Call - Horizon 2020 dedicated SME Instrument 2016-2017

Proposals are invited against the following topic(s):

SMEInst-01-2016-2017: Open Disruptive Innovation Scheme

Specific Challenge: The challenge is to provide support to a large set of high risk innovative Startups and SMEs in the ICT sector. Focus will be on companies proposing disruptive ICT concepts, products and services applying new sets of rules, values and models which ultimately create new markets (e.g. by tackling non consumption) or disrupt existing markets.

The objective of the ODI is threefold:

1. Nurture promising innovative and disruptive ideas;

2. Support their prototyping, validation and demonstration in real world conditions;

3. Help for wider deployment or market uptake.

Proposed projects should have a potential for disruptive innovation and fast market up-take. In particular it will be interesting for entrepreneurs and young innovative SMEs, including start-ups that are looking for swift support to their innovative ideas.

Type of Action: SME instrument phase 1, SME instrument phase 2

The conditions related to this topic are provided at the end of this call and in the General Annexes.

SMEInst-02-2016-2017: Accelerating the uptake of nanotechnologies advanced materials or advanced manufacturing and processing technologies by SMEs

Specific Challenge: Research results should be taken up by industry, harvesting the hitherto untapped potential of nanotechnologies, advanced materials and advanced manufacturing and processing technologies. The goal is to create added value by creatively combining existing research results with other necessary elements, to transfer results across sectors where applicable, to accelerate innovation and eventually create profit or other benefits. The research should bring the technology and production to industrial readiness and maturity for commercialisation after the project.

Type of Action: SME instrument phase 1, SME instrument phase 2

The conditions related to this topic are provided at the end of this call and in the General Annexes.

SMEInst-03-2016-2017: Dedicated support to biotechnology SMEs closing the gap from lab to market

Specific Challenge: The large numbers of SMEs characterising the EU industrial biotechnology sector are playing a crucial role in the move to competitive and sustainable biotechnology-based processes. These SMEs are characterised by their research intensity and long lead times between early technological development and market introduction. They therefore need to be supported to overcome the so-called “valley of death”. SMEs working in the field of industrial biotechnology and ideas/concepts involving the use of systems and/or synthetic biology are particularly invited to apply for funding.

Type of Action: SME instrument phase 1, SME instrument phase 2

The conditions related to this topic are provided at the end of this call and in the General Annexes.

SMEInst-04-2016-2017: Engaging SMEs in space research and development

Specific Challenge: To engage small and medium enterprises in space research and development, especially those not traditionally involved in it and reduce as much as possible the entry barriers to SMEs for Horizon 2020 funding. The actions under this topic could cover any aspect of the Specific Programme for Space (Horizon 2020 Framework programme and Specific programme). However, it is considered that actions in the areas of applications, especially in connection to the flagship programmes Galileo and Copernicus, spinning-in (i.e. application of terrestrial solutions to challenges in space) and the development of certain critical technologies could be adequately suited for this call.

Type of Action: SME instrument phase 1, SME instrument phase 2

The conditions related to this topic are provided at the end of this call and in the General Annexes.

SMEInst-05-2016-2017: Supporting innovative SMEs in the healthcare biotechnology sector

Specific Challenge: The healthcare biotechnology sector offers huge business and commercial opportunities; however it also requires heavy and risky investments which are often lacking in Europe, hampering the development of the industry.

The challenge includes either:

a) Cell technologies in medical applications (all phase 1 and phase 2 deadlines in 2016 and 2017)

Cell technologies include cell manufacturing (culture, multiplication, scale-up and automation), preservation, banking and transport; identification, cell sorting and delivery, imaging, tracking, process and quality control; genetic engineering and gene editing;
production of therapeutic biomolecules. The medical applications of cell technologies include diagnostics and biosensors; cell and gene therapy, tissue engineering, bio-artificial organs, haematology, immunotherapy, and vaccine and antibody production; predictive toxicology, synthetic biology, and modelling development and disease processes.

However, the diversity, complexity and variability of living cells pose challenges for bringing safe, reliable, regulatory-compliant and cost-effective products to the market and to the patient. SMEs developing cell-based products and processes have limited financial resources to take the critical steps to move from proof of concept to practical application while at the same time addressing considerations such as scale-up/scale-out, automation, logistics, regulatory pathways and business models.

Particular attention should be given to dialogue with regulators and compliance with safety and regulatory requirements, such as those pertaining to cell procurement, GMP, ethics, clinical trials, ATMPs and medical devices.

The challenge addresses cells from any eukaryotic source though their eventual application must be to human medicine.

Or:

b) Clinical research for the validation of biomarkers and/or diagnostic medical devices (only at the first cut-off date in 2017 and for phase 2 applications - phasing out of the topic PHC-12-2014/2015 introduced in the Work Programme 2014-2015)

Biomarkers are used in clinical practice to indicate both normal and pathological conditions. They are also used for predictive or prognostic purposes. They are being used increasingly in medicine and many potential new biomarkers are proposed every year. However, only a few of these have been validated for clinical use. To achieve validation a robust analytical method is required and a link to a pertinent clinical process or endpoint needs to be demonstrated.

This validation process should provide evidence for high analytical value, appropriate sensitivity and specificity, and clinical validity. Particular attention should be given to validation of biomarkers with potential for rapid uptake into clinical practice. Both in vivo and in vitro potential biomarkers are eligible. Priority is given to the validation of disease-related biomarkers (i.e. diagnostic, susceptibility/risk, monitoring and prognostic biomarkers). Validation of the clinical performance of new diagnostic devices can also be supported, either in combination with the biomarker validation or against existing standards.

**Type of Action:** SME instrument phase 1, SME instrument phase 2

*The conditions related to this topic are provided at the end of this call and in the General Annexes.*

Specific Challenge: The challenge is to help overcome the current gaps in exploitation of promising research results in ICT for Health, Well-being and Ageing well and to stimulate increased availability and market uptake of relevant ICT products and services. This concerns both interoperable and secure eHealth\(^4\) solutions for consumers and institutional healthcare delivery building on standards and new ICT solutions and innovation ecosystems for ageing well building on open software platforms\(^5\), in order to deliver new and more efficient care to European citizens and respond to new market opportunities for SMEs.

Particular attention should be given to potential for disruptive innovation and fast market uptake in ICT for health, wellbeing and ageing well. In particular it will be interesting for SMEs and young companies that are looking for swift support to their innovative ideas.

Type of Action: SME instrument phase 1, SME instrument phase 2

The conditions related to this topic are provided at the end of this call and in the General Annexes.

SMEInst-07-2016-2017: Stimulating the innovation potential of SMEs for sustainable and competitive agriculture, forestry, agri-food and bio-based sectors

Specific Challenge: SMEs can play a crucial role in developing resource-efficient and cost-effective solutions to secure sufficient supplies of safe, healthy and high quality food and other bio-based products, by developing productive, sustainable and resource-efficient primary production systems, fostering related ecosystem services and the recovery of biological diversity, alongside competitive and low-carbon supply, processing and marketing chains. Actions under this topic are expected to contribute to one or a combination of several challenges addressed by Societal Challenge 2 of Horizon 2020 with regard to terrestrial resources (i.e. 2.1 'Sustainable agriculture and forestry', 2.2 'Sustainable and competitive agri-food sector for a safe and healthy diet' and 2.4 'Sustainable and competitive bio-based industries and supporting the development of a European bioeconomy'). Particular attention should be given to:

- Advancing innovations in Integrated Pest Management

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\(^4\) eHealth in Digital Agenda, see [http://ec.europa.eu/digital-agenda/ehealth](http://ec.europa.eu/digital-agenda/ehealth);


An open platform describes a software system which is based on open standards, such as published and fully documented external application programming interfaces (API) that allow using the software to function in other ways than the original programmer intended, without requiring modification of the source code. Using these interfaces, a third party could integrate with the platform to add functionality. The opposite is a closed platform. An open platform does not mean it is open source, however most open platforms have multiple implementations of APIs.
- Resource-efficient eco-innovative food production and processing
- Reduction of food losses and waste on farm and along the value-chain
- Creating added value from waste and by-products generated on farm and along the value-chain

**Type of Action:** SME instrument phase 1, SME instrument phase 2

*The conditions related to this topic are provided at the end of this call and in the General Annexes.*

**SMEInst-08-2016-2017:** Supporting SMEs efforts for the development - deployment and market replication of innovative solutions for blue growth

**Specific Challenge:** The potential of Europe’s Oceans, seas and coasts is significant for job and growth creation if the appropriate investments in research and innovation are made. SMEs contribution to the development of the ‘Blue Growth Strategy’ (COM (2012) 494) can be significant in particular in the fields of marine biotechnology, fisheries, marine and fresh water aquaculture (including production and processing of feed and food). However, one of the most important barriers for the development of innovative maritime economic activities is the lack of access to finance for SMEs to develop high-potential, but high-risk innovative ideas and to bring them close to market. The SME instrument offers financial support to SMEs with an EU dimension to put forward their most innovative ideas in the previously mentioned maritime and aquaculture/fisheries sectors with a particular focus on close-to-market solutions and potential for high growth and internationalisation.

**Type of Action:** SME instrument phase 1, SME instrument phase 2

*The conditions related to this topic are provided at the end of this call and in the General Annexes.*

**SMEInst-09-2016-2017:** Stimulating the innovation potential of SMEs for a low carbon and efficient energy system

**Specific Challenge:** SMEs play a crucial role in developing resource-efficient, cost-effective and affordable technology solutions to decarbonise and make more efficient the energy system in a sustainable way. They are expected to strongly contribute to one or a combination of more than one of the challenges outlined in the legal base of the Horizon 2020 Societal Challenge ‘Secure, Clean and Efficient Energy’, in particular with regard to:

- Reducing energy consumption and carbon footprint by smart and sustainable use (including energy-efficient products and services as well as ‘Smart Cities and Communities’),

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- Low-cost, low-carbon electricity supply (including renewable energy as well as carbon capture and storage and re-use),
- Alternative fuels and mobile energy sources,
- A single, smart European electricity grid,
- New knowledge and technologies, and
- Robust decision making and public engagement.

**Type of Action:** SME instrument phase 1, SME instrument phase 2

*The conditions related to this topic are provided at the end of this call and in the General Annexes.*

**SMEInst-10-2016-2017:** Small business innovation research for Transport and Smart Cities Mobility

**Specific Challenge:** The European transport sector must have the capacity to deliver the best products and services, in a time and cost efficient manner, in order to preserve its leadership and create new jobs, as well as to tackle the environmental and mobility defies. The role of SMEs to meet these challenges in all the areas of the Transport Specific Programme\(^7\) is critical as they are key players in the supply chains. Enhancing the involvement of weaker players in innovation activities as well as facilitating the start-up and emergence of new high-tech SMEs is of paramount importance. SMEs are pivotal for delivering the innovations needed for greater sustainable and smarter mobility, better accessibility and logistics serving business and citizens, and thus higher economic growth, in a context where the majority of population lives in urban and urbanised areas. Actions to develop new services, products, processes, technologies, systems and combinations thereof that contribute to achieving the European transport and mobility goals defined in the 2011 Transport White Paper could be particularly suited for this call.

**Type of Action:** SME instrument phase 1, SME instrument phase 2

*The conditions related to this topic are provided at the end of this call and in the General Annexes.*

**SMEInst-11-2016-2017:** Boosting the potential of small businesses in the areas of climate action, environment, resource efficiency and raw materials

**Specific Challenge:** Innovative SMEs have been recognised as being able to become the engine of the green economy and to facilitate the transition to a resource efficient, climate-smart circular economy. They can play an important role in helping the EU to exit from the economic crises and in job creation. The potential of commercialising innovative solutions from SMEs is however hindered by several barriers including the absence of the proof of

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concept, the difficulty to access risk finance, the lack of prototyping, insufficient scale-up studies, etc. Growth therefore needs to be stimulated by increasing the levels of innovation in SMEs, covering their different innovation needs over the whole innovation cycle.

Innovative SMEs should be supported and guided to reach and accelerate their full green growth potential. This topic is targeted at all types of eco-innovative\(^8\) SMEs in all areas addressing the climate action, environment, resource efficiency and raw materials challenge – including but not restricted to the 2016-2017 strategic priorities of systemic eco-innovation and circular economy, nature-based solutions, climate services, sustainable supply of raw materials, harnessing GEOSS Earth observation data, cultural heritage for sustainable growth, and water – focusing on SMEs showing a strong ambition to develop, grow and internationalise. All kinds of promising ideas, products, processes, services and business models, notably across sectors and disciplines, for commercialisation both in a business-to-business (B2B) and a business-to-customer (B2C) context, are welcome.

**Type of Action:** SME instrument phase 1, SME instrument phase 2

*The conditions related to this topic are provided at the end of this call and in the General Annexes.*

**SMEInst-12-2016-2017:** New business models for inclusive, innovative and reflective societies

**Specific Challenge:** SMEs, including social enterprises and cultural actors, can build their growth on business model innovation, taking into account new opportunities arising from servitisation, from individual empowerment, from a more collaborative economy, from opening up government data and services and from the pervasive use of new technologies. A change of paradigm from ownership to access, from individual consumption to shared functionalities can be applied in several sectors benefiting from digital technologies and ensuring more sustainable lifestyles to EU citizens particularly in cities. A similar paradigm shift is happening in the relationship between government, citizens and businesses, where societal actors take on a more proactive role in the design and delivery of public services. One of the main challenges is to attract business to use public platforms to create more value as current business models do not adequately exploit the benefits of participation and collaboration with government. New ways of creating, producing, consuming, using, educating, learning, caring, moving and living are emerging in European cities. New ways of exploiting tangible and intangible cultural heritage are made possible. News ways of creating innovative public services, using open data and open public services provide new business opportunities. SMEs developing and adapting new business models play a key role in these transformations. The specific challenge addressed by this topic is to enable SMEs in traditional and new sectors, collaborative economy and creative sectors, cultural heritage and the social economy as well as collaborative public service creation to innovate and grow across traditional boundaries, through new business models and organisational change.

Type of Action: SME instrument phase 1, SME instrument phase 2

The conditions related to this topic are provided at the end of this call and in the General Annexes.

SMEInst-13-2016-2017: Engaging SMEs in security research and development

Specific Challenge: To engage small and medium enterprises in innovation activities in the domain of security, especially those not traditionally involved in it, and reduce as much as possible the entry barriers to SMEs for Horizon 2020 funding.

The actions under this topic should cover any aspect of the Specific Programme for "secure societies - protecting freedom and security of Europe and its citizens" (Horizon 2020 Framework programme and Specific programme):

7.1. Fighting crime, illegal trafficking and terrorism, including understanding and tackling terrorist ideas and beliefs

7.2. Protecting and improving the resilience of critical infrastructures, supply chains and transport modes

7.3. Strengthening security through border management

7.4. Improving cyber security

7.5. Increasing Europe's resilience to crises and disasters

7.6. Ensuring privacy and freedom, including in the Internet, and enhancing the societal legal and ethical understanding of all areas of security, risk and management

7.7. Enhancing standardisation and interoperability of systems, including for emergency purposes

7.8. Supporting the Union's external security policies, including through conflict prevention and peace-building

Type of Action: SME instrument phase 1, SME instrument phase 2

The conditions related to this topic are provided at the end of this call and in the General Annexes.

Scope: The SME instrument consists of three phases, including a coaching and mentoring service for beneficiaries. Participants can apply to phase 1 or directly to phase 2.

In phase 1, a feasibility study shall be developed in order to verify the technological/practical as well as economic viability of an innovation idea/concept with considerable novelty to the industry sector in which it is presented (new products, processes, design, services and technologies or new market applications of existing technologies). The activities could, for example, comprise risk assessment, market study, user involvement, Intellectual Property (IP)
management\textsuperscript{9}, innovation strategy development, partner search, feasibility of concept and the like to establish a solid high-potential innovation project aligned to the enterprise strategy and with a European dimension. Bottlenecks in the ability to increase profitability of the enterprise through innovation shall be detected and analysed during phase 1 and addressed during phase 2 to increase the return in investment in innovation activities. The proposal should contain an initial business plan based on the proposed idea/concept. It should outline the specifications of a more elaborate business plan, which is to be the outcome of the project, and the criteria for success.

Funding will be provided in the form of a lump sum of EUR 50,000. Projects should last around 6 months.

**In phase 2**, innovation projects\textsuperscript{10} will be supported that address the specific challenges identified and that demonstrate high potential in terms of company competitiveness and growth underpinned by a strategic business plan. Activities should focus on innovation activities such as demonstration, testing, prototyping, piloting, scaling-up, miniaturisation, design, market replication and the like aiming to bring an innovation idea (product, process, service etc.) to industrial readiness and maturity for market introduction, but may also include some research. For technological innovation, Technology Readiness Levels of 6 or above (or similar for non-technological innovations) are envisaged; please see part G of the General Annexes.

Proposals shall be based on an elaborate business plan. Particular attention must be paid to IP protection and ownership; applicants will have to present convincing measures to ensure the possibility of commercial exploitation (‘freedom to operate’).

Proposals shall contain a specification for the outcome of the project and criteria for success. They will include an explanation of how the results of the supported project are to be commercialised and of what kind of impact on the company is expected.

The Commission considers that proposals requesting a contribution from the EU of between EUR 0.5 and 2.5 million\textsuperscript{11} would allow phase 2 to be addressed appropriately. Nonetheless, this does not preclude submission and selection of proposals requesting other amounts (higher or lower). Projects should last between 12 and 24 months.

**Phase 3** of the SME Instrument aims to increase the economic impact of the funding provided by the SME Instrument phase 1&2 grants and by the business coaching. Phase 3 is not

\textsuperscript{9} This is not limited to the costs of acquiring and enforcing European or international IPR titles but could include auditing and risk management schemes to protect IP assets across planned supply and distribution chains and more generally IP valorisation plans to enhance return on investment and lever commercial investment into the relevant project.

\textsuperscript{10} In the case of SMEInst-05-2016-2017, research type activities in medical application and clinical validation, including support for clinical studies and trials, will be predominant and will necessitate reimbursement at 100%. The Technology Readiness Levels indication does not apply.

\textsuperscript{11} In the case of SMEInst-05-2016-2017, phase 2 proposals can request a contribution from the EU of between EUR 1 and 5 million.
subsequent to phase 1 and/or 2, but provides specific support to SME instrument beneficiaries during and after phase 1 or 2.

All support under phase 3 of the SME instrument will be accessible through a single, dedicated entry point, which will serve as an information portal and a networking space.

This platform will offer access to two main strands of services:

- Access to markets
- Access to finance

In addition, phase 3 will create opportunities for partnering, networking and training, which are set out in the Dedicated Support Actions at the end of this call.

SME instrument beneficiaries are also offered dedicated business innovation coaching and mentoring support. This service is facilitated by the Enterprise Europe Network and delivered by a dedicated coach through consultation and signposting to the beneficiaries. The coaches are recruited from a central database managed by the Commission and have all fulfilled stringent criteria with regards to business experience and competencies.

Throughout the three phases of the instrument, the Network will complement the coaching support by providing access to its innovation and internationalisation service offering. This could include, for example, depending on the need of the SME, support in identifying growth potential, developing a growth plan and maximising it through internationalisation; strengthening the leadership and management skills of individuals in the senior management team and developing in-house coaching capacity; developing a marketing strategy or raising external finance.

**Expected Impact:**

- Enhancing profitability and growth performance of SMEs by combining and transferring new and existing knowledge into innovative, disruptive and competitive solutions seizing European and global business opportunities.
- Market uptake and distribution of innovations\(^\text{12}\) tackling the specific challenges in a sustainable way.
- Increase of private investment in innovation, notably leverage of private co-investor and/or follow-up investments.
- The expected impacts should be clearly described in qualitative and quantitative terms (e.g. on turnover, employment, market seize, IP management, sales, return on investment and profit).

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\(^{12}\) In the case of SMEInst-05-2016-2017, the development of innovative solutions should lead to value creation through the increased use of cell-based products/processes, biomarkers and/or diagnostic medical devices in industrial or clinical settings, and should contribute to technical and regulatory progress in these domains.
### Conditions for the Call - Horizon 2020 dedicated SME Instrument 2016-2017

**Opening date(s), deadline(s), indicative budget(s):**

<table>
<thead>
<tr>
<th>Phase</th>
<th>Deadlines</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Opening: 26 Nov 2015</td>
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<tr>
<td>SME-2</td>
<td>03 Feb 2016</td>
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<td></td>
<td>14 Apr 2016</td>
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<td></td>
<td>15 Jun 2016</td>
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<td></td>
<td>13 Oct 2016</td>
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<tr>
<td>SME-1</td>
<td>24 Feb 2016</td>
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<td></td>
<td>03 May 2016</td>
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<td>07 Sep 2016</td>
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<td></td>
<td>09 Nov 2016</td>
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<td></td>
<td>Opening: 10 Nov 2016</td>
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<tr>
<td>SME-2</td>
<td>18 Jan 2017</td>
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<td>06 Apr 2017</td>
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<td>01 Jun 2017</td>
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<td></td>
<td>18 Oct 2017</td>
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<tr>
<td>SME-1</td>
<td>15 Feb 2017</td>
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<td></td>
<td>03 May 2017</td>
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</tbody>
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13 The Director-General responsible for the call may decide to open the call up to one month prior to or after the envisaged date(s) of opening.
All deadlines are at 17.00.00 Brussels local time.
The Director-General responsible may delay the deadline(s) by up to two months.
The deadline(s) in 2017 are indicative and subject to a separate financing decision for 2017.
The budget amounts for the 2016 budget are subject to the availability of the appropriations provided for in the draft budget for 2016 after the adoption of the budget 2016 by the budgetary authority or, if the budget is not adopted, as provided for in the system of provisional twelfths.
The budget amounts for the 2017 budget are indicative and will be subject to a separate financing decision to cover the amounts to be allocated for 2017.
<table>
<thead>
<tr>
<th>Topics</th>
<th>Budgets (EUR million)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>2016</td>
</tr>
<tr>
<td>SMEInst-01-2016-2017</td>
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<td>SMEInst-02-2016-2017</td>
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<td>SMEInst-05-2016-2017</td>
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<td>SMEInst-06-2016-2017</td>
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<td>SMEInst-07-2016-2017</td>
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</tr>
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</table>

of which EUR 60.00 million from 'Information and Communication Technologies'.

of which EUR 66.00 million from 'Information and Communication Technologies'.

of which EUR 31.83 million from 'Nanotechnologies, Advanced Materials, Biotechnology and Advanced Manufacturing and Processing'.

of which EUR 35.32 million from 'Nanotechnologies, Advanced Materials, Biotechnology and Advanced Manufacturing and Processing'.

of which EUR 7.50 million from 'Nanotechnologies, Advanced Materials, Biotechnology and Advanced Manufacturing and Processing'.

of which EUR 7.50 million from 'Nanotechnologies, Advanced Materials, Biotechnology and Advanced Manufacturing and Processing'.

of which EUR 11.37 million from 'Leadership in Enabling and Industrial Technologies - Space'.

of which EUR 12.60 million from 'Leadership in Enabling and Industrial Technologies - Space'.

of which EUR 35.00 million from 'Health, demographic change and well-being'.

of which EUR 45.00 million from 'Health, demographic change and well-being'.

of which EUR 18.00 million from 'Health, demographic change and well-being'.

of which EUR 12.50 million from 'Health, demographic change and well-being'.

of which EUR 25.46 million from 'Food security, sustainable agriculture and forestry, marine and maritime and inland water research and the bioeconomy'.

of which EUR 32.19 million from 'Food security, sustainable agriculture and forestry, marine and maritime and inland water research and the bioeconomy'.
The budget available for phase 1 and phase 2 will be divided equally between each cut-off date.

Up to 10% of the annual budget will be used for phase 1 funding; 87% of the annual budget for phase 2 funding; at least 1% will be used for phase 3 related actions. In addition, 1% of the budget will be used to support coaching and mentoring activities supporting phase 1 and 2. Other than that, up to 1% of the annual budget will be used for evaluation.

**Indicative timetable for evaluation and grant agreement signature:**

For the SME instrument:

<table>
<thead>
<tr>
<th>SMEInst-08-2016-2017</th>
<th>9.50 ²⁸</th>
<th>10.00 ²⁹</th>
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<tbody>
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<td>SMEInst-09-2016-2017</td>
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<td>61.23 ³³</td>
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<td>SMEInst-11-2016-2017</td>
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<td>SMEInst-12-2016-2017</td>
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</tr>
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<td>SMEInst-13-2016-2017</td>
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<td>14.67 ³⁹</td>
</tr>
<tr>
<td>Overall indicative budget</td>
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<td>385.91</td>
</tr>
</tbody>
</table>

²⁸ of which EUR 9.50 million from 'Food security, sustainable agriculture and forestry, marine and maritime and inland water research and the bioeconomy'.

²⁹ of which EUR 10.00 million from 'Food security, sustainable agriculture and forestry, marine and maritime and inland water research and the bioeconomy'.

³⁰ of which EUR 46.00 million from 'Secure, Clean and Efficient Energy'.

³¹ of which EUR 50.00 million from 'Secure, Clean and Efficient Energy'.

³² of which EUR 57.57 million from 'Smart, green and integrated transport'.

³³ of which EUR 61.23 million from 'Smart, green and integrated transport'.

³⁴ of which EUR 25.00 million from 'Climate action, environment, resource efficiency and raw materials'.

³⁵ of which EUR 27.50 million from 'Climate action, environment, resource efficiency and raw materials'.

³⁶ of which EUR 10.80 million from 'Europe in a changing world – inclusive, innovative and reflective Societies'.

³⁷ of which EUR 11.40 million from 'Europe in a changing world – inclusive, innovative and reflective Societies'.

³⁸ of which EUR 15.37 million from 'Secure societies – Protecting freedom and security of Europe and its citizens'.

³⁹ of which EUR 14.67 million from 'Secure societies – Protecting freedom and security of Europe and its citizens'.
• Information on the outcome of the evaluation: Maximum 2 months after the corresponding cut-off date set out above for phase 1 and maximum 4 months after the corresponding cut-off date set out above for phase 2; and

• Indicative date for the signing of grant agreements: Maximum 3 months from the final date for submission in phase 1 and maximum 6 months from the final date for submission in phase 2.

Eligibility and admissibility conditions: The conditions are described in parts B and C of the General Annexes to the work programme with the following exceptions:

- Proposals for phase 1 are not required to provide a draft plan for exploitation and dissemination.
- A proposal for phase 2 shall include a first commercialisation plan.

Evaluation criteria, scoring and threshold: The criteria, scoring and threshold are described in part H of the General Annexes to the work programme with the following exceptions:

- The criterion Impact will be evaluated first, then Excellence and Implementation.
- For phase 1 the threshold for individual criteria will be 4. The overall threshold, applying to the sum of the three individual scores, will be 13.
- For phase 2 the threshold for the criterion Impact will be 4. The overall threshold, applying to the sum of the three individual scores, will be 12.
- The final consensus score of a proposal will be the median of the individual scores of the individual evaluators; and the consensus report will comprise a collation of the individual reports, or extracts from them. Where appropriate, a Panel Review will be organised remotely.
- Applicants can provide during the electronic proposal submission up to three names of persons that should not act as an evaluator in the evaluation of their proposal for potential competitive reasons. If any of the persons identified is an independent expert participating in the evaluation of the proposals for the call in question, they may be excluded from the evaluation of the proposal concerned, as long as it remains possible to have the proposal evaluated.
Evaluation Procedure: The procedure for setting a priority order for proposals with the same score is given in part H of the General Annexes.

The full evaluation procedure is described in the relevant guide published on the Participant Portal.

Consortium agreement: In the case of two or more SMEs submitting a proposal, members of the consortium are required to conclude a consortium agreement in principle prior to the signature of the grant agreement.
SME INSTRUMENT PHASE 3 – DEDICATED SUPPORT ACTIONS

The proposed actions are funded by the budget dedicated to the SME instrument under Horizon 2020.

1. SME Instrument Business Community - Interactive Platform (information portal and networking space)

A communication platform will be created as the backbone for organisation and support of the activities of SME instrument beneficiaries. It will provide access to different services offered under phase 3, facilitating:

- Promotion possibilities and online interaction with potential investors, large enterprises, and (public) procurers, who will be offered to create a profile on the platform for information sharing and exchange
- the management of the coaching and mentoring activities, by providing the interface between EASME, the Enterprise Europe Network, the business innovation coaches and mentors and the beneficiaries
- registration for and participation in relevant events (including overseas trade fairs – see 1.4 – and the events referred to under the SME Instrument Business Community Activities – see 1.2)
- registration for and participation in the courses offered by the SME Instrument Academy (see 1.3)
- access to existing services offered by the Enterprise Europe Network, the EU Single Access to Finance Portal, the EU IPR Helpdesk, the European Observatory against infringements of IPR, the Procurement of Innovation Platform and other offerings at EU, national, regional level that could be of potential interest

The technical maintenance of the platform will be supported up to the third quarter of 2018.

Type of action: Public Procurement – Existing Framework Contract – One specific contract

Indicative timetable: First quarter of 2016

Indicative budget: EUR 0.5 million

2. SME Instrument Business Community Activities

The SME Instrument Business Community activities will provide SME instrument beneficiaries a range of support, including:

a) Participation in dedicated networking events, giving access to:

40 See http://een.ec.europa.eu/services/overview.
41 See http://europa.eu/youreurope/business/funding-grants/access-to-finance/
42 See https://www.iprhelpdesk.eu/.
44 See https://www.innovation-procurement.org/.
Face-to-face interaction with peers and various stakeholders, including representatives from the finance sector (see also b) and from large enterprises (see also c), coaches and Key Account Managers (KAM); this interaction can take the form of conferences or forum discussions on specific challenges related to commercialisation of innovative solutions for SMEs or innovation trends in markets, including on market and value chain reshaping potential of SME Instrument beneficiaries

- Communication of best practices and success stories from SME instrument beneficiaries
- Information on additional public funding and finance opportunities

**b) Participation in access to finance events and activities (organised by the EU or other parties)** and **relationship building with the investment community**, in view of:

- Facilitating access to seed finance for young companies
- Facilitating access to growth finance for more mature companies

Alternative sources of funding like crowd-funding networks and philanthropic investors will be adequately involved.

Where possible, activities should be organised in close link with the networking events for SME instrument beneficiaries (see a).

**c) Linkage with large enterprises in the framework of the 'Friends of the SME Instrument' initiative:**

- open to all large enterprises with a presence in the EU or in a Horizon 2020 associated country that are active in domains of particular relevance for the Horizon 2020 specific objectives Leadership in Enabling and Industrial Technologies and the Societal Challenges
- kick-started by an initial group of 100 to 200 large enterprises, aiming for a good geographical and sectorial spread and balance
- aimed at stimulating R&I cooperation with external partners and faster scaling-up of new businesses
- covering the organisation of workshops, seminars, site visits and other initiatives during which concrete cooperation possibilities between SME instrument beneficiaries and large enterprises are outlined

**Type of action:** Public procurement - at least one new direct contract

**Indicative timetable:** First quarter of 2016

**Indicative budget:** EUR 2.35 million; at least EUR 650.000 of this budget should be dedicated to activities developed under b)

### 3. SME Instrument Academy

45 *For instance pitching events organised by venture capitalists, seed accelerators, angel investors etc*
The SME Instrument Academy will offer a series of seminars and training events that will be open for participation to SME instrument beneficiaries.

The seminars may cover topics like:

- **Tailoring business models to customers and markets** (market strategy and positioning, customer-centric product and service development, supply chain modelling, sales methods and processes…)
- **Doing business abroad** (protecting intellectual knowledge assets, intercultural business communication, EU business support, cross-border public procurement activities …)
- **Business and innovation management** (intellectual property right strategy development and implementation, open innovation, business models for growth…)
- **Accessing finance** (investment readiness trainings, EU access to finance seminars\(^{46}\), elevator/video pitching…)

The topics shall be proposed on the basis of regular online surveys with SME Instrument phase 1 and phase 2 beneficiaries, coaches and Key Account Managers (KAM).

SME instrument beneficiaries will register via the SME Instrument Business Community Interactive Platform. The activities of the Academy will be closely linked to other events, for instance the ones organised under the SME Instrument Business Community activities, to ensure complementarities. The courses can take the form of online modules and/or face-to-face events, organised on a regional basis or centrally.

The action funded will have an expected duration of 30 months initially.

**Type of action:** Public Procurement - one new direct contract

**Indicative timetable:** First quarter of 2016

**Indicative budget:** EUR 0.8 million

### 4. Access to New Geographical Markets – Overseas Trade Fair Participation Programme

SME instrument beneficiaries – on the basis of an expression of interest, including a strong rationale for representation and business development overseas – will be able to participate in a number of (thematically) specialised overseas trade fairs of specific relevance for market penetration.

A "Horizon 2020 SME Instrument" stand will be set-up and will host around 10-15 selected beneficiaries at each trade fair to showcase the results of their projects. Those trade fairs will cover both cross-sectorial and specific industry sectors, and be relevant to the different sectors of activity under the Horizon 2020 Societal Challenges and the specific objective Leadership

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in Enabling and Industrial Technologies. Brokerage events might be linked to these overseas trade fairs.

In order to prepare their participation and exploit to the fullest this opportunity, the participating SME instrument beneficiaries will receive a package of support services including:

- Training on third countries markets, IPR and business culture
- Support to pre-set meaningful business meetings; appropriate follow-up and evaluation of the quality of the business meetings will be ensured.

**Type of action:** Public procurement –at least one new direct contract

**Indicative timetable:** First quarter of 2016

**Indicative budget:** EUR 2.7 million