final recommendations
Phase 1: Concept and Feasibility Assessment

- **Objectives:**
  - Exploration and assessment of the technical and technological feasibility, the commercial potential, the economic viability of a breakthrough idea
  - Considerable novelty to the industrial sector
  - → new products, processes, services, technologies or new market applications
Phase 1: Concept and Feasibility Assessment

- Activities:
  - Risk assessment
  - Description of bottlenecks
  - Market study
  - User involvement
  - IP regime
  - Partner search
  - Initial business plan based on proposed idea / concept
Phase 1: Concept and Feasibility Assessment

- Results:
  - Report: business innovation plan
  - Recommendations for additional innovation activities
  - Private financing needs
  - Solution exists on the market
  - Buying existing know-how or IPR as an option
  → no further funding!
Phase 1: Concept and Feasibility Assessment

- **Duration:**
  
  6 months (could also be shorter, could be longer if desired and justified)

- **Time to grant:**
  
  About 3 months

- **Success rate:**
  
  About 10% (estimation!)

- **Funding:**
  
  Lump sum: 50,000€
Phase 2: Innovation Activities

- Objectives:
  - Projects need to address a specific challenge and demonstrate high potential for competitiveness and growth
Phase 2: Innovation Activities

- Activities:
  - Demonstration
  - Testing
  - Prototyping
  - Clinical studies
  - Piloting
  - Scaling-Up
  - Miniaturisation
  - Design
  - Market replication
Phase 2: Innovation Activities

- **Results:**
  - Development of new product, process, service that can be deployed and launched on the market
  - Business plan containing detailed commercialisation strategy, financing plan explaining the investment of private investors
Phase 2: Innovation Activities

- **Duration:**
  1-2 years (could be longer if desired and justified)

- **Time to grant:**
  About 6 months

- **Success rate:**
  About 30-50% (estimation!)

- **Funding:**
  70% funding rate: 0.5-2.5 Mio €

**ATTENTION:** exception for 1 topic in “Health, demographic change and wellbeing: 100% funding rate, funding up to 5 Mio €
Phase 3: Commercialisation

- **Objectives:**
  - Promote the implementation and successful commercialisation of the new innovative solutions
  - Facilitated access to private capital and first customers
  - SME instrument as quality label for successful projects
Phase 3: Commercialisation

- **Activities:**
  - Support via
    - networking
    - training
    - information
    - addressing i.a. IP management
    - knowledge sharing
    - dissemination

- SME window in the EU financial facilities (debt facility and equity facility)
- Possible connection to Procurement
Phase 3: Commercialisation

- **Results:**
  - No direct funding, but benefit from indirect support measures

- **Funding:**
  - Place new product, service, process on the market
The new SME Instrument in Horizon 2020

SME Instrument

Idea

Phase 1
Concept and Feasibility Assessment

Phase 2
Innovation Activities

Phase 3
Commercialisation

Business Coaching

Source market picture: EC

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Business Coaching

- **Voluntary business coaching** offered in Phase 1 and Phase 2:
  - Phase 1: 3 coaching days
  - Phase 2: 12 coaching days

- Business coaches will drive the performance of the organization by working with the senior management team

- Coach selection from a pool offered by the EC

- Coach and SME to decide a coaching plan in Phase 1. A summary of coaching foreseen for Phase 2 will form part of the application to Phase 2

- Coaching paid in addition to Phase 1 and Phase 2 contribution
SME Instrument

Additional Considerations

- No obligation to sequentially cover all the phases
- Linear process is strongly recommended
- Number of applications / projects: no concurrent submission or implementation with another phase 1 or phase 2 project (neither as lead (single) applicant nor as partner in a consortium)
Content

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Who should apply – the target group

- Innovative for-profit SMEs showing a strong ambition to develop, grow and internationalise
- Single company support is possible or consortium of for-profit SMEs
- Highly competitive, market-oriented, EU dimension
- Other partners (research providers like universities and research institutes, large companies etc.) can be involved as third parties (subcontractors)
- SMEs need to be established in the EU-member states or associated countries
The SME definition from the European Commission since 01/01/2005:

- enterprise with interest in business and commerce
- employs fewer than 250 persons
- annual turnover does not exceed EUR 50 million or annual balance-sheet total does not exceed EUR 43 million
- autonomous

Complete definition:

Guide:
Who should apply – the target group

- **Start-ups:**

  Companies without a balance sheet are legally not excluded, but the SME Instrument is not foreseen as support to create and bring up a company but to increase the growth potential from already established ones

  → *Not the project as such but the project implemented by the company will be evaluated!*
14.03.2014  The new SME Instrument in Horizon 2020

WEBINAR

Content

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The new SME Instrument in Horizon 2020

Structure of Horizon 2020

I. Excellent Science
II. Industrial Leadership
III. Societal Challenges

**LEIT**
Leadership in Enabling and Industrial Technologies:
- ICT, Nanotechnology, Advanced Materials, Biotechnology, Production Technology, Space

- Access to Risk Finance
- Innovation in SMEs

**ERC**
**FET**
**Marie-Sklodowska-Curie**
**Infrastructures**

**Science with and for Society**
- Health, Demographic Change and Wellbeing
- Challenges in the European Bioeconomy...
- Secure, clean and efficient Energy
- Smart, green and integrated transport
- Climate, environment, resource efficiency & raw materials
- Integrative, innovative and reflective societies
- Secure societies

**Spreading Excellence Widening Participation**

Source: [www.eubuero.de](http://www.eubuero.de). Simplified nomenclature

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SME instrument topics

Participant Portal

- Communication with the EC starting from your submission until the implementation
- Whole life cycle of a project is shown
- **Services:**
  - Overview about funding opportunities
  - Guidelines and documents
  - Services how to manage your projects
  - Register as an expert

Participant Portal: One - Stop Shop

- Funding opportunities
- How to participate
- Work as an expert

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

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

Registered users:
- submit your proposal
- sign the grant
- manage your project throughout its lifecycle
SME instrument topics

Horizon 2020

Other EU Programmes 2014-2020
- Research Fund for Coal & Steel
- COSME

Excellent Science
- European Research Council
- Future and Emerging Technologies
- Marie Skłodowska-Curie actions
- Research infrastructures

Industrial Leadership
- Leadership in enabling and industrial technologies (LEIT)
- Access to risk finance

Innovation in SMEs
SME instrument topics

- Horizon 2020 dedicated SME Instrument - Phase 2 2014
  - H2020-SMEINST-2-2014
  - Pub. Date: 11/12/2013
  - Deadline: 17/12/2014

- Horizon 2020 dedicated SME Instrument - Phase 1 2014
  - H2020-SMEINST-1-2014
  - Pub. Date: 11/12/2013
  - Deadline: 17/12/2014

- Call for Nanotechnologies, Advanced Materials and Production
  - H2020-NMP-CSA-2014
  - Pub. Date: 11/12/2013
  - Deadline: 02/01/2015

- Enhancing SME innovation capacity by providing better innovation support
  - H2020-INNOSUP-2015-3
  - Pub. Date: 11/12/2013
  - Deadline: 21/01/2015

- Capitalising the full potential of on-line collaboration
  - H2020-INNOSUP-2015-2
  - Pub. Date: 11/12/2013
  - Deadline: 10/03/2015

- Cluster facilitated projects for new industrial chains
  - H2020-INNOSUP-2015-1
  - Pub. Date: 11/12/2013
  - Deadline: 30/04/2015

- European label for innovation voucher
  - H2020-INNOSUP-2014-4
  - Pub. Date: 11/12/2013
  - Deadline: 02/04/2016

- Enhancing SME innovation capacity by providing better innovation support
  - H2020-INNOSUP-2014-1
  - Pub. Date: 11/12/2013
  - Deadline: 12/03/2014
SME Instrument Life Sciences Themes

**Health:**
- PHC 12 – 2014/2015: Clinical research for the validation of biomarkers and/or diagnostic medical devices

**Food:**
- SFS-8-2014/2015: Resource-efficient eco-innovative food production and processing
- BG-12-2014/2015: Supporting SMEs efforts for the development - deployment and market replication of innovative solutions for blue growth

**Biotech:**
- BIOTEC 5 – 2014/2015: SME-boosting biotechnology-based industrial processes driving competitiveness and sustainability
SME instrument topics

- **ICT 37 – 2014-15**: Open disruptive innovative scheme
- **NMP 25 – 2014-15**: Accelerating the uptake of nanotechnologies, advanced materials or advanced manufacturing and processing technologies by SMEs
- **H2020-SME-SPACE-2014-15**
- **SIE 1 – 2014-15**: Stimulating the innovation potential of SMEs for a low carbon and efficient energy system
- **IT.1-2014-15**: Small business innovation research for transport
- **DRS-17-2014-15**: Protection of urban soft targets and urban critical infrastructures
- **SC5-20-2014-15**: Boosting the potential of small businesses for eco-innovation and a sustainable supply of raw materials
PHC 12 – 2014-15: Clinical research for the validation of biomarkers and/or diagnostic medical devices

- All existing potential biomarkers (prediction, diagnostic, prognostic, monitoring, toxicity, end-point, etc.).
- Both in vivo and in vitro potential biomarkers are eligible.
- Preference will be given to the validation of disease-related biomarkers (i.e. diagnostic, susceptibility/risk, monitoring and prognostic biomarkers), but drug biomarkers are not excluded.
- Validation of the performance of new diagnostic devices (either in combination with the biomarker validation, or against existing standards).

Source: EC, Open Info Day 2013

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SME instrument topics

PHC 12 – 2014-15: Clinical research for the validation of biomarkers and/or diagnostic medical devices – BACKGROUND

- Global market for diagnostics is in expansion, in particular for biomarkers
- 90% of the companies in the sector are SMEs
- R&D bottleneck: around 25,000 biomarkers identified each year that are in most cases not validated -> market failure with insufficient investments
- The Commission has published a proposal for a regulation on in vitro diagnostic medical devices -> this will change substantially the regulatory environment and it will request further clinical evidence.

Source: EC, Open Info Day 2013
SME instrument topics

PHC 12 – 2014-15: Clinical research for the validation of biomarkers and/or diagnostic medical devices – DEFINITIONS

• A **biomarker** is a characteristic that is objectively measured and evaluated as an indicator of normal biologic processes, pathogenic processes, or pharmacologic responses to a therapeutic intervention *(NHI Biomarkers Definitions Working Group; 2001)*

• A **valid biomarker** is defined as “a biomarker that is measured in an analytical test system with well-established performance characteristics and for which there is an established scientific framework or body of evidence that elucidates the physiologic, toxicological, pharmacologic, or clinical significance of the test results *(FDA. Guidance for industry - pharmacogenomic data submissions. 2005)*

Source: EC, Open Info Day 2013
SME instrument topics

PHC 12 – 2014-15: Clinical research for the validation of biomarkers and/or diagnostic medical devices – REGULATION PROCESS

- **"Performance of a device"** means the ability of a device to achieve its intended purpose as claimed by the manufacturer. It consists of the analytical and, where applicable, the clinical performance supporting the intended purpose of the device. *(IVD & medical device regulation proposals)*

- **"Analytical performance"** means the ability of a device to correctly detect or measure a particular analyte. *(IVD regulation proposal)*

- **"Clinical performance"** means the ability of a device to yield results that are correlated with a particular clinical condition or a physiological state in accordance with the target population and intended user. *(IVD regulation proposal)*

Source: EC, Open Info Day 2013
SME instrument topics

PHC 12 – 2014-15: Clinical research for the validation of biomarkers and/or diagnostic medical devices – EXPECTED IMPACT

- Increased clinical availability and exploitation of biomarkers
- New diagnostic devices
- Facilitation of entry of improved diagnostics in the clinic and the market
- Support for the implementation of the EC proposal for a revised in vitro diagnostic devices regulation
- Enhancing profitability and/or growth performance of SMEs
- Contribution to the sustainability of health care systems
- Increased likelihood of market uptake
- Leveraging of private investment
Content

1. What is the concept?
2. Who should apply?
3. Which topics are available?
4. **How to prepare an application for phase 1?**
5. Submission and evaluation procedure
6. Accompanying support, further information and final recommendations
Applications for phase 1

Your proposal consists of 2 parts:

- On-line administrative forms – **Part A**
- Upload descriptive part – **Part B** (2 pdf files)
Applications for phase 1 – Part B

Templates for the applications in phase 1 and 2

- Specific templates are available on the participant portal:


- As soon as you are registered with a project you will be able to download the word documents to insert your text
Applications for phase 1 – Part B

1. EXCELLENCE
2. IMPACT
3. IMPLEMENTATION
4. MEMBERS OF THE CONSORTIUM
5. ETHICS AND SECURITY

Attention:
Page limit: cover page, sections 1, 2 & 3, together not longer than 10 pages! The 2 tables in these sections must be included within this limit!

not covered by the page limit!
Applications for phase 1

Cover page

COVER PAGE

Title of Proposal

List of participants

<table>
<thead>
<tr>
<th>Participant No *</th>
<th>Participant organisation name</th>
<th>Country</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 (Coordinator)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

* Please use the same participant numbering as that used in the administrative proposal forms.

Table of Contents
1. EXCELLENCE

- 1.1 Objectives
- 1.2 Relation to the work programme
- 1.3 Concept and approach
- 1.4 Ambition
Applications for phase 1

1. EXCELLENCE

1.1 Objectives

- Objectives of your project: what is the expected outcome?
- Objectives of your feasibility study:
  - clear
  - measureable
  - realistic
  - achievable within the duration of the project
Applications for phase 1

1. EXCELLENCE

1.2 Relation to the work programme

You are referring to the topic related to your proposal

e.g. PHC 12 – 2014/2015: Clinical research for the validation of biomarkers and/or diagnostic medical devices
1. EXCELLENCE

1.3 Concept and approach

- How will your innovative solution solve the problem and/or use the business opportunity?

- What is the current stage of development of the innovation? What are key milestones that led to the current stage?

- Describe the positioning of the business innovation project, e.g. where it is situated in the spectrum from ‘idea to application’, or from ‘lab to market’

- Refer to Technology Readiness Levels where relevant (please see also in the General Annex G of the work programme)
Applications for phase 1

Technology Readiness Levels

New Definitions incl. Pilot lines and demonstration projects => TRL-Scale (Technology Readiness Levels) in Horizon 2020

• 100% Funding: TRLs 3-6
• 70% Funding: TRLs 5-8

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Applications for phase 1

1. EXCELLENCE

1.3 Concept and approach

- What would you like to achieve in the feasibility assessment?
  - Explain the approach and methodology
  - Assessment of the technological/technical/practical feasibility
  - Assessment of the economic viability

- Describe how your project intends to develop something new to Europe that addresses EU-wide/global challenges

- Where relevant, describe how sex and/or gender analysis is taken into account in the project’s content
  - e.g. for PHC12 important!

1. EXCELLENCE

1.4 Ambition

- Novelty of your innovation business project - what do you envisage as key market application of the innovation project result?
- What is the advantage of your (expected) solution with respect to competing solutions?
- Describe intended improvement potential over time - why is it worth to develop / or to invest in it?
Applications for phase 1

2. IMPACT

2.1 Expected Impacts

a) Users/Market

b) Company

2.2 Measures to maximise impact

a) Dissemination and exploitation of results

b) Intellectual property, knowledge protection and regulatory issues
2. IMPACT

2.1 Expected Impacts

a) Users/Market:

- Who are the users of your product, service, etc?
- Main economic benefits for the users
- What are your unique selling points?
- Type of market: total available market size and growth rate (mature or growing market)? What are the market trends?
- List main competitors and competitive solutions
Applications for phase 1

2. IMPACT

- 2.1 Expected Impacts
  - a) Users/Market:
    - Most relevant market segments for initial introduction of the new solution
    - Most important market barriers
    - Targeted users of the final solution
    - List key stakeholders to get involved for making a successful commercial exploitation
2. IMPACT

2.1 Expected Impacts

b) Company:

- How does the innovation project fit with the strategy of the participating SME(s)

- What is the relevance and rationale of the innovation project for the management team of the SME (or lead SME(s) in a consortium)

- Expected growth potential in terms of turnover, employment, market size, IP management, sales, return on investment and profit etc.
Applications for phase 1

2. IMPACT

- 2.2 Measures to maximise impact
  - a) Dissemination and exploitation of results
    - Initial plan for full commercialisation of the project results, i.e. own commercialisation or licensing?
    - Need of cooperation with third parties for own commercialisation?
    - Estimate of the total funding requirements? Approximate time to first sales/employment?
    - How does the proposed work in Phase 1 of the SME instrument fit into the overall plan to reach the market?
Applications for phase 1

2. IMPACT

2.2 Measures to maximise impact

b) Intellectual property, knowledge protection and regulatory issues

- Explain key knowledge (IPR) items and who owns them
- Status and strategy for knowledge protection: e.g. has a patent application already been filed or is there potential for patent application?
- Regulatory and/or standard requirements are to be fulfilled for the exploitation of the innovation

IMPORTANT for PHC12!
Applications for phase 1

3. IMPLEMENTATION

- 3.1 Work plan – Work Package and deliverable
- 3.2 Management structure and procedures
- 3.3 Consortium as a whole
- 3.4 Resources to be committed
Applications for phase 1

3. IMPLEMENTATION

- 3.1 Work plan – Work Package and deliverable

Table 3.1a: Work package description

<table>
<thead>
<tr>
<th>Work Package Title</th>
<th>Feasibility Study</th>
</tr>
</thead>
<tbody>
<tr>
<td>Objectives</td>
<td></td>
</tr>
<tr>
<td>Description of work (where appropriate, broken down into tasks, lead partner and role of participants)</td>
<td></td>
</tr>
<tr>
<td>Deliverable:</td>
<td></td>
</tr>
<tr>
<td>Feasibility report, including a business plan (brief description and month of delivery)</td>
<td></td>
</tr>
</tbody>
</table>
Applications for phase 1

3. IMPLEMENTATION

- 3.2 Management structure and procedures
  - Organisational structure & the decision-making

- 3.3 Consortium as a whole (if applicable)
  - Describe the consortium: matching project’s objectives, complementing each other (cover the value chain), contribution to the project, effectively work together
Applications for phase 1

3. IMPLEMENTATION

- 3.4 Resources to be committed

<table>
<thead>
<tr>
<th>Form of costs</th>
<th>A. Costs of the feasibility study/Direct and indirect costs of the action</th>
<th>Total costs</th>
<th>Reimbursement rate %</th>
<th>Maximum EU contribution</th>
<th>Maximum grant amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Lump sum</td>
<td>50 000</td>
<td>71 429</td>
<td>70 %</td>
<td>50 000</td>
<td>50 000</td>
</tr>
</tbody>
</table>

Attention: No modification is possible!
4. MEMBERS OF THE CONSORTIUM

- Description of the legal entity

- For consortia: main tasks of the project partner (how will his / her profile match the tasks in the proposal)

- Curriculum vitae or description of the profile of the persons, who will be primarily responsible for carrying out the proposed activities

- List of up to 5 relevant publications, and/or products, services

- List of up to 5 relevant previous projects or activities

- Description of any significant infrastructure and/or any major items of technical equipment

- In case of a newly created company, explain the purpose of the company creation
Applications for phase 1

4. MEMBERS OF THE CONSORTIUM

4.2 Third parties involved in the project

Please complete, for each participant, the following table (or simply state "No third parties involved", if applicable)

<table>
<thead>
<tr>
<th>Does the participant plan to subcontract certain tasks</th>
<th>Y/N</th>
</tr>
</thead>
<tbody>
<tr>
<td>If yes, describe and justify the tasks to be subcontracted</td>
<td></td>
</tr>
</tbody>
</table>
5. ETHICS AND SECURITY

5.1 ETHICS

Ethics issues have to be entered in the ethical issue table in the administrative proposal forms:

- submit an **ethics self-assessment**
- provide the documents that you need under *national law* (if you already have them) e.g.
  - an ethics committee opinion
  - the document notifying activities raising ethical issues or authorising such activities
5. ETHICS AND SECURITY

5.2 SECURITY

Please indicate if your project will involve:

- activities or results raising security issues: (YES/NO)
- 'EU-classified information' as background or results: (YES/NO)
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Submission and Evaluation Procedure

1. FIND a call
2. FIND partners
3. CREATE your account
4. REGISTER your organisation
5. SUBMIT a proposal

How to submit your proposal?


www.fitforhealth.eu
Submission and Evaluation Procedure

PARTICIPANT PORTAL

• Generate your proposal under “Submission Service”

Submission and Evaluation Procedure

- Create your account (or login)
- Registration via ECAS (European Commission Authentication Service)
- Authentication Service of the European Commission
- Single Sign in for all services on the Participant Portal
Submission and Evaluation Procedure

Registration procedure

RESEARCH & INNOVATION
Participant Portal H2020 Online Manual

REGISTRATION OF ORGANISATION

Before applying for research funding (by submitting a project proposal), all organisations (partners) involved in the project must first be registered with the Commission.

When an organisation does not have legal personality, its/their representatives must prove they have the capacity to undertake legal obligations on behalf of the organisation and that the organisation has financial and operational capacity equivalent to that of legal persons.

You can check if your organisation is already registered on the Beneficiary Register page.

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Submission and Evaluation Procedure

- An organisation that is registered and validated receives a Participant Identification Code (PIC).

- Legal Entity Appointed Representative (LEAR):
  - They are nominated from the organisation.
  - They can change data from their organisation and they have an overview about all proposals and projects of an organisation.

**Attention:** Organisations who participated already in FP7 have a PIC!

**Attention:** Your PIC from FP7 will remain in Horizon 2020 but you need to be **validated as SME** to be able to submit a proposal!
Submission and Evaluation Procedure

Participant Identification Code (PIC)

1. You are already registered in Horizon 2020 or you have participated in FP7?
   - Search for your organisation on the Participant Portal: Beneficiary Register

2. Your organisation is not yet registered?
The submission process

Electronic Submission System

- Prepare the proposal:
  - On-line administrative forms – **Part A**
  - Upload descriptive part – **Part B** (2 pdf files)
The submission process

**Part A – online**

**Section 1**
- Title, acronym, objective etc.
- Keywords
- 2000 character proposal abstract
- Previous/current submission
- Declarations

**Section 2 (one form per partner)**
- Participant Identification Code (PIC)
- Department
- Dependences
- Contact information
- Other contact information

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**The new SME Instrument in Horizon 2020**

**WEBINAR**

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The submission process

Part A – online 2/2

Section 3
• Cost and requested grant details

<table>
<thead>
<tr>
<th>A. Costs of the feasibility study/direct and indirect costs of the action</th>
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</table>

Section 4
• Questionnaire on ethical issues & societal impact

Section 5
• Call specific questions: clinical trial, Stage 2, SME Instrument, Open Data Pilot, etc.
Applications for phase 1 – Part B

1. EXCELLENCE
2. IMPACT
3. IMPLEMENTATION
4. MEMBERS OF THE CONSORTIUM
5. ETHICS AND SECURITY

Attention:
Page limit: cover page, sections 1, 2 & 3, together not longer than 10 pages! The 2 tables in these sections must be included within this limit!

not covered by the page limit!
The submission process

What to consider?

- Don’t wait until the Cut Off date with your submission
- Make your submission in due time
- Submission failure rate = + 1%
- Typical reason for failure when waiting till the last minute:
  - Technical problems
  - Panic-induced errors (uploading the wrong proposal)
  - Too late starting upload, run out of time

IMPORTANT: you can submit your proposal only ONCE! (big difference to other Calls!)
Evaluation Procedure

- Open Call with **Cut Off Dates** -> proposals can be submitted at any time since 3 March 2014
- **Cut Off Dates**: 4 are planned / year (March, June, September, December) BUT in 2014 only 3!
- Evaluation starts on **1st April 2014**

<table>
<thead>
<tr>
<th>2014</th>
<th>2015</th>
</tr>
</thead>
<tbody>
<tr>
<td>Phase 1</td>
<td>Phase 2</td>
</tr>
<tr>
<td>18/06/2014</td>
<td>09/10/2014</td>
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<tr>
<td>24/09/2014</td>
<td>17/12/2014</td>
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<tr>
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</tr>
<tr>
<td>16/12/2015</td>
<td>16/12/2015</td>
</tr>
</tbody>
</table>
Evaluation Procedure

- Evaluation is done remotely
- Evaluators with background on financing and business development (not necessarily THE experts in your thematic area!)
- No consensus meetings are foreseen
- Feedback to applicants: short & standardised
- Negotiations are not foreseen
Evaluation Procedure - Criteria

Excellence
- Clarity of objectives
- Soundness of the concept, Ambition
- Progress beyond the state of the art

Impact
- Impacts listed in work programme
- Enhancing innovation capacity
- Strengthening the competitiveness
- Dissemination & Exploitation

Implementation
- Coherence of work plan, Ressources
- Complementarity of the consortium
- Appropriateness of the management
Evaluation criteria SME Instrument – Phase 1

- **Type of action**
  - The following aspects will be taken into account, to the extent that the proposed work corresponds to the topic description in the work programme.

- **Excellence**
  - 4/5

- **Impact**
  - The extent to which the outputs of the project should contribute at the European and/or International level to:
  - 4/5

- **Quality and efficiency of the implementation**
  - The following aspects will be taken into account:
  - 4/5

**Threshold: 13/15**

SME Instrument Phase 2:
The threshold for Impact will be 4/5
The overall threshold will be 12/15
Evaluation Procedure - Criteria

- **Ranking**: for Impact 1.5 weighting
- Identical „Scores“ -> higher score for impact is decisive
- The criterion Impact will be evaluated first, then Excellence and then Implementation

**IMPORTANT**: evaluation can be stopped if proposals fail to achieve a threshold for the „impact“ criterion
Evaluation Procedure

SELF-EVALUATION FORMS

- Self-evaluation of your proposals by „independent experts“
- Criteria and forms are similar the documents of the evaluators

1. Excellence

Note: The following aspects will be taken into account, to the extent that the proposed work corresponds to the topic description in the work programme:

- Clarity and pertinence of the objectives;
- Credibility of the proposed approach;
- Soundness of the concept, including trans-disciplinary considerations, where relevant;
- Extent that proposed work is ambitious, has innovation potential, and is beyond the state of the art (e.g. ground-breaking objectives, novel concepts and approaches).

Score 1:

Threshold 3/5

Comments:
Evaluation Procedure

WHERE TO FIND IMPORTANT DOCUMENTS?

- Informationen about the evaluation process
- H2020 Grants Manual – Section „proposal submission & evaluation“
- Horizon 2020 Work Programme – General Annex Section H - Evaluation

Content

1. What is the concept?
2. Who should apply?
3. Which topics are available?
4. How to prepare an application for phase 1?
5. Submission and evaluation procedure
6. Accompanying support, further information and final recommendations
Take home messages & recommendations

- Applications for the SME instrument only for a minority of SMEs ("Champions league") -> think about alternatives! (e.g. key word search in the Participant Portal)
- Check your SME-status in case of doubts!
- Will such a project fit into your long term strategy? Where do you see your company in 5 years?
- Why is it worth to invest in it?
- Who are your strategic partners?
- What are your unique selling points?
- Are you really visible to the scientific community? -> use portals like “Fit for Health 2.0” to increase your visibility and register with an expertise profile!
Take home messages & recommendations

- Get familiar with the participant portal in time – it offers a lot of information!
- Start with your application in due time: keep within the page limits and don’t wait until the Cut-off date with your submission
- In case that you are submitting a proposal as a consortium: think about the protection of your IP BEFORE starting to design the project
- Don’t forget about ethical issues in case that this is of importance for your project
- Check if you need (again) to be validated as SME (your PIC from FP7 will remain in Horizon 2020 but might need to be validated)
- Use the documents available that help you to improve your application like the self-evaluation forms
Take home messages & recommendations

- Use the advice offered by support networks:
  - National Contact Points
  - Enterprise Europe Network
  - Horizon 2020 Helpdesk
  - IT Helpdesk
  - FAQ sections
  - Initiatives like “Fit for Health 2.0”
TAKE HOME MESSAGE

The best training is to become an expert evaluator yourself!

Further information

Participant Portal

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

Intellectual Property Rights (IPR) Helpdesk
http://www.iprhelpdesk.eu/
Further information

Health Directorate of DG RTD
http://ec.europa.eu/research/health/index_en.html

In Vitro Diagnostic Regulation

Medical Device Regulation
Thank you!

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