



**COUNCIL OF  
THE EUROPEAN UNION**

**Brussels, 31 August 2011**

**13619/11**

**RECH 280  
COMPET 369  
REGIO 63  
AGRI 564  
PECHE 221  
FSTR 32**

**COVER NOTE**

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from: Secretary-General of the European Commission,  
signed by Mr Jordi AYET PUIGARNAU, Director

date of receipt: 26 August 2011

to: Mr Uwe CORSEPIUS, Secretary-General of the Council of the European  
Union

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No Cion doc.: SEC(2011) 1013 final

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Subject: Commission Staff Working Paper - Competitive European Regions through  
Research and Innovation - New practical Guide to EU funding opportunities  
for research and innovation

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Delegations will find attached Commission document SEC(2011) 1013 final.

Encl.: SEC(2011) 1013 final



EUROPEAN COMMISSION

Brussels, 25.8.2011  
SEC(2011) 1013 final

**COMMISSION STAFF WORKING PAPER**

**COMPETITIVE EUROPEAN REGIONS THROUGH RESEARCH AND  
INNOVATION  
NEW PRACTICAL GUIDE TO EU FUNDING OPPORTUNITIES FOR RESEARCH  
AND INNOVATION**

**COMPETITIVE EUROPEAN REGIONS THROUGH RESEARCH AND INNOVATION**



**NEW PRACTICAL GUIDE TO EU FUNDING OPPORTUNITIES FOR RESEARCH AND INNOVATION**



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Neither the European Commission nor any person acting on behalf of the Commission is responsible for the use which might be made of the information in this guide.

The purpose of the guide, and particularly the checklist and scorecard tools, is to simplify access to the relevant information on funding according to the needs of the potential beneficiary.

It does not commit the European Commission or any other body to provide financial support.

Potential beneficiaries are deemed to acknowledge and comply with the precise rules governing each form of financial support they may be interested in, relevant information on which can be found via the links in Annex 4.

In case of dispute, the text of the guide in English shall be considered the authentic version. The text is copyright and its content may not be incorporated in other documents or media without the permission of the Commission.

Last update on: 2011-07



## INTRODUCTION

In an open global economy, competitiveness relies on the capacity of businesses to create high value-added goods and services. A move towards innovation-based sustainable growth is therefore at the heart of the EU's response to globalisation. In June 2010, the EU Heads of State and government endorsed the Europe 2020 strategy that aims to get the European economy back on track. At the heart of Europe 2020 is the conviction that we need R&D and innovation to create smart, sustainable growth and get Europe out of the current economic crisis.

Research and innovation can also offer solutions to overcome the great challenges that face our continent and the rest of the world, challenges such as energy security, climate change, environmental degradation, the exclusion of vulnerable groups, the ageing population, global health threats, and demographic developments.

The European Union possesses five key funding opportunities to support research and innovation: the Research Framework Programme, the Competitiveness and Innovation Framework Programme, the Structural Funds and the Cohesion Fund within the Cohesion policy; the European Agricultural Fund for Rural Development and the European Fisheries Fund within the Rural development policy and the Common Fisheries Policy.

In 2007 the European Commission published its ideas on 'Competitive European Regions through Research and Innovation'<sup>1</sup> and called on Member States and regions to make more effective use of the available funding instruments. The first edition of the Practical Guide was introduced in 2008 to provide a concise description of the main funding sources in the field of research and innovation. It explained how they can be combined in practice and provided policy makers with advice on setting up mechanisms at the national and regional levels to foster co-ordinated access to them.

The Competitiveness Council invited the Commission to continue progressing in this direction, notably by improving, upgrading and expanding the scope of the existing Practical Guide, including the modernisation of the guide as a comprehensive web-based portal on research and innovation. We are very happy to offer you this revised version of the Practical Guide.

Volume 1 of this new edition includes a full up-to-date picture of the three sources of funding described in the initial Guide (7<sup>th</sup> Research Framework Programme, Competitiveness and Innovation Framework Programme and Structural Funds) completed by information on the European Agricultural Fund for Rural Development and on the European Fisheries Fund. Volume 2 focuses on additional funding opportunities in the field of research and innovation. It includes information on the Lifelong learning programme and international cooperation in the field of education and on LIFE + in the field of the environment. It also describes the research and innovation funding opportunities offered to countries and territories beyond the European Union, in the framework of Pre-accession Assistance and within the European Neighbourhood and Partnership Instrument.

It has been produced with the full collaboration and support of our fellow Commissioners Vice-President Mr Kallas (Transport), Vice-President Ms Kroes (Digital Agenda), Mr Andor (Employment, Social Affairs and Inclusion), Mr Ciolos (Agriculture and Rural Development), Ms Damanaki (Maritime Affairs and Fisheries), Mr Oettinger (Energy), Mr Rehn (Economic and Monetary Affairs), Ms Vassiliou (Education, Culture, Multilingualism and Youth), Mr Potočník (Environment), Mr Füle (Enlargement and European Neighbourhood Policy) and Mr Piebalgs

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<sup>1</sup> COM (2007) 474 of 16/08/2007

(Development and Cooperation - EuropAid), who are jointly responsible with us for the funding instruments covered by the guide.

This new Guide provides potential recipients of EU funding for research and innovation with the practical information they need to access this funding. It also provides decision-makers with a full picture of all the funding opportunities available until 2013. The complexity of the present landscape has led us to propose to bring together the full range of research and innovation financing instruments within a common strategic framework under the future multi-annual financial framework. With a common set of simplified rules and procedures and a single set of funding instruments, it offers the potential to make EU funding more effective and increase its impact, while making it easier to access for participants. The common strategic framework for research and innovation, together with revamped structural funds while allow us to swiftly move forward with the implementation of the Europe 2020 strategy.

Máire Geoghegan-Quinn



Commissioner for  
Research, Innovation  
And Science

Johannes Hahn



Commissioner for  
Regional Policy

Antonio Tajani



Vice-President, Commissioner  
for Industry and  
Entrepreneurship

## 1. HOW DO I OBTAIN SUPPORT FOR MY RESEARCH, INNOVATION AND ENTREPRENEURIAL IDEAS?

- Are you a researcher with an idea for a research or innovation project?
- Do you need to upgrade the skills or the capacity of your research organisation?
- Are you an entrepreneur who would like to undertake research and innovation activities?
- Are you already engaged in commercial innovation activities whether or not arising from research and development?
- Are you a cluster manager who seeks to internationalise a cluster and make it more innovative?
- Are you a regional innovation policy-maker, information officer or research programme manager and want to exchange good practices with your peers from other EU Member States?

There may well be funding opportunities available at EU level that can help you implement your plans. The objective of this guide is to explain how to get to relevant information on funding opportunities ("getting through the maze") and make the best use of the possibilities offered by individual instruments or their combination.

### 1.1. Framework for developing your ideas

Clearly, the first step is up to you. You need to think your ideas through and develop a clear outline of your proposal. Remember, it is better that the process is driven by your ideas rather than by the funding sources that happen to be available.

In general, your ideas will fall into three broad categories:

1. You wish to build up or enhance the research capacity of your organisation, including through training, or you intend to undertake pre-competitive research and technological development to generate new knowledge.
2. You are interested in innovation in the sense of technology transfer, access to venture capital or business and innovation support services. You wish to develop new or improved products and services for commercial and competitive purposes or up-date your production processes/organisation/ marketing strategy. You address non-technological issues.
3. You wish to engage in enterprise development, for instance through setting-up an innovative company, the expansion or internationalisation of your existing business activities or the creation of new business and technology partnerships.

Framing your ideas in this way will help you to focus on your real needs and, the more clearly your needs are defined, the easier it is to identify the right instruments for you.

## 1.2. Instruments and Funding Options

When you have a clear understanding of what you want to achieve, you can proceed to consider whether the five main EU funding instruments – the 7<sup>th</sup> Framework Programme for Research, Technological Development and Demonstration activities and the 7<sup>th</sup> Euratom Framework Programme for Nuclear Research and Training Activities (FP7), the Competitiveness and Innovation Framework Programme (CIP), the Structural Funds (SF), the European Agricultural Fund for Rural Development (EAFRD)<sup>2</sup> and the European Fisheries Fund (EFF) – might offer the support that you need. Additional funding opportunities related to education and environment are described in volume 2 of this Guide, which also includes specific information on the research and innovation funding opportunities offered to the overseas countries and territories, in the frame of the Pre-accession Assistance and within the European Neighbourhood and Partnership Instrument. Depending on the research/innovation activity to which your idea relates, one or more of these instruments may be available to you. In addition to funding, these instruments may also offer other types of benefits, such as possibilities for networking or making use of information and other services provided.

### **Research: 7th Framework Programme for Research, Technological Development and Demonstration activities and the 7<sup>th</sup> Euratom Framework Programme for Nuclear Research and Training Activities (FP7<sup>3</sup>)**

EC FP7 with a total budget of over € 50 billion for the period 2007-2013 is the EU instrument specifically targeted at supporting research and development. It provides funding to co-finance research, technological development and demonstration projects based on competitive calls and independent peer review of project proposals. Support is available for collaborative and individual research projects as well as for the development of research skills and capacity. Since the 1980s, the successive Research Framework Programmes have played a lead role in multidisciplinary research and cooperative trans-national R&D activities in Europe and beyond. Euratom FP7 (2007-2011) has a dedicated budget of € 2.75 billion for applied research and training activities in fusion energy and nuclear fission and radiation protection. Under the provisions of the Euratom Treaty, Euratom FPs are limited to a duration of five years, and therefore Euratom FP7 is being extended by two years in order to maintain parity with EU FP7.

FP7 also supports the European Commission's Joint Research Centre (JRC), a Directorate General of the EC that acts as the Commission's own research laboratory and provides customer-driven scientific and technical support for the conception, development, implementation and monitoring of European Union policies. JRC has a FP7 budget of €280 million to purchase support for its own scientific work programme ("direct actions").

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<sup>2</sup> The EAFRD's rules and mechanisms for providing support are similar to those of the Structural Funds.

<sup>3</sup> For the purposes of this guide, FP7 will collectively refer to both Framework Programmes, whereas EC FP7 and Euratom FP7 will refer to each individually where necessary.

### **Innovation: Competitiveness and Innovation Framework Programme (CIP)**

The Competitiveness and Innovation Framework Programme aims to foster the competitiveness of European enterprises and has a total budget of over € 3.6 billion for the period 2007-2013. Specific CIP programmes promote innovation (including eco-innovation); foster business support services in the regions and better access to finance, with small and medium-sized enterprises (SMEs) as the main target; encourage a better take-up and use of information and communications technologies (ICT); help to develop the information society and promote the increased use of renewable energies and energy efficiency.

### **Cohesion Policy: Structural Funds and Cohesion Fund (SF)**

The purpose of the Structural Funds (European Regional Development Fund – ERDF and European Social Fund - ESF) and the Cohesion Fund<sup>4</sup> is to strengthen economic, social and territorial cohesion by reducing disparities in the level of development among regions and Member States. Each region or Member State has developed, in discussion with the Commission and in partnership with all relevant private and public stakeholders, operational programmes that cover the entire programming period 2007-2013. Many thematic areas are supported by the Structural Funds, including research, innovation and enterprise for which EU funding in the period 2007-2013 will be above € 86 billion. The allocation of funds in a given Member State or region varies according to its level of development. However, most regions will have some funding available from the Structural Funds in support of Research, Technological Development and Innovation (RTDI). Unlike FP7 and CIP, the management of the Structural Funds is shared between the different territorial levels of governance (partnership between the European Commission, the national and the regional authorities).

After 3 years in the current programming period, about 1/3 of this € 86 billion has been allocated to selected projects. Almost 2/3 is still available. The impact of this remaining amount must be optimised by selecting innovative projects in line with the Europe 2020 strategic priorities.

### **European Agricultural Fund for Rural Development (EAFRD)**

The EU rural development policy (2<sup>nd</sup> Pillar of the Common Agricultural Policy) aims at increasing the competitiveness of EU agriculture, food processing industries and forestry; at the establishment of sustainable land management and agri-environmental practices and at boosting the socio-economic development of rural areas. With its total budget of more than € 96 billion, the EAFRD offers a wide range of funding possibilities for entrepreneurs and companies operating in its fields of intervention. The EU rural development policy offers a **flexible approach**, based on the principles of subsidiarity and partnership. When designing rural development programmes (RDPs), Member States have a significant degree of flexibility in finding a balance between the sectoral dimension (e.g., agricultural restructuring) and the territorial dimension (e.g., land management and the socio-economic development of rural areas). From a menu of more than 40 support measures, Member States select those best suited to address the specific strengths and weaknesses of individual programming areas. Each Member State submits a national strategy plan ensuring that its proposals for using Community aid for rural development is consistent with the Community strategic guidelines and that Community, national and regional priorities are coherent. Programmes are built around three thematic axes: economic concerns

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<sup>4</sup> In order to simplify the text of the guide, and as the differentiation is not generally relevant for the final beneficiaries, references in this guide to the Structural Funds should be understood as including the Cohesion Fund.

(competitiveness), the environment and the countryside (biodiversity, climate change, sustainable resource use in agriculture and forests) and social aspects (quality of life, income diversification and rural employment). These are complemented by a horizontal axis: the 'LEADER approach' which acts as a bottom-up way of implementing the rural development policy. Both Member States and the Commission closely monitor and evaluate the results of strategies and programmes. More information is provided in Annex 4;

### **European Fisheries Fund (EFF).**

The European Fisheries Fund (EFF) aims to support the common fisheries policy. Funding is available for all sectors of the industry – sea and inland fishing, aquaculture (the farming of fish, shellfish and aquatic plants), and processing and marketing of fisheries products. Particular attention is given to fishing communities most affected by recent changes in the industry. The EFF has a budget of €4.3 billion for 2007-2013. In this framework, a limited number of projects can include research and innovation. More information is available in Annex 5.

**More detailed information on each of these funding sources can be found in Annexes 1 to 5 respectively. Depending on your level of knowledge of the funds, it may be helpful to study the information in the annexes first, before proceeding to read the rest of this guide.**

The candidate countries are fully fledged members of FP7 and the CIP-EIP.<sup>5</sup> Researchers and companies established in these countries can apply for any call published under these programmes. With regard to Structural Funds, candidate countries follow a very similar pattern of work to Member States when using their pre-accession assistance to support regional development, human resources and rural development. Please see volume 2 of this Guide for a complete presentation of the Instrument for Pre-Accession Assistance (IPA).

## **1.3. Sources of advice**

### **1.3.1. First step: our websites**

Before seeking advice, you may find it useful to have a look at the main communication tools of the three programmes: their specific websites (see internet addresses in Annex 4). There you can get an overview of the different activities funded, examples of projects, etc.

### **1.3.2. Information centres**

You can often get advice in information centres near you. There are two big networks of centres providing information in your own languages that can be found in the whole

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<sup>5</sup> Kosovo UNSCR 1244 is not yet participating to these programmes. Bosnia-Herzegovina is not a member of the CIP-EIP.

territory of the European Union and beyond: (a) the Enterprise Europe Network and (b) the National Contact Points. In addition, the Managing Authorities of the Structural Funds in Member States (c) can advise you on questions related to Cohesion Policy funding.

- (a) To identify the innovation potential and business needs of your company and for advice on how to develop project ideas, the **Enterprise Europe Network, supported by the CIP**, may help you. The Network centres are able to review your technology and business status, identify needs and explore technology transfer opportunities. They can also provide personalised advice and information to help apply for EU research and innovation funding, exploit technology opportunities or find business partners.

Consult the Enterprise Europe Network homepage to learn more about the assistance that it can provide and to find your local Enterprise Europe partner: [http://www.enterprise-europe-network.ec.europa.eu/index\\_en.htm](http://www.enterprise-europe-network.ec.europa.eu/index_en.htm)

- (b) The **National Contact Points** (NCPs) are national structures established and financed by governments of the 27 EU Member States and the states associated to FP7 and the CIP. In the case of the CIP, the NCPs deal only with some parts of the programme: there are NCPs for Intelligent Energy in Europe (IEE), NCPs for Information and Communication Technologies - Policy Support Programme (ICT-PSP) and NCPs for eco-innovation actions.

The NCPs provide personalised support, guidance, practical information and assistance on all aspects of participation in those programmes. This includes advice on technical and administrative questions concerning the calls for proposals, partner search, national priorities, and matching national co-financing possibilities, where applicable.

The NCP systems in the various countries have different structures, from highly centralised to decentralised networks, and a number of very different actors, from ministries to universities, research centres, specialist agencies and private consulting companies.

Find the Contact Points in your country in the following web pages:

- For FP7: [http://cordis.europa.eu/fp7/get-support\\_en.html](http://cordis.europa.eu/fp7/get-support_en.html)
- For the CIP:
  - NCPs for the IEE programme:  
[http://ec.europa.eu/energy/intelligent/contact/national\\_en.htm](http://ec.europa.eu/energy/intelligent/contact/national_en.htm)
  - NCPs for the ICT - PSP:  
[http://ec.europa.eu/information\\_society/activities/ict\\_psp/contacts/ncp/index\\_en.htm](http://ec.europa.eu/information_society/activities/ict_psp/contacts/ncp/index_en.htm)
  - NCPs for the Eco-innovation actions



[http://ec.europa.eu/environment/eco-innovation/contactncp\\_en.htm](http://ec.europa.eu/environment/eco-innovation/contactncp_en.htm)

- (c) The **Managing Authorities** of the Cohesion Policy funding programmes are national and regional authorities. They can help with questions related to the funding opportunities and procedures under the Structural Fund programme in their area. Contact details for your region or Member State: [http://ec.europa.eu/regional\\_policy/atlas2007/index\\_en.htm](http://ec.europa.eu/regional_policy/atlas2007/index_en.htm) and <http://ec.europa.eu/esf/main.jsp?catId=45&langId=en>.
- (d) The Managing Authorities of the European Rural Development funding programmes are national and regional authorities. They can help with questions related to the funding opportunities and procedures under the Rural Development programmes for the respective area. Contact details for your region or Member States:
- [http://ec.europa.eu/agriculture/rurdev/countries/index\\_en.htm](http://ec.europa.eu/agriculture/rurdev/countries/index_en.htm) and [http://enrd.ec.europa.eu/rural-development-policy/country-information/en/country-information\\_home\\_en.cfm](http://enrd.ec.europa.eu/rural-development-policy/country-information/en/country-information_home_en.cfm)
- (e) For the European Fisheries Fund, the Managing Authorities designated by the Member States can help with questions related to the funding opportunities and procedures. National contact points can be found at:
- [http://ec.europa.eu/fisheries/cfp/eff/apply\\_for\\_funding/national\\_authorities.pdf](http://ec.europa.eu/fisheries/cfp/eff/apply_for_funding/national_authorities.pdf)

## 2. A ROUTE TO THE RELEVANT FUNDING SOURCES ("GETTING THROUGH THE MAZE")

### 2.1. The aim of the guide:

Although plenty of information is available on the different EU funding sources, potential beneficiaries are often still confused, in particular when it comes to deciding which source of funding is most appropriate for a given activity. The aim of this guide is therefore to help potential applicants for EU funding for research and innovation to find their way to relevant information on funding opportunities ("getting through the maze") in order to identify the most suitable choices among the relevant EU programmes. Given the very wide range of activities that can be funded, the text of the guide cannot itself answer every question. However, it will direct the reader straight to the relevant source of information.

An **on-line version of the guide** is available at [http://cordis.europa.eu/eu-funding-guide/home\\_en.html](http://cordis.europa.eu/eu-funding-guide/home_en.html). As the EU research, development and innovation system continues to evolve, the on-line version will be updated regularly.

### 2.2. The checklist

In order to determine which programme or funding source is the most relevant to support your idea, **6 key questions** have been identified that will guide you to the relevant funding opportunities:

1. Am I eligible for a given programme or funding source?
2. Is my type of research, innovation or enterprise development activity eligible?
3. What about my timeframe?
4. What type of financial support can I obtain?
5. Who else is involved in the project?
6. Can I apply for funding in my location?

For each of the three funding sources, the answers to these questions will vary. Therefore, we have developed the Checklist attached to this guide that provides – by funding source – both a brief answer to the question and links to numerous supplementary sources of information.

### 2.3. The scorecard

As you proceed through the Checklist and answer the six questions, you can fill the results in the Scorecard (Annex 5) by allocating a "+" for each positive response, a "?" for an intermediate response (Maybe, Limited, Sometimes) and a "-" for a negative response.

In order for your project idea to have a chance for funding under a specific programme or sub-programme, you need to have all "+" or "?" in the line of the scorecard for that programme or sub-programme. A "-" means that your project idea could not receive funding under the given programme or sub-programme.

The scores you note in the scorecard will indicate how your project idea could fit under one or more programmes. However, this does not mean that you will automatically receive funding or that it is efficient to apply for funding under all programmes that achieve high scores. A few general rules that need to be borne in mind are described below.

## **The EU funding schemes: some general rules**

- **In the case of FP7 and CIP** (except for the Community Financial Instruments for SMEs)

The funding in the form of grants is normally allocated through the publication of "**calls for proposals**", meaning that project ideas have to be submitted by a certain deadline, comply with clearly defined themes and have the required partnership structure, usually trans-national. In other words, it is not possible simply to spontaneously apply to the Commission for assistance.

After the deadline, all proposals under a call will be checked by the Commission for eligibility then examined by a panel of external evaluators to assess their quality against a set of criteria. Funding will be awarded only for the best project proposals within the limits of the total available budget. In other words, even if a proposal meets the quality requirements, it might not get funding. In addition, under FP7, your project proposal might have to be modified (e.g. regarding its budget structure, types of actions, composition of the consortium) in the course of negotiation of the grant agreement. Please note that this is also the case for Intelligent Energy Europe and will be for CIP Eco-innovation.

Even though calls for proposal are the main tool to allocate funds, the Entrepreneurship and Innovation Programme of CIP provides an exception in this respect. Some of its measures are aimed at policy-support, for which SMEs benefit indirectly, and therefore the intervention mechanisms are not only calls for proposals but also tenders and other types of support such as services offered by the Enterprise Europe Network or better access to finance through the CIP financial instruments. For the intervention mechanisms of the CIP Financial Instruments for SMEs, see Annex 2 for more detailed information.

**In the case of FP7 Direct Actions** the JRC purchases support for its own scientific work programme in a range of thematic areas: Towards an open competitive and open economy; Development of a low carbon society; Sustainable management of natural resources; Safety of food and consumer products; Nuclear safety and security; Security and crisis management; Reference materials and measurements: by maintaining a strong reference role in the area of standards and reference measurements. In each of these thematic areas purchases of goods and services above a certain value (currently €60.000) are generally made through open calls for tender under the Service or the Supply Procurement Directives. Direct negotiations with possible suppliers are restricted to very specific circumstances, and usually to amounts below the threshold mentioned.

The assessment of tenderers and their offers takes place in four main stages, each undertaken by European Commission staff. The four stages are 1) Exclusion of tenderers; 2) Selection of tenderers; 3) Evaluation of offers; 4) Award of the contract. The assessment is based on the information and documents provided by the tenderer against criteria set in the Call for Tender.

- **In the case of the Structural Funds**

As the management of the Structural Funds is shared between the different territorial levels of governance, each region or Member State has developed, in discussion with the Commission and all relevant private and public stakeholders, one or more operational programmes. These are tailored to the socio-economic challenges in the Member State or region, but may not use all the possible funding themes and models provided under the SF Regulations. The main point to note therefore is that, although the Checklist will indicate that most types of

applicant, research/innovation activity, etc. have a positive score, not every region will be covered by an operational programme that supports the particular research or innovation activity you have in mind. You will need to check this with the Managing Authority in charge of the programme in question (see annex 4 for the list of Managing Authorities).

Also, application procedures (e.g. ongoing applications and project selection, calls for proposals on specific topics or competitions with fixed deadlines, etc.) and types of funding (grant, service/supply contract, financial instrument) are decided by the Managing Authority for the operational programme in question, depending on what is most appropriate for the activities envisaged. Project selection criteria are agreed by each operational programme's Monitoring Committee and are published (e.g. on Managing Authority websites). Projects will be evaluated according to these criteria.

Bear in mind in addition that a research or innovation project submitted to a Structural Funds programme will be judged on its likely contribution to economic development and employment in the Member State or region as well as on its scientific or technological quality.

### 3. HOW TO COMBINE THE DIFFERENT INSTRUMENTS

#### 3.1. Mixing EU funding sources: the rules of the game

The three EU funding sources (FP7, CIP and Structural Funds), when operating individually, provide significant support for research, development and innovation. However, their value can be further enhanced by combining them. How can this be done?

When considering how the funding sources can be combined, a clear distinction must be made between, on the one hand, co-financing, and, on the other hand, complementary financing.

##### Co-financing

Although the EU can in some circumstances provide 100% of the eligible costs of the financing for a programme or project, the general rule is that the beneficiary (whether a public authority, SME or research entity) also contributes to the cost. This is called co-financing. The Structural Funds, EAFRD, EFF, FP7 and CIP each have their specific rules on the required level of co-financing. The question arises whether an applicant, faced with the need to provide a contribution to a project under one of the instruments, could use funds it has received from one of the other instruments to cover the cost.

In the case of the applicant's contribution to a project financed with the Structural Funds the EAFRD and the EFF, the answer is a definite no. These funds must be co-financed by national and regional public and private funds. This means that funds received from another Community programme, like FP7 or CIP, cannot be used to provide the required national contribution to a Structural Funds programme and such action would indeed be illegal. The same prohibition applies in the other direction to the use of Structural Funds, EAFRD or EFF to cover the applicant's contribution to a project funded by FP7 or the CIP.

The provision of the Structural Funds Regulations for 2007-2013 that prohibits co-financing by another Community instrument is Article 54(5) of Council Regulation No. 1083/2006. Article 54(5) provides that "*an expenditure co-financed by the Funds shall not receive assistance from another Community financial instrument*".

In the case of FP7 or the CIP, using one of these funds to cover the cost of the applicant's contribution to a project under the other fund is in practical terms impossible, given the system of calls for proposals with specific subjects, eligibility and selection criteria

However, funds from the European Investment Bank Group (EIB and EIF) can generally be used to finance the national or regional contribution to a project under FP7, CIP or the Structural Funds. The EIB will typically provide a loan whereas the EIF will typically provide either Venture Capital funds or a guarantee. Under the CIP certain restrictions may apply with a view to enhancing the value added of CIP funding. Finally, in all cases, the maximum level of public support for a project is subject to respect of the state aid rules and the maximum contribution rate for each of the complementary financing.

##### Complementary financing

While co-financing the same project by different EU funds is either prohibited or not practically possible, it is possible to combine the resources of the Structural Funds, EAFRD, EFF, FP7 and CIP in a complementary way. This means using different funds for different actions (with separate cost statements/bills), which are carried out in a related or consecutive manner.

For instance, the preparatory phase (planning and design) of a research infrastructure project may be financed by FP7 and the construction by ERDF or EAFRD. After the construction, the use for research activities, including the training of researchers, may be supported by FP7, CIP, ERDF, EAFRD or ESF. This complementary financing is particularly interesting for the projects selected under ESFRI (European Strategic Forum for Research Infrastructure).

#### Diversified financing

The same beneficiary can diversify the sources of funding, for unrelated or complementary activities, by applying for different projects to different EU funding sources (FP7, CIP, ERDF or ESF). The applications will be assessed on the basis of their own merit in accordance to the rules of each funding sources.

#### Alternative financing

ERDF could support good projects identified by FP7 or CIP but not funded by these instruments due to insufficient resources. For instance, it could concern projects for improving research capacities in convergence and outermost regions pre-selected under the FP7 / Capacities programme / Research Potential initiative (RegPot).

#### Combined financing in the framework of networks, clusters and Science Parks

The different partners involved in the same network, cluster and Science Park, as well as the body coordinating such an entity, may be supported by different EU funding sources (FP7, CIP, ERDF or ESF). In this context, it is important to highlight that Science and technology parks, as well as business incubators, are important in facilitating innovation and stimulating regional development.<sup>6</sup>

#### Transfer of experience between networks, clusters and programmes

Experience capitalised in the framework of networks and clusters supported by one instrument can be transferred to networks and clusters funded by another instrument and to mainstream programmes supported by the Structural Funds. In this respect, projects including partners in different regions and countries such as those supported by the initiatives "Regions of Knowledge" (FP7) and "Regions for Economic Change" (ERDF, INTERREG IVC, Fast Track Networks) have an important role to play. This transfer of experience can help to build world-class centres for research and innovation.

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<sup>6</sup> EESC CCMI/072 (July2010), 'Technology, Industrial innovation and Science Parks'.

### No 'double financing'

What is double financing? It is a polite way to describe submitting the same item of expenditure (i.e. a specific cost) to different sources separately (either EU, national or regional) in order to obtain financial support from all of them. In other words, it is a fraudulent abuse of public money and clearly prohibited.

Thus, the Financial Regulation (Council Regulation (EC, Euratom) No 1605/2002) states at Article 111 that *in no circumstance shall the same costs be financed twice by the EU budget.*

### **3.2. Scenarios for complementary financing**

Opportunities for complementary financing may arise in a number of different circumstances.

- Separate but related activities or parts of a project can be funded at the same time by the Structural Funds, EAFRD, EFF, FP7 and the CIP.

#### **Examples of complementary financing for related activities**

1. A region is involved in the development of a major research infrastructure (e.g. a synchrotron). Under the Research Infrastructures action of the FP7 Capacities Specific Programme, the project receives funding for the design phase or for certain preparatory work (legal, technical, etc). However, FP7 cannot finance the actual construction of the facility. This is where the Structural Funds can step in. If the region is eligible for the Convergence Objective or for the Regional Competitiveness and Employment or for the European Territorial Co-operation objective, the Structural Funds can provide support for the construction and fitting out of the facility under the category of expenditure "R&D infrastructure and centres of competence in a specific technology".

2. A university is engaged in upgrading the skills of its staff, with transnational actions (such as international fellowships) covered by the People Programme of FP7 while the European Social Fund under the Structural Funds at the same time supports advanced training within the region.

3. An SME may be receiving support for an innovative business project in the form of a loan guaranteed by a financial intermediary approved under CIP's SME Guarantee Facility, while other related but distinct activities, for example training to up-grade the skills of the staff to be able to develop and implement the new business idea, can be in receipt of Structural Funds (under the European Social Fund).

- An activity could first be supported by FP7 or the CIP, and its follow-up later by the Structural Funds or EAFRD, or the other way round. Equally, the different funding sources may support different phases of the development of a technology over time, starting from basic research, to applied research, to demonstration or to pre-competitive market introduction.

➤ ***Structural Funds, EAFRD or EFF first, followed by FP7 or CIP***

It is often the case that funding is available to a research organisation or company under the Structural Funds in order to take the first tentative steps in research or in developing an innovative technology or product. The conditions for granting such funding are usually generous and flexible, especially in the least-developed regions. This allows the research organisation or company to grow to the point where it can enter the more competitive environment of FP7 for research activities and the development of technology or the CIP for broader innovative activities.

**Examples of support under the Structural Funds being followed by FP7 or CIP**

1. A research organisation in the domain of biotechnology has received funding from an Operational Programme under the Structural Funds. This has allowed the development of a new research idea in which research organisations in other countries have expressed interest. The area of activity is covered by a forthcoming call for proposals under the Cooperation Specific Programme of FP7. The research organisation leads a consortium that successfully applies for funding under the call. The research and development results of the FP7 project lead to a business idea and trigger the creation of a company. This start-up company can benefit from the CIP through loan guarantees or grants for pilot and market replication projects. It can also benefit from the CIP by receiving business support services delivered by the Enterprise Europe Network.

2. During a first stage, an SME is in receipt of grant funding under a business support priority of a Structural Funds programme in its region. In a second stage, it is interested in accessing other financial instruments such as venture capital for the further development of its activities. It applies for an investment by a Venture Capital Fund funded in part by CIP's High Growth and Innovative SME Facility. The Venture Capital Fund analyse its case, and decided to invest on this company. The SMEs agrees and receives funding from this source.

➤ ***FP7 or CIP first, followed by Structural Funds, EAFRD or EFF***

It may be that, during the lifetime of an FP7 or CIP project, funding needs are identified in order to continue the activity. However, there is no guarantee that a further application for funding under FP7 or the CIP would be possible, as there may be no relevant call open, or successful, given the very competitive nature of the process. However, if a Structural Funds Operational Programme, a Rural Development Programme or an EFF-Operational Programme in the region covers the research, technology or innovation in question, it may be able to provide the necessary funding to sustain the activity.

**Examples of support under FP7 or CIP being followed by the Structural Funds**

1. A research organisation in the domain of road transport forms part of a transnational consortium that has implemented a project under FP7. The research organisation has further research ideas arising from the project that it wishes to pursue itself. The region in which it is located is eligible for an Operational Programme under the Structural Funds in the domain of transport that includes a measure for the promotion of transport research. The research organisation applies for and secures funding for the related project under the Operational Programme.



2. An SME forms part of a consortium that has received funding through the Research for SMEs action under the FP7 Capacities Specific Programme. This has provided it with support to outsource certain research needs, and receive training for its own staff. As a result, it is now ready to undertake future research activities itself. It successfully applies for funding for capital expenditure to build its research capacity under the research and business priorities of a Structural Funds Operational Programme in its region or for assistance under the JEREMIE facility (see Annex 3).

### **3.3. How to identify and seize an opportunity for complementary funding**

If you have received, or intend to apply for, funding under FP7 or the CIP and you wish to find out about opportunities for complementary funding in your region under the Structural Funds, EAFRD or EFF, you simply consult the Operational Programmes for which the region is eligible. If these programmes support the same type of activity as your FP7 or CIP project, you may be able to seek complementary funding according to the programme rules.

If however you have received, or intend to apply for, funding under the Structural Funds, EAFRD or EFF and you wish to find out about opportunities for complementary funding in your region under the CIP or FP7, the situation is different. This is because there are no fixed FP7 or CIP allocations per region.

The appropriate course of action then is to examine the current funding opportunities under these instruments and apply according to the rules for participation. It needs to be recognised however that, even if the CIP or FP7 can fund the same type of activity as your Structural Funds, Rural Development or EFF project, it will not always be the case that a complementary funding opportunity will exist through a call for proposals at a particular moment.

### **3.4. Some practical examples of combining funding<sup>7</sup>**

Complementary financing for research infrastructures

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<sup>7</sup> Source: Document accompanying the Commission Communication on Regional Policy contributing to smart growth in Europe 2020, SEC(2010)1183

**Science Park Potsdam Golm, Germany (Finalist RegioStars Award 2009)**

*Since the mid-1990s, the Science Park at Golm on the outskirts of Potsdam has developed into the largest and most important science and research centre in Brandenburg. Originally the site of Potsdam University, Golm now hosts three Max Planck Institutes, two Fraunhofer Gesellschaft Institutes, a business incubation centre(GO:IN) and many innovative enterprises.*

*GO:IN, which opened in 2007, provides ideal start-up conditions for new entrepreneurs with services such as conference rooms, joint marketing and coaching. In 2008, it housed 28 enterprises.*

*ERDF contribution: EUR 74.3 million*

*More than 1.300 scientists are working at the science park and the various university institutes have a total of 7.000 students. Many joint research projects have been funded under FP5, 6 and 7.*

*More information: <http://www.wisspark.de/>*

Transfer of experience between networks, clusters and programmes

**Ireland: Resourcing Information and Technology Transfer in the Border, Midland and Western Region - a Regional Programme of Innovative Actions (2006-2008)**

*The programme was aimed at strengthening small business interaction with the higher education sector and helping owner managers develop their businesses through tailored mentoring and management assistance.*

*Through the provision of research vouchers, 23 small firms across the region were able to access specialist research and knowledge services from colleges which allowed them to progress to the next stage of their business growth plans.*

*The business mentoring initiative for winners targeted small firms which had emerged from the Campus/Incubation environment as well as SMEs with high value added export potential. Small specialist firms received strategic business planning, management and marketing supports under the scheme.*

*These initiatives are being mainstreamed by the Irish Government and **FP7 has been identified as a possible vehicle to further stimulate the positive results obtained***

*ERDF funding: EUR 1,108,233*

*More information: [www.bmwassembly.ie](http://www.bmwassembly.ie)*

***CLOE (Fast Track Network INTERREG IVC) to Clusterpast (FP7-Regions of Knowledge project, lead partner Lyon, France), to the European Cluster Observatory (CIP project) and to the mainstream programmes of the Structural Funds***

*The CLOE network "Clusters Linked Over Europe" was one the first Fast Track Networks under the "Regions for Economic Change" initiative, created to speed up the transfer of good practice from pilot projects to large scale Structural Fund Operational Programmes. CLOE has become the hub for over 25 local networks across Europe and has produced a Cluster Management Guide for regional authorities and cluster managers, identifying good practice, and methods, tools and processes for setting up and managing clusters in regions.*

*The Clusterplast network, created by some CLOE partners, is an inter-cluster initiative funded under the Regions of Knowledge action (FP7) to target the future challenges for the polymer converting industry. It was set up under a Joint Action Plan (JAP) designed to promote synergy between local and regional authorities, businesses and research organisations from the 6 European regions involved. The JAP will support technology-led development in the regions, encouraging innovation through collaboration between RTD centres and companies, stimulating new enterprises, attracting new investment through various varied initiatives and coordinating activities to ensure consistent use of public and private funding.*

*One output from the Clusterplast project will be the provision of a large information set for the European Cluster Observatory (CIP project). A majority of the common activities defined in the Clusterplast JAP could be eligible under the mainstream programmes of the Structural Funds.*

*More information: <http://www.clusterforum.org/>, <http://www.clusterobservatory.eu/>, <http://www.clusterplast.eu/>*

#### **4. THE ROLE OF NATIONAL AND REGIONAL AUTHORITIES**

The implementation of the three funding instruments usually involves different administrative levels and authorities. The responsibility for the implementation of the Structural Funds often lies with regional authorities, while participation in the programming and monitoring for FP7 and the CIP lies with the national/central/federal authorities. In addition to this multi-level governance structure, the responsibilities are often spread over different departments: for the Structural Funds and the CIP it is often the economics/enterprise/industry administrations that are in charge, while for FP7 it is normally the research/science administrations.

National and regional policy makers and administrations have a central role in ensuring the effective exploitation of the potential for synergies between FP7, the CIP and the Structural Funds through the establishment of mechanisms for these authorities to act in a co-ordinated manner.

National and regional governments should **develop smart specialisation strategies** to maximise the impact of Regional Policy in combination with other Union policies. Indeed, to

have most impact, R&D and innovation resources need to reach a critical mass and to be accompanied by measures to increase skills, education levels and knowledge infrastructure<sup>8</sup>.

**Pursuing a broad concept of innovation**, both research-driven innovation and innovation in business models, design, branding and services that add value for users and where Europe has unique talents. The creativity and diversity of our people and the strength of European creative industries offer huge potential for new growth and jobs through innovation, especially for SMEs.

**Involving all actors and all regions in the innovation cycle**: not only major companies but also SMEs in all sectors, including the public sector, the social economy and citizens themselves ('social innovation'); not only a few high-tech areas, but all regions in Europe and every Member State, each focusing on its own strengths ("smart specialisation") with Europe, Member States and regions acting in partnership. The Commission therefore strongly encourages Member States to improve the arrangements for cross-departmental and vertically co-ordinated preparation and use of Community instruments to support research, innovation and cohesion at the national and regional levels. The recommendations made in the Communication "Competitive European Regions through Research and Innovation", mentioned in the Introduction to this Guide, are essential for the creation of the necessary synergies on the ground.

Although it is always necessary, when discussing the three funding sources, to bear in mind their different policy objectives<sup>9</sup>, the conditions are at the moment very favourable for their complementary use, due to the fact that:

- In the 2007-2013 programming period the **time frame of the funding schemes is the same**, although the budget, methods and timing for allocating the funds to concrete implementing measures differ substantially.
- **The Structural Funds are increasingly emphasising the role of research and innovation** as a crucial factor for regional development. With the Lisbon Strategy and the strategic guidelines on cohesion<sup>10</sup> this emphasis has been reinforced. The importance of innovation is also highlighted in the Community strategic guidelines for rural development for the period 2007-2013<sup>11</sup>.
- **FP7 has been increasingly taking the role of the national and regional levels into account**. In FP7, the regional dimension is more important compared to FP6. Under the CIP, key actors from all EU regions are involved in projects and in the Enterprise

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<sup>8</sup> Source: Commission Communication on Regional Policy contributing to smart growth in Europe 2020, COM(2010)553

<sup>9</sup> As explained in Annexes 1 to 3.

<sup>10</sup> Council decision of 6 October 2006 on Community Strategic Guidelines on cohesion (2006/702/EC)

<sup>11</sup> Council decision of 20 February 2006 on Community Strategic guidelines for rural development 2007-2013 (2006/144/EC)

Europe Network, which consists of about 600 business centres all around the EU and beyond that provides business and innovation support services to enterprises.

- In comparison to the previous programming period, the **new Structural Fund Operational Programmes are more strategic and open to experimenting with new funding methods** that make it possible to set up within the approved programme priorities new innovation support schemes for enterprises and researchers, beyond the more infrastructure-oriented investments in the previous funding periods.
- Contrary to the previous programming period, the **new Rural development programmes are independently implemented, with a particular strategic focus** towards agricultural competitiveness, win-win agri-environmental measures and support for the wider socio-economic business environment, which makes possible the funding of innovative projects.
- **Economic exploitation of research results.** Activities supported by FP7 and its predecessors lead to the production of knowledge and successful projects offer potential for commercial exploitation. There is an obvious possibility for using the Structural Funds, as well as some CIP instruments, for financing the development phase of successful research projects that have been financed under FP7.
- **Trans-national cooperation.** While transnational cooperation is one of the core ideas in the CIP and FP7, the bulk of Structural Funds spending is within specific Member States and regions. Nevertheless, Cohesion policy also provides opportunities to contribute to trans-national cooperation, notably through the European Territorial Cooperation Objective (previously known as INTERREG), a specific part of the Structural Funds that supports the development of cross-border, inter-regional or trans-national cooperation, in particular through networking. Such possibilities are also offered by rural development policy, especially in the area of the Leader initiative<sup>12</sup>.

Transnational and interregional actions are also well embedded within the 2007-2013 national and regional Operational Programmes of the European Social Fund (ESF)<sup>13</sup> which provide support for transnational exchange and cooperation:

- in all policy areas identified for ESF interventions, such as adaptability, labour market policies, social inclusion, human capital and strengthening public administration;
- for all types (strategic stakeholders such as social partners, NGOs, training and regional development organisations, public administrations, ESF management bodies, beneficiaries, participants in projects) and levels of actors, and
- for all types of exchange and cooperation (joint projects; events; focus groups and networks; mobility and exchange of people).

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<sup>12</sup> See [http://ec.europa.eu/agriculture/rur/leaderplus/index\\_en.htm](http://ec.europa.eu/agriculture/rur/leaderplus/index_en.htm)

<sup>13</sup> See Art. 8 of Regulation No 1081/2006 of 5 July 2006. For further information see <http://ec.europa.eu/esf/main.jsp?catId=56&langId=en> and [www.transnationality.eu](http://www.transnationality.eu).

As a result, Member States and regions, in their Operational Programmes under the ESF 2007-2013, plan to use 2.5 % (€ 3 bn) of the programme budgets for transnational cooperation. Of this amount, € 1.24 billion is earmarked for transnational cooperation as dedicated priority axes in 47 of the 116 operational programmes.

One of the innovations in the 2007-2013 programming period is the creation of a new legal entity. The 'European Grouping of Territorial Cooperation' (EGTC) facilitates cooperation between regions and enhances their capabilities to develop and implement common projects focusing on growth and competitiveness. Besides providing a legal personality for the management body of trans-national Structural Fund projects, it can also be used for instance for managing multi-country research infrastructures.

In practical terms, communication and information are the most important preconditions for fostering the complementary use of the different funding instruments. In effect, the necessary synergies can only be achieved if the different administrative actors delivering FP7, the CIP and the Structural Funds know about the opportunities offered by the other instruments.

Thus, policy makers and those involved in implementation or dissemination of information must know each other. As a next step, answers to basic questions of the type "What support can FP7/CIP/ Structural Funds/Rural Development Fund offer my region/area of activity?" must be widely and readily available. Databases of projects financed by the different funding sources should also be available to all concerned. In addition, the formal monitoring structures for the different instruments (Monitoring Committees for the Structural Funds and the Rural Development Fund, and Programme Committees for FP and CIP) should establish regular and up-to-date information flows. This means that the relevant authorities should ensure that the national representatives in the FP7/CIP Programme Committees regularly provide information to the Structural Funds Monitoring Committees of their countries, and vice-versa.<sup>14</sup>

Finally, it is of course the particular responsibility of the Member States and regional authorities to prevent irregularities such as double financing and unauthorised co-financing with another Community instrument. When such abuses are discovered, it is normal to proceed with financial penalties.

### **Some examples of the possible role of national and regional authorities for combining the different instruments<sup>15</sup>**

The Commission services are exploring, with Member States and regional authorities, how far the co-funded programmes can provide financial support to FP7 for:

- the construction of research infrastructure foreseen in the ESFRI Roadmap,

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<sup>14</sup> See conclusions of Commission Communication "Competitive European Regions through Research and Innovation" COM(2007)474

<sup>15</sup> Source: Commission Communication on Regional Policy contributing to smart growth in Europe 2020, COM(2010)553 and Staff Working Document, SEC(2010)1183

- projects under the FP7 Research Potential action which were positively evaluated but could not be funded due to lack of resources.

The potential impact of these projects on the regional economy should be demonstrated, for instance: partnership with innovative industries, large companies, SMEs and start-ups; links with innovative incubators for the creation of spin-offs. The Commission has recently produced a 'Smart Guide to Innovation-Based Incubators' for regional policy makers.<sup>16</sup>

A further possibility is for Member States and regions to adopt best practices from the management of FP7 projects and, through the use of international peer review, to identify funding priorities for research and innovation in EU Regional Policy programmes.

#### Complementary financing for research infrastructures

##### ***ELI project (Extreme Light Research Infrastructure)***

*The ELI project has been selected by the ESFRI Committee as being of pan-European interest. The preparatory phase of this laser facility, involving 40 research and academic institutions from 13 Member States and supported by FP7 Capacities, has led to the selection of three sites providing complementary technologies, situated in the Czech Republic (near Prague), Hungary (Szeged) and Romania (near Bucharest).*

*Possibilities for funding under Cohesion policy the construction of new research infrastructure on the three sites (total costs exceeding EUR 700 million) are being explored by the national authorities responsible for scientific research and management of the Structural Funds programmes with a view to meeting requirements relating to scientific excellence and the impact on the regional economy. Industrial partners have been identified and letters of interest from companies have been received.*

*More information: <http://www.extreme-light-infrastructure.eu/index.php>*

#### Committees for ensuring complementarities between different instruments

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<sup>16</sup> [http://ec.europa.eu/regional\\_policy/sources/docoffic/2007/working/innovation\\_incubator.pdf](http://ec.europa.eu/regional_policy/sources/docoffic/2007/working/innovation_incubator.pdf)

***Spain, a thematic network on R&D&I funded by SF, and better coordination with FP7***

*The Spanish National Strategic Reference Framework has established a coordination committee and thematic networks for ensuring complementarities between the Structural Funds and other national and community financial instruments; as well as fostering exchange of good practice and lessons learned among managing authorities and main stakeholders.*

*The research, development and innovation (R&D&I) network is being supported under the "Technical Assistance" priority of the Operational Programme "Technological Fund". CDTI (the Spanish Centre for the Development of Industrial Technology) is currently managing an operation called: "Support to the Spanish leadership of European and International projects" (ERDF support: around EUR 150 million) which consists of three main parts:*

- Demonstration Projects derived from previous FP projects led by Spanish partners.*
- Support for the participation of Spanish companies in the Joint Technologies Initiatives (JTI) fostered by FP7.*
- Support to international projects, mainly those in the EUREKA programme.*

*Moreover, the Spanish Managing Authorities of the ERDF Operational Programme "Knowledge based Economy" are considering the possible funding through ERDF of high quality proposals submitted under FP, but not selected mainly due to a lack of budget (Monitoring Committee, 10/06/2010)*



## CHECKLIST FOR EU INNOVATION AND RESEARCH FUNDING

### Step 1: Am I eligible for a given programme or funding source?

#### Options:

- Companies
- Research organisation/university, including private sector research organisations
- Individual researcher/PhD student/expert
- NGO/business or research association/chamber of commerce
- Public authority

- **Companies** (micro, small, medium, large – profit/non-profit making, public-private partnership, service provider, project coordinator, etc.) other than research organisations

**FP7:** Yes. Companies can participate in almost all FP7 activities and are encouraged to do so. In addition, under the **FP7-PEOPLE** Programme most of the Marie Curie Actions are open to commercial enterprises and one in particular is supporting academia-industry partnerships. The **FP7- Capacities** Programme has specific schemes for research relating to SMEs.

**CIP:** Yes. Companies may benefit from the CIP Financial Instruments if they are SMEs and subject to being accepted by financial intermediaries approved under these instruments. SMEs in search of finance should contact a financial intermediary located in their country or region. The list of financial intermediaries, and information on eligibility criteria and application procedures, can be found at: <http://www.access2finance.eu/>.

**Pilot and market replication projects** in the area of ICT or eco-innovation are also addressed to companies, independent of their size, although CIP Eco-innovation actions mainly targets SMEs (more than 70% of participants are SMEs).

**Intelligent Energy Europe** programme also funds projects where SMEs can be beneficiaries.

**Grants for networking projects** are in most cases addressed to public bodies or business organisations only or through public-private partnerships.

**SF:** Yes. The Structural Funds offer many funding possibilities for companies (in particular SMEs). The ESF supports activities that make people more employable, for instance that make initial and vocational training more relevant to employers' needs and that update the skills of the educators and trainers to take account of the need for innovation and the knowledge based economy. In particular, these reforms widen the relevance and availability of routes to lifelong learning for workers. Conditions and topics

vary across programmes, so it is necessary to consult the operational programmes in each Member State or region for details<sup>17</sup>.

**EAFRD: Yes.** The EU rural development fund offers a variety of funding possibilities for companies, including SMEs. The specific eligibility rules and areas in which support could be provided may vary across programmes, so like in the case of the Structural Funds, it is necessary to consult the Rural development Programme in each Member State or region.<sup>18</sup>

**EFF: Yes,** a natural or legal person who is the ultimate recipient of public aid.

See also:

- Small Business portal for information on EU policies and initiatives which provide direct or indirect support to SMEs: [http://ec.europa.eu/small-business/index\\_en.htm](http://ec.europa.eu/small-business/index_en.htm)

- **Enterprise Europe Network.** A network of over 580 regional actors covering more than 45 countries and delivering business and innovation support services such as information on EU matters, business and technology cooperation, exploitation and transfer of research results or participation in EU funded RTDI and other schemes. Services from the Network are particularly designed for SMEs, but are also available to all businesses, research centres and Universities across Europe.

[http://www.enterprise-europe-network.ec.europa.eu/index\\_en.htm](http://www.enterprise-europe-network.ec.europa.eu/index_en.htm)

- **SME-TECHWEB** provides easy to understand information on participation in FP7 for SMEs [http://ec.europa.eu/research/sme-techweb/index\\_en.cfm](http://ec.europa.eu/research/sme-techweb/index_en.cfm)

- **MARIE CURIE ACTIONS: Industry-Academia Partnerships and Pathways (IAPP)** provides funding for research performing commercial enterprises to collaborate on a research project with public research institutions. In addition, commercial enterprises can receive funding as members of an **Initial Training Network (ITN)**. For more details see <http://ec.europa.eu/mariecurieactions>.

- **ICT PSP:** pilot projects on ICT  
[http://ec.europa.eu/information\\_society/activities/ict\\_psp/index\\_en.htm](http://ec.europa.eu/information_society/activities/ict_psp/index_en.htm)

- **Eco-innovation projects:** support SMEs wishing to market their eco-innovative solutions: <http://ec.europa.eu/environment/eco-innovation/>

- **Intelligent Energy Europe Programme:** <http://ec.europa.eu/energy/intelligent/>

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<sup>17</sup> Links to operational programme summaries and to lists of managing authorities can be found in the Structural Funds section of Annex 4.

<sup>18</sup> [http://enrd.ec.europa.eu/rural-development-policy/country-information/en/country-information\\_home\\_en.cfm](http://enrd.ec.europa.eu/rural-development-policy/country-information/en/country-information_home_en.cfm)

**Please note:** Besides receiving grants to carry out research and innovation activities, companies (including consultancies) can be funded as project coordinators. They can also participate in calls for tender to deliver analytical or organisational services related to the implementation of the programmes or for providing expertise. See under Step 2.

#### ○ **Research organisation/university, including private sector research organisations**

**FP7:** Yes for all strands of FP7.

**CIP:** **Sometimes.** Research organisations and universities can participate in certain projects and networking activities, depending on the conditions described in the respective call for proposals. Opportunities exist in particular in the programmes addressing **ICT (ICT –PSP), intelligent energy (IEE) and environmental technologies**. They can also apply for procurement contracts for analytical or organisational services. Research organisations and universities may, in the context of technology transfer, benefit from the **Community Financial Instruments**. These research organisations should contact a financial intermediary located in their country or region for information on eligibility criteria and application procedures. (See Annex 2, Point 6.1 “How to apply”)

**SF:** **Yes.** The ERDF (European Regional Development Fund – see Annex 3) can support a range of activities of public and private research organisations and universities. The ESF (European Social Fund – see Annex 3) can support, among others, networking activities between higher education institutions, research and technological centres and enterprises. Conditions and topics depend on the relevant national/regional programme, so it is necessary to consult the operational programmes in each Member State or region for details.

**EAFRD:** **Yes.** In specific cases the EAFRD can support funding for activities of research organisations or universities. This also covers co-operational projects developed in the field of agriculture, forestry or food processing for the creation or development of new products, technologies or processes. The possibilities are programme-specific and depend on the objectives of the national and regional authorities, thus consultation with them and the Rural Development Programmes is necessary.

**EFF:** **Yes,** provided the project corresponds to the program requirements, i.e. the concrete setting up and testing of prototypes.

#### ○ **Individual researcher/PhD student / expert**

**FP7:** **Yes** for **FP7-People**<sup>19</sup>: Researchers can apply either to a call for proposals for individual fellowships or directly to Marie Curie funded projects. Funding is available for researchers at all stages of their career and projects are in all areas of research (except Euratom) in both the public and commercial sectors. Vacancies can be accessed from the Marie Curie Actions website. **Yes** for **FP7-Ideas**<sup>12</sup>: Individual researchers may apply for funding as Principal Investigators(PI) to calls for proposals from the European Research Council. Detailed information on calls, application and evaluation criteria are available at

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<sup>19</sup> Legally speaking, a physical person can participate in any project supported by the FP7 taking the form of a grant, except if the work programme or the specific programme forbids it. However, FP7-People and FP7-Ideas are the only programmes mainly designed for individual researchers.

<http://erc.europa.eu>. Experts may also be hired under a service contract as evaluators of FP7 proposals or reviewers of FP7 projects. The JRC funds and hosts doctorate and post-doctorate students, as well as visiting scientists, detached national experts and trainees to support its scientific work programme. Call for these posts are published on the JRC Internet site at <http://ec.europa.eu/dgs/jrc/index.cfm>. JRC is also able to host researchers funded under the FP7-People programme.

**CIP:** No, except in the framework of calls for tender to deliver analytical services or as an external evaluator in the framework of certain calls for proposals.

**SF:** Yes. Under the ESF (European Social Fund – see Annex 3), the development of human potential in research and innovation can be supported, notably through post graduate studies and the training of researchers. For details and conditions, please contact your regional/national ESF managing authority. For the ERDF, certain support measures for individual researchers may be possible, provided they are included in the relevant operational programme.

EAFRD: **Maybe**, depending on the content and eligibility rules specified in the Rural Development Programme of your Member State or region.

EFF: **Yes**, provided the program requirements are respected.

Also ask in your university about the **Erasmus scholarships** to study abroad under the EU life-long learning programme: [http://ec.europa.eu/education/index\\_en.html](http://ec.europa.eu/education/index_en.html)

#### o **NGO/business or research association/chamber of commerce**

**FP7:** Yes, if engaged in activities that are relevant for a given call for proposals.

**CIP:** Yes, if set out in the relevant call for proposals, to carry out pilot and market replication projects or networking activities.

**SF:** Yes. Conditions and topics depend on the national/regional programme, so please consult the operational programmes in each Member State or region for details.

EAFRD: **Yes**. For more details, please consult the respective Rural Development Programme.

EFF: **Yes**, provided the program requirements are respected.

#### o **Public authority - local, regional, national government, regional/local development and/or innovation agency, intermediate body (which acts under the responsibility of a managing or certifying authority, or carries out duties on behalf of such an authority), or any other body governed by public law**

For the definition of public bodies see: Annex III of Directive 2004/18/EC of 31 March 2004 <http://eurlex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2004:134:0114:0240:EN:PDF>

**FP7:** Yes. Public bodies can be part of all **FP7-Cooperation** and **FP7-PEOPLE** projects, in particular in the public-private partnerships that are set up in certain key sectors as large scale multinational research activities in areas of major interest to European industrial competitiveness and of high societal relevance. These partnerships can notably take the shape of, but are not limited to, Joint Undertakings of the Joint Technology Initiatives (JTIs) and the SESAR Programme. For details see: [http://cordis.europa.eu/fp7/jtis/home\\_en.html](http://cordis.europa.eu/fp7/jtis/home_en.html) and <http://www.sesarju.eu>.

Public bodies are also key participants in ERA-NETs. For details see:  
[http://cordis.europa.eu/fp7/coordination/home\\_en.html](http://cordis.europa.eu/fp7/coordination/home_en.html).

National research ministries and agencies are in particular invited to participate in the 'Research Infrastructures', 'Regions of Knowledge' and 'Support for the coherent development of research policies' actions under **FP7-Capacities**. Regional authorities are also key participants in the research-driven clusters under 'Regions of Knowledge'.

Finally, national and regional authorities have an important role to play in the follow up of projects supporting research entities that are funded in the Convergence Regions through the 'Research Potential' action under **FP7-Capacities**.

**CIP: Yes.** Public bodies can apply for most of the CIP calls for proposals related to networking, innovation policy development, intelligent energy and ICT.

**SF: Yes.** Public bodies can directly benefit from funding. The ERDF (European Regional Development Fund – see Annex 3) can support the activities of public bodies to reinforce economic and social cohesion by redressing the main regional imbalances, including infrastructure measures and technical assistance. Under the ESF (European Social Fund – see Annex 3) the modernisation and strengthening of institutional capacity and the efficiency of public services at national, regional and local level can be financed, such as employment offices and services and also encouraging the participation of NGOs in employment initiatives and their programming and projects, in particular those in the fields of social inclusion, gender equality and equal opportunities. Also, in the case of economically less well-developed regions (under the 'Convergence' objective – see Step 6 below), there is a special emphasis on capacity building, which includes training as well as networking measures, in particular as regards adaptability of workers and enterprises. Please consult the operational programmes in each Member State or region for details.

**EAFRD: Yes.** Public bodies can directly benefit from EAFRD funding. This could cover a huge range of innovative activities linked to the infrastructural development in rural areas and in general (if in a relation to agriculture and forestry), setting-up of basic services, strengthening the institutional and administrative capacity, etc. The EAFRD stimulates also the support for public-private partnerships and their investment projects as well as the involvement of local public bodies in the delivery system of the policy via the LEADER approach. Networking measures could also be supported. For existing possibilities, please consult the rural development programme in each Member State of region.

**EFF: Yes,** public bodies can apply to the program, alone or through a public-private partnership.

## **Step 2: Is my type of research, innovation or enterprise development activity eligible?**

### **Options**

- Basic (individual) research, including support to the scientific work programme of the JRC
- Applied & Collaborative research, including support to the scientific work programme of the JRC, by higher education institutions, research centres and enterprises (including SMEs)
- Demonstration at full scale of a technology
- Preparatory activities for research infrastructure projects
- Upgrade the capacity of your research facilities

- Large scale industry – research collaborations
- Research fellowship/PhD studies abroad / company placements, including working at the JRC to support its scientific work programme
- Technology transfer, exploitation and protection (through intellectual property rights - IPR)
- Non-technological innovation/innovation management advice (analysing the innovation potential and gaps of your organisation and defining a strategy for the necessary technological, organisational, etc. changes)
- Commercialisation/market oriented activities/business expansion
- Policy analysis/strategy development (statistics, surveys, studies for public policy development)
- Networking activities (including programme coordination among policy-makers and programme managers), coordination among research programmes, enterprise associations, research organisations, exchange of good practices
- Upgrade/improve the skills of your staff or recruit researchers/innovators to be able to adopt innovative technologies, methods or management
- Improve environmental performance, reduce emissions of production or products, renewable energy, develop bio-based products, recycling
- Improve ICT use in my organisation/develop better digital content/ICT services

#### ○ **Basic (individual) research**

**FP7:** Yes under **FP-7-Ideas** and **FP7-People**: The European Research Council (ERC) manages the FP7 strand for funding "bottom-up", or investigator-driven, "frontier research" projects in any scientific field including social sciences and humanities. The Marie Curie Actions are 'bottom-up' and applications are invited from all fields of research for any research project from basic research to advanced development. Basic research may also arise in projects funded under **FP7-Cooperation**. The JRC purchases support for its own basic research, undertaken as part of its work programme.

**CIP:** No.

**SF:** No.

**EAFRD:** No.

**EFF:** No.

#### ○ **Applied & Collaborative research by higher education institutions, research centres and enterprises (including SMEs)**

**FP7:** Yes under **FP7-Cooperation**, provided the research is in a field covered by FP7: health, food, agriculture and biotechnology, information and communication technologies; nano-sciences, nanotechnologies, materials and new production technologies, energy, environment (including climate change), transport (including aeronautics), socio-economic sciences and the humanities, security and space. In addition to applied research, demonstration of a technology at full scale also falls within the scope of FP7-Cooperation. Also, research services for SMEs in the 'Research for the Benefit of SMEs' actions, and conceptual design studies for new European research infrastructures as well as Joint Research activities (to improve in quality and/or in quantity the services provided by the infrastructures) within the Integrating Activities of Research Infrastructures action under **FP7-Capacities** and in the Marie Curie Actions under **FP7-People**. The JRC purchases



support for its own applied and collaborative research, undertaken as part of its work programme.

**CIP:** No.

**SF:** Yes, Research & Technological Development (R&TD) activities in research centres in all research fields or assistance to R&TD, particularly in SMEs (including access to R&TD services in research centres) can be supported. Conditions and topics depend on the strategy and priorities agreed for each national/regional operational programme. You can consult the published programme or contact the managing authority for the operational programme for further details (see Annex 4).

**EAFRD:** Yes. Such applied and collaborative research is possible to be funded under the EAFRD in the field of agriculture, forestry or food processing, and in that case SMEs are also eligible under the Community rules. Conditions and topics depend on the strategy and priorities agreed for each national/regional rural development programme. Consultation with these programme documents is necessary for receiving further details.

**EFF:** No.

#### ○ Preparatory activities for research infrastructure projects

**FP7:** Yes under the **FP7-Capacities** 'Research Infrastructures' action, that can support preparatory work for major research infrastructures of pan-European interest.

**CIP:** No.

**SF:** Yes. Various types of preparatory activity, including feasibility studies for infrastructures can be supported through the operational programmes. In addition, JASPERS (Joint Assistance in Supporting Projects in European Regions) ([http://ec.europa.eu/regional\\_policy/atlas2007/fiche\\_index\\_en.htm](http://ec.europa.eu/regional_policy/atlas2007/fiche_index_en.htm)) can provide Managing Authorities in "Convergence regions" that request it with technical assistance to prepare major projects for submission to the Commission. See: [www.jaspers.europa.eu](http://www.jaspers.europa.eu)

**EAFRD:** Yes. Feasibility studies for investment projects can be supported by the rural development programmes.

**EFF:** No.

Also see: **European Strategy Forum for Research Infrastructures (ESFRI)**, which provides a platform to support a coherent approach to policy-making on research infrastructures in Europe, and to act as an incubator for international negotiations about concrete initiatives: <http://cordis.europa.eu/esfri/>

#### ○ Upgrade the capacity of your research facilities

**FP7:** Yes, in 'Research Infrastructures' under **FP7-Capacities** through the integrating activities (I3). Also, in 'Research Potential' under **FP7-Capacities**, but only to excellent research entities of significant size established in the Convergence and Outermost regions of the European Union and Associated Countries to FP7. In addition SMEs can receive funding for equipment in the Marie Curie Actions "Industry-Academia Partnerships and Pathways" (IAPP) scheme under **FP7-People**.

Please see: [http://ec.europa.eu/research/fp7/understanding/marie-curieinbrief/research-business\\_en.html](http://ec.europa.eu/research/fp7/understanding/marie-curieinbrief/research-business_en.html).

**CIP:** No.

**SF: Yes**, R&TD infrastructure (including physical plant, instrumentation and high-speed computer networks linking research centres) and centres of competence in a specific technology can be funded, particularly in Convergence regions, but the conditions and themes depend on the strategy and priorities of the programmes for your Member State or region. Please contact the relevant managing authority.

**EAFRD: Yes.** Research and training infrastructure as well as the setting-up of micro-enterprises operating in this field could potentially be supported under the EAFRD, particularly in rural areas, but the conditions and the themes depend on the strategy and priorities of the rural development programme for your Member State or region. Please contact the relevant managing authority.

**EFF: Maybe.** According to the possible provisions of the operational programme, the EFF can support the modification of fishing vessels for their reassignment for training or research purposes. Please contact the relevant managing authority.

#### o Large scale industry – research collaborations

**FP7: Yes** under **FP7-Cooperation**: The Joint Undertakings set up to implement Joint Technology Initiatives (JTI JUs) and the SESAR (Single European Sky Air Traffic Management Research) Programme bring together EU-funded projects and major industrial stakeholders. JTI JUs have been set up in the following fields: ICT - embedded computing systems ("ARTEMIS") and nano-electronics ("ENIAC"), fuel cells and hydrogen ("FCH"), aeronautics and aerospace ("Clean Sky") as well as innovative medicines ("IMI"). The SESAR Joint Undertaking has the mission to develop a modernised air traffic management system for Europe. For details see [http://cordis.europa.eu/fp7/jtis/home\\_en.html](http://cordis.europa.eu/fp7/jtis/home_en.html) and <http://www.sesarju.eu>.

In addition to these initiatives, large-scale industry / research collaborations are welcomed under FP7-Cooperation if they correspond to the call priorities. This is the case under the European Industrial Initiatives of the Strategic Energy Technology Plan ([http://ec.europa.eu/energy/technology/initiatives/initiatives\\_en.htm](http://ec.europa.eu/energy/technology/initiatives/initiatives_en.htm)) and the Public Private Partnerships on Green Cars, Energy efficiency of Buildings and Factories of the Future (<http://ec.europa.eu/research/index.cfm?lg=en&pg=newsalert&year=2009&na=ppp-310309>)

**CIP: No.**

**SF: Maybe**, depending on the strategy and priorities of the national/regional programme. Major projects and aid schemes (i.e. of total cost that exceeds € 25 million in the case of the environment and € 50 million in other fields) are normally listed in the operational programmes. Unlike most Structural Fund projects, such major projects, including a cost-benefit-analysis and proof of compliance with EU environmental and other standards, have to be submitted to the European Commission for approval.

**EAFRD: Yes, but only in a limited cases.** Such applied and collaborative research can be funded under the EAFRD in the field of agriculture, forestry or food processing. Conditions and topics depend on the strategy and priorities agreed for each national/regional rural development programme. Consultation with these programme documents is necessary for receiving further details.

**EFF: No.**

#### o Research fellowship/PhD studies abroad/company placements



**FP7:** Yes under **FP7-People**, that provides for the Marie Curie Industry-Academia Partnerships and Pathways, Initial Training Networks and fellowship schemes. These schemes could be especially interesting in connection with the regional innovation strategies supported by the ERDF.

See: <http://ec.europa.eu/mariecurieactions/>

The JRC funds and hosts doctorate and post-doctorate students, as well as visiting scientists, detached national experts and trainees to support its scientific work programme.

**CIP:** No.

**SF:** Yes, under the European Social Fund company placements can be funded, depending on the strategy and priorities of the Structural Funds programme for your Member State or region; the ESF also can finance developing more researchers and innovators by supporting postgraduate studies and the training of researchers. For the ERDF, certain support measures for individual researchers may be possible, provided they are included in the relevant operational programme. For the ERDF, certain support measures for individual researchers may be possible, provided they are included in the relevant operational programme.

**EAFRD:** No.

**EFF:** No.

The EURAXESS portal ([http://ec.europa.eu/euraxess/index\\_en.cfm](http://ec.europa.eu/euraxess/index_en.cfm)) contains information on trans-national mobility of researchers, such as vacancy notices, information on rights and support for organising stays abroad.

#### o **Technology transfer, exploitation and protection (through intellectual property rights -IPR)**

**FP7:** Yes (but with some exceptions). These activities can be part of a research-focused project under **FP7-Cooperation**, **FP7-People** and **FP7-Capacities**.

**CIP:** Yes. Networking, pilot and market replication projects can be funded in the area of ICT or eco-innovation. The High Growth and Innovative SME Facility under CIP also cover technology transfer activities.

The partners of the Enterprise Europe Network provide information on technology transfer and the IPR Helpdesk provides advice on IPR issues related to EU projects funded.

**SF:** Yes. Technology transfer and improvement of cooperation between SMEs, between SMEs and other businesses and universities, post-secondary education establishments, regional authorities, research centres and scientific and technological poles (scientific and technological parks, technopoles, etc.) can be funded. The managing authority responsible for the relevant operational programme in your Member State or region will be able to provide details of the support available.

**EAFRD:** Yes. Like in the case of the Structural Funds, technological transfers, including networking could be supported by the EAFRD (e.g., business and technological parks in rural areas, etc.). For more details on whether such options are foreseen for support under your rural development programme, please consult the respective Managing Authority.

**EFF:** **Partly**. Technology transfer can be, under certain conditions admitted by the program.

- Please also note the direct support offered by the CIP-funding **Enterprise Europe Network** that offers technology audits for your enterprise and organises brokering events and bi-lateral technology transfer partner-finding:  
[www.enterprise-europe-network.ec.europa.eu/index\\_en.htm](http://www.enterprise-europe-network.ec.europa.eu/index_en.htm)
- See also the assistance offered by **the IPR Helpdesk** in IPR issues related to FP7 and technology transfer: [www.ipr-helpdesk.org](http://www.ipr-helpdesk.org)
- **ProTon Europe** the pan-European network of Knowledge Transfer Offices (KTOs) has more than 250 members in 28 European countries: <http://www.protoneurope.org/>

○ **Non-technological innovation/innovation management advice (analysing the innovation potential and gaps of your organisation and defining a strategy for the necessary technological, organisational, etc. changes)**

**FP7: Maybe.** Such activities may arise, for example, in the 'Research for the benefit of SMEs' actions under **FP7-Capacities**.

**CIP: Yes.** Innovation is considered under CIP in a broad sense. Networking, pilot and market replication projects can be funded among public and private innovation stakeholders (including policy-makers, innovation support providers, cluster managers, technology-transfer and research organisations where appropriate, financial sector, and enterprise associations) to share experience and develop new policy approaches, to test in real settings new systems and services that also address non-technological innovation.

Please see in particular the online platform and self-assessment tools for SMEs on innovation management developed by **IMP<sup>3</sup>rove project** under the Europe INNOVA initiative: <https://www.improve-innovation.eu>

Another example is the eBSN (eBusiness Support Network for SMEs) a network of policy makers to exchange experience on how to improve the uptake of ICT-enabled innovation by SMEs, notably how to help SMEs participate in global digital supply chains: [http://ec.europa.eu/enterprise/sectors/ict/ebsn/index\\_en.htm](http://ec.europa.eu/enterprise/sectors/ict/ebsn/index_en.htm)

**SF: Yes.** Advanced support services for business starters, firms and groups of firms can be funded by the European Regional Development Fund and the European Social Fund. In addition, design and dissemination of innovative and more productive ways of organising work can be funded under the European Social Fund. The managing authority responsible for the relevant operational programme in your Member State or region will be able to provide details of the support available.

**EAFRD: Yes.** Such initiatives could be supported especially in the field of design and dissemination of innovative and productive ways of organising work, under the training programmes supported by EAFRD. Additional innovative management advice can be supported in the field of agriculture, forestry and food processing under specific advisory system support. For more details, please consult your country's Managing Authority.

**EFF: Yes,** provided this kind of technology/management includes a real innovative value.

○ **Commercialisation/market oriented activities/business expansion**

**FP7: No.**

**CIP: Yes.** The programme facilitates access to finance for SMEs through financial instruments and can provide support for commercialisation or business expansion through pilot and market replication projects.

The partners of the Enterprise Europe Network help to find business partners abroad.

**SF: Yes.** In particular assistance to SMEs for the promotion of environmentally-friendly products can be funded, depending on the programmes in the Member States and regions concerned. The same applies to investment in firms, in particular investment directly linked to research and innovation (innovative technologies, establishment of new firms by universities, existing RTD centres and firms, etc.). The managing authority responsible for the relevant operational programme in your Member State/region will be able to provide details of the support available.

**EAFRD: Yes.** Such business oriented support can be funded, especially in rural areas. Market orientation and increased competitiveness of EU firms through commercialization is one of the major goals in the context of the support to agriculture and forestry. In rural areas, the focus on business expansion is more on tourism activities, farm diversification activities and setting-up/development of basic services for the rural population. The managing authority responsible for the relevant rural development programme in your Member State/region will be able to provide details of the support available.

**EFF: Maybe.** Depending on the possible provisions of the operational programme, the EFF can support the development of innovative capacities for meeting consumer needs with high quality standards, in particular the construction, extension, equipment and modernisation of enterprises producing or marketing new products, applying new technologies, or developing innovative production methods. Please contact the relevant managing authority.

#### ○ **Policy analysis/strategy development (statistics, surveys, studies for public policy development)**

**FP7: Yes** in particular under **FP7-Capacities**, which funds policy analysis and networking among research policy-makers and programme managers at national and regional level in the framework of the 'Research Infrastructures', 'Regions of Knowledge', 'Research for the benefit of SMEs' and 'Support for the coherent development of research policies' actions. Also, service contracts or grants for analytical support to the Commission's activities are possible in the different FP7 programmes.

**CIP: Yes.** Networking projects among innovation policy-makers and other innovation actors (programme managers, innovation support organisations, etc.) that jointly develop strategies or conduct policy analysis activities are possible. The same goes for service contracts for analytical support to the Commission's activities.

**SF: Yes,** Member States and regions generally launch research contracts for preparatory, monitoring, and evaluation activities of operational programmes, provided this is foreseen in the regional or national programme and within the financial limits of Article 46 of the General Structural Funds Regulation. Such policy development activities can also include experimentation with new programme or funding approaches. The managing authority responsible for the relevant operational programme in your Member State/region will be able to provide details.

[http://ec.europa.eu/regional\\_policy/sources/docoffic/official/regulation/pdf/2007/general/ce\\_1083\(2006\)\\_en.pdf](http://ec.europa.eu/regional_policy/sources/docoffic/official/regulation/pdf/2007/general/ce_1083(2006)_en.pdf)

Service contracts for analytical support for the Commission's activities (in DG Regional Policy and DG Employment) may also be available, though these do not form part of the national or regional SF programmes. Details will be published by the Commission as the need arises. See under Step 4 below for more information.

**EAFRD: No, in principle.** However, depending on the context such support could, for example, be provided under the LEADER approach or in the context of skills acquisition, animation and implementation of local development strategies in rural areas where studies of the area concerned could be funded. For acquiring information on the possible funding of such activities, consult the respective Managing Authority.

EFF: Yes.

- **Networking activities, (including programme coordination among policy-makers, and programme managers) coordination among programmes, enterprise associations, research organisations, exchange of good practices**

**FP7: Yes.** Almost all actions under **FP7-Capacities** provide support for networking: "Regions of Knowledge" (regional research driven clusters closely associating universities, research centres and enterprises); 'Research for the benefit of SMEs' (developing and coordinating support for SMEs); 'Research Infrastructures' (wider and more efficient access to, and use of, research infrastructures); 'Support for the coherent development of research policies' (OMC-Nets for research policy-makers) and 'International Cooperation' (support for the coordination of national programmes on international scientific cooperation).

See [http://cordis.europa.eu/fp7/capacities/home\\_en.html](http://cordis.europa.eu/fp7/capacities/home_en.html)

Under **FP7-Cooperation**, networking is promoted through the 'ERA-NETs' (to develop and strengthen the coordination of national and regional research programmes: [http://cordis.europa.eu/fp7/coordination/about-era\\_en.html](http://cordis.europa.eu/fp7/coordination/about-era_en.html)) and through Coordination and Support Actions which may be opened in calls for proposals. Networking opportunities also exist under **FP7-People**. In particular the International Research Staff Exchange Scheme under the People Programme aims at strengthening and creating collaborations between European and non European research organisations.

Also, 'Article 185 instruments' support the integration of national research programmes by means of participation in research and development programmes undertaken by several EU Member States ([http://cordis.europa.eu/fp7/art185/home\\_en.html](http://cordis.europa.eu/fp7/art185/home_en.html)). This includes EUROSTARS, a joint research programme for SMEs and their partners (<http://www.eurostars-eureka.eu/home.do>). Finally, there are "European Technology Platforms" (ETPs) that have been set up to bring together stakeholders, under industrial leadership, to define and implement a Strategic Research Agenda (SRA) in a number of areas: [http://cordis.europa.eu/technology-platforms/home\\_en.html](http://cordis.europa.eu/technology-platforms/home_en.html)

**CIP: Yes.** Networking projects among public and private innovation stakeholders (including policy-makers, providers of business support services, cluster managers, technology-transfer and research organisations where appropriate, financial sector, and enterprise associations) to share experience and develop new policy approaches and tools can be funded in all CIP specific programmes.

On-going networking activities in the field of innovation are promoted through:

**-PRO INNO Europe** ([www.proinno-europe.eu](http://www.proinno-europe.eu)) which contributes to closer cooperation between innovation policy makers at different levels. The "INNO-Nets" encourage in particular regional and national innovation policy actors responsible for innovation to work more closely together with a view to fostering trans-national cooperation at programme level on support for innovation;

- **Europe INNOVA** ([www.europe-innova.eu](http://www.europe-innova.eu)) is an initiative for public-private partnerships of innovation intermediaries to design and test new and better tools in support of innovative SMEs ;

- **eBSN - European eBusiness Support Network for SMEs** - ([http://ec.europa.eu/enterprise/sectors/ict/ebsn/index\\_en.htm](http://ec.europa.eu/enterprise/sectors/ict/ebsn/index_en.htm)) is a network of policy makers and experts to share experience and coordinate policy actions to promote the innovative use of ICT by European enterprises.

In addition:

- Networking actions have been supported through the ICT PSP programme ([http://ec.europa.eu/information\\_society/activities/ict\\_psp/index\\_en.htm](http://ec.europa.eu/information_society/activities/ict_psp/index_en.htm)) gathering policy makers and stakeholders promoting the development of ehealth or telemedicine services.

**SF: Yes.** Networking projects among public and/or private actors (e.g. businesses along the supply chain or in a cluster) in your region can be eligible for funding. The ESF finances networking between higher education institutions, research and technology centres and enterprises. These organisations are all involved in vocational training, so communication between them is critical for the relevance and effectiveness of training programmes – and also for the design and implementation of innovative approaches to lifelong learning. The support available will depend on the strategy and priorities set out in the relevant **regional/national operational programme**.

In addition, **transnational and interregional** cooperation projects as well as networking and exchange of experience among public actors is funded under the different "European territorial co-operation" programmes, and under the ESF.

- Cross-border cooperation covers cooperation in neighbouring nearby land or maritime border regions (e.g. Germany-Poland or France-UK – see: [http://ec.europa.eu/regional\\_policy/atlas2007/crossborder/index\\_en.htm](http://ec.europa.eu/regional_policy/atlas2007/crossborder/index_en.htm));
- transnational cooperation covers cooperation in neighbouring large scale areas (e.g. Baltic Sea area, Alpine Space area, South West Europe – see: [http://ec.europa.eu/regional\\_policy/atlas2007/transnat/index\\_en.htm](http://ec.europa.eu/regional_policy/atlas2007/transnat/index_en.htm));
- interregional cooperation covers networking and exchange of experience throughout the European Community through two programmes: "INTERREG IV C" (concrete interregional cooperation projects – see: [www.interreg4c.eu](http://www.interreg4c.eu)) and "URBACT" (networking and exchange of experience linked to integrated urban development, see: <http://urbact.eu>).

EAFRD: **Yes.** Networking of rural businesses can be supported along with networking of local partnerships (also for implementation of innovative approaches in rural areas). The support available will depend on the strategy and priorities set out in the relevant national/regional rural development programme.

EFF: **Yes.** Communication, networking and dissemination represent a component of the EFF.

Please note in particular the "fast track" option for selected INTERREG IV C and URBACT networks, which is part of the "**Regions for Economic Change**" initiative. It aims to support and promote these networks actively through the Commission services and to fosters the take-up of good practices in operational programmes through contacts with Managing Authorities. See:

[http://ec.europa.eu/regional\\_policy/cooperation/interregional/ecochange/themes\\_en.cfm?nmenu=3](http://ec.europa.eu/regional_policy/cooperation/interregional/ecochange/themes_en.cfm?nmenu=3)

**Practical hint:** For a large-scale cooperation activity inside the European Community, the setting up of a stable structure with legal personality might be useful for managing it. In that case, please consider using the format of a "**European Grouping for Territorial Cooperation**" ([http://ec.europa.eu/regional\\_policy/funds/gect/index\\_en.htm](http://ec.europa.eu/regional_policy/funds/gect/index_en.htm)).

○ **Upgrade/improve the skills of your staff or recruit researchers/innovators to be able to adopt innovative technologies, methods or management**

**FP7:** Yes, the Marie Curie Actions under **FP7-People** provide funding for the acquisition of new skills and technologies for staff and for the recruitment of researchers. In addition funding is possible as a small integral part of a research project under **FP7-Cooperation**. The recruitment of researchers is also part of 'Research Potential' actions under **FP7-Capacities** but only in the Convergence and outermost regions.

**CIP:** No.

**SF:** Yes, mainly under the European Social Fund (ESF, see annex 3), the development of life-long learning systems and strategies in firms, training and services for employees to step up their adaptability to change can be funded, depending on strategy and priorities of the SF programme for your Member State or region. The same goes for the design, introduction and implementation of reforms in education and training systems, updating skills of training personnel with a view to innovation and a knowledge based economy, developing human potential in the field of research and innovation, in particular through post-graduate studies and training of researchers, and networking activities between universities, research centres and businesses. Please check for details in the relevant national operational programme and get in touch with the managing authority (see Annex 4). For the ERDF, certain support measures for individual researchers may be possible, provided they are included in the relevant operational programme.

**EAFRD:** Yes. Support for training and advice could be provided under the EAFRD, for farmers, forestry managers and food processors, and for economic actors operating in rural areas. Training of staff involved in the preparation and implementation of a local development strategy can also be funded. For more details, please consult your rural development programme or get in touch with your rural development Managing Authority.

**EFF:** **Maybe**, but only if the above mentioned actions are part of a larger project based on setting up and testing of a prototype.

○ **Improve environmental performance, reduce emissions of production or products, low carbon transport, renewable energy, develop bio-based products, recycling**

**FP7:** Yes, in **FP7-Cooperation** under the relevant themes (environment, transport, energy and materials and new production technologies). In addition, as a 'bottom up' scheme, all the Marie Curie Actions under **FP7-People** invite applications from all areas of research.



In **FP7-Capacities**, such actions may be supported under 'Research for the benefit of SMEs'.

**CIP: Yes.** Eco-innovation is a horizontal priority in CIP. Networking and pilot and market replication projects in the field of energy efficiency, renewable energies and clean transport can be funded under the **IEE programme** ([http://ec.europa.eu/energy/intelligent/index\\_en.html](http://ec.europa.eu/energy/intelligent/index_en.html)). Other economic sectors should be directed towards the **eco-innovation part of the EIP programme** (<http://ec.europa.eu/environment/etap/ecoinnovation>). Pilot and networking actions can be supported also under the ICT PSP programme ([http://ec.europa.eu/information\\_society/activities/ict\\_psp/index\\_en.htm](http://ec.europa.eu/information_society/activities/ict_psp/index_en.htm)) for testing ICT based services for improving resources management or energy efficiency. Please note that a specific budget has been earmarked for eco-innovation activities under the CIP **Financial Instruments** for SMEs.

**SF: Yes.** Renewable energy projects (wind, solar, biomass, hydroelectric, geothermal and other), energy efficiency, co-generation, energy management projects as well as assistance to SMEs for the promotion of environmentally-friendly products and production processes (introduction of effective environment managing system, adoption and use of pollution prevention technologies, integration of clean technologies into firm production) can be funded, depending on the strategy and priorities of the SF programme for your Member State or region. The managing authority responsible for the relevant operational programme will be able to provide details.

**EAFRD: Yes.** The EAFRD strongly supports projects aiming at reduction of emissions of production or products, development of bio-based products, application and implementation of agri-environmental practices, renewable energy, etc. The recent Health-Check of the CAP has added an additional significant budget for major challenges such as renewable energy (all types of production – solar, geothermal, wind, biomass, etc.), climate change, water management and innovation linked to these areas. Strong focus on renewable energy production has also been received in the context of the socio-economic development of rural areas. More details and concrete options for development of such projects could be found in your rural development programme.

**EFF: Yes,** at a pilot scale.

#### ○ **Improve ICT use in my organisation/develop better digital content/ICT services**

**FP7: Yes,** under **FP7-Cooperation** in themes such as: Cognitive systems, interaction and robotics, digital libraries and content, sustainable and personalised healthcare, mobility, accessible ICT and assistive technologies, environmental sustainability and energy efficiency and management, independent living and inclusion as well as future and emerging technologies. The themes are in line with the main ICT policy priorities as defined in the i2010 initiative:

[http://ec.europa.eu/information\\_society/eeurope/i2010/index\\_en.htm](http://ec.europa.eu/information_society/eeurope/i2010/index_en.htm).

Possibilities also exist in **FP7-People** and **FP-7 Capacities** (research infrastructures, SME-related actions).

**CIP: Yes,** under the **ICT Policy Support Programme** of CIP - Pilot and market replication actions that aim at testing and validating, in real settings, the use of innovative ICT solutions to address societal and economic challenges (in particular in areas of public interest such as health, transport, e-Government, inclusion, ageing, improvement of the quality of life of disadvantaged groups, including people with disabilities or elderly

people, environment, energy efficiency, safety and security), as well as networking projects of stakeholders can be supported.

See [http://ec.europa.eu/ict\\_psp](http://ec.europa.eu/ict_psp)

**SF:** Yes. Information and communication technologies (access, safety, security, interoperability, accessibility for people with disabilities, risk-prevention, research, innovation, e-content, etc.) or services and applications for the citizen (e-health, e-government, e-learning, e-inclusion, etc.) or services and applications for SMEs (e-commerce, education and training, networking, etc.) and other measures for improving access to and efficient use of ICT by SMEs can be funded, depending on the strategy and priorities of the operational programmes for your Member State or region. The ESF can support measures promoting workforce flexibility, e.g. to provide them with new skills and training in communication technologies and to help identify future occupational and skills requirements.

**EAFRD:** Yes. ICT and utilisation of new technologies remain an important area for support under the EAFRD – for rural areas in general, and for the agricultural, forestry and food processing sector. This covers a wide range of activities linked to service applications, e-government, new IT technologies and production systems as well as training in ICT skills and innovation. The possibilities for support should be checked with your Managing Authority.

EFF: **Maybe**, but only if the above mentioned actions are part of a larger project based on setting up and testing of a prototype.

#### **Important:**

#### **A number of other EU programmes offer funding for innovation-related activities, for instance:**

- **Life-Long Learning** programme for education and training ([http://ec.europa.eu/education/programmes/programmes\\_en.html](http://ec.europa.eu/education/programmes/programmes_en.html)): see volume 2
- **LIFE+** programme for environmental and nature conservation (<http://ec.europa.eu/environment/life/index.htm>): see volume 2
- **Marco Polo** for intermodal transport and freight logistics ([http://ec.europa.eu/transport/marcopolo/index\\_en.htm](http://ec.europa.eu/transport/marcopolo/index_en.htm))
- **Trans-European Transport and Energy Networks Programmes** for the development of an efficient trans-European network in the sectors of transport, energy and telecommunications ([http://ec.europa.eu/ten/index\\_en.html](http://ec.europa.eu/ten/index_en.html))

Another important initiative to develop Europe's innovation capacity is the **EUROPEAN INSTITUTE OF INNOVATION AND TECHNOLOGY (EIT)**, a recently established EU body, promoting and supporting excellence-driven innovation partnerships to translate R&D results into business opportunities (<http://ec.europa.eu/eit/>)



There are also non-EU, **European level research-related initiatives** that support RTDI cooperation (see volume 2), for instance:

**EUREKA**: a non-EU-dependent pan-European network for market-oriented, industrial R&D created as an intergovernmental initiative. It supports businesses, research centres and universities who carry out pan-European projects to develop innovative products, processes and services. ([www.eurekanetwork.org/](http://www.eurekanetwork.org/))

**COST** (European Cooperation in Science and Technology) has 35 European member countries and enables scientists to collaborate in a wide spectrum of activities grouped under nine key scientific domains. It also aims to maximise European Synergy and added value in non-competitive and pre-normative research. ([www.cost.esf.org](http://www.cost.esf.org))

### **Step 3: What about my timeframe?**

#### **Options**

- Can I apply now?
- Will I get a quick funding decision?
- Can I decide myself the how long my project will last?

#### **o Can I apply now?**

**FP7: Maybe:** There are only certain time-frames for the submission of project proposals under each specific "call for proposals". In many cases such calls are only published every one to two years and then not necessarily for all the possible themes. (See: [http://ec.europa.eu/research/participants/portal/page/fp7\\_calls](http://ec.europa.eu/research/participants/portal/page/fp7_calls) for the list of calls open at this time). For the Direct Actions of the JRC Calls for Tender are published regularly and as required. The latest status can be checked on the JRC Internet site at <http://web.jrc.ec.europa.eu/callsfortender/>.

**CIP: Maybe:** There are only certain time-frames for the submission of projects as defined for each specific "call for proposals" (See: <http://ec.europa.eu/cip>). In most cases, calls are published every year but in some cases only some calls are published every year and then not necessarily for all the possible themes. In the case of the CIP Financial Instruments, SMEs may apply on a continuous basis for funding provided by financial intermediaries approved under these instruments, by contacting a financial intermediary located in their country or region. The list of financial intermediaries, and information on eligibility criteria and application procedures, can be found at: <http://www.access2finance.eu/>.

**SF: Maybe.** This depends on the Structural Funds programme relevant for your region and type of activity. Please contact the relevant managing authority for more information (see Annex 4).

**EAFRD: Maybe.** This depends on the rural development programme relevant for your region and type of activity. Please contact the relevant managing authority for more information.

**EFF: Maybe.** There are only certain time-frames according to Member States calendar for the submission of documentation as defined for each specific Axis.

### ○ **Will I get a quick funding decision?**

**FP7:** **No.** FP7 projects have to undergo an evaluation and approval process, followed by a period of contract negotiations. Therefore, from the date of submission of the proposal to the signature of the contract, frequently a 9 month time span or more must be foreseen and the first payments will only be made thereafter. However, a more rapid decision can be expected for the award of service contracts and individual fellowships under **FP7-People**. For the Calls for Tender opened to support the Direct Actions of the JRC the average time from the publication of the contract notice to the award of the contract is 6 to 9 months.

**CIP:** **Unlikely, in case of projects**, for similar reasons as for FP7. In principle, **Yes for the CIP Financial Instruments** for SMEs, depending on the financial intermediary to which the funding request was submitted. SMEs in search of financing supported by the European Union should visit this page: <http://www.access2finance.eu>. They will find here the eligibility criteria and application procedures and the list of national financial intermediaries participating in the CIP.

**SF:** **Maybe**, depending on the national or regional operational programme. Please contact the managing authority for your region for details.

EAFRD: **Maybe**, depending on the national or regional rural development programme. Please contact the managing authority for your region for details.

EFF: **Maybe**. Funding has to undergo an evaluation and approval process. Therefore, from the date of submission of the proposal to the finding decision there is a time span.

### ○ **Can I decide myself how long my project will last?**

**FP7:** **Yes**, however within certain limits, which are normally indicated in the work programme. Typically, the length of medium to large scale projects will be in a range from 2 to 4 years, while smaller projects may last 1 year or occasionally even less. For the Calls for Tender opened to support the Direct Actions of the JRC the period of the project is set by the JRC in the tender documentation.

**CIP:** **Yes**, however within certain limits: the work programme indicates the maximum project length. Typically, the length of medium to large scale projects will be in a range from 1.5 to 4 years, while smaller projects may last 1 year or occasionally even less. Moreover, depending on a financial intermediary operating in a country, long term bank loan financing is usually available with maturities up to ten years.

**SF:** **Yes**, however within certain limits. The duration of a project depends on the Structural Fund programme relevant for your region and type of activity. In any case, the funding cannot continue beyond 2015. Please also note that there is a 3 to 5 years minimum time during which an investment or jobs created by SMEs have to be maintained after the end of the SF support and the project cannot undergo substantial modifications affecting its nature or its implementation conditions (see Article 57 of the General Regulation (EC) no. 1083/2006).

Please contact the relevant managing authority for more information (see Annex 4).

EAFRD: **Yes**, but it depends on a number of criteria and the content of your rural development programme. Funding could be provided under the current Rural Development Programmes by 2015. There is also a requirement that investment cannot

undergo substantial modifications affecting its nature or its implementation conditions for a period of 5 years following the investment. The relevant managing authority should be contacted for more information.

EFF: **Yes** within limits.

#### Step 4: What type of financial support can I obtain?

##### Options

- Grant (non-repayable state aid and/or funding from the EC, normally complemented by co-funding from other sources)
- Loans/guarantees/venture capital
- Service contracts (awarded through procurement procedures)

#### o Grant (non-repayable state aid and/or funding from the EC, normally complemented by co-funding from other sources)

**FP7:** **Yes** the main instrument of support under the Framework Programme is grants. For current open calls for proposals see:

[http://ec.europa.eu/research/participants/portal/page/fp7\\_calls/](http://ec.europa.eu/research/participants/portal/page/fp7_calls/)

For most of the Marie Curie Actions, 100% funding is provided for researcher costs, including employer's costs and costs associated with mobility. Loans available through the Risk Sharing Finance Facility (see below) are an exception.

**CIP:** **Yes** through **calls for proposals**. The open calls for proposal are announced in the CIP website (<http://ec.europa.eu/cip>) and on the web pages of the specific CIP programmes:

- Entrepreneurship and Innovation Programme (EIP) - eco-innovation calls

[http://ec.europa.eu/environment/etap/ecoinnovation/index\\_en.htm](http://ec.europa.eu/environment/etap/ecoinnovation/index_en.htm)

- Information and Communication Technologies (ICT-PSP): [http://ec.europa.eu/ict\\_psp](http://ec.europa.eu/ict_psp)

- Intelligent Energy Europe (IEE): [http://ec.europa.eu/energy/intelligent/index\\_en.html](http://ec.europa.eu/energy/intelligent/index_en.html)

To know about the main themes or actions to be funded under future calls, consult the CIP webpage: [http://ec.europa.eu/cip/index\\_en.htm](http://ec.europa.eu/cip/index_en.htm)

**SF:** **Yes**. The procedures for the allocation of Structural Funds to projects differ depending on the relevant national or regional programme. Application procedures (e.g. ongoing application and project selection, calls for proposals or competitions with fixed deadlines) are decided by the Managing Authority, depending on what is most appropriate for the activities in question. Project selection criteria are agreed by each programme's Monitoring Committee and are published (e.g. on managing authority websites).

**EAFRD:** **Yes**. The procedures for the allocation of rural development funds to projects differ depending on the relevant national or regional rural development programme. Application procedures (e.g. ongoing application and project selection, calls for tender, etc.) are decided by the Managing Authority and the Paying Agency, depending on what is most appropriate for the activities in question. Project selection criteria are agreed by each programme's Monitoring Committee and are published.

EFF: Yes. Except for certain expenditure incurred by the Commission that is 100% covered by the EFF, the maximum contribution of the EFF is always calculated as a proportion of the total sum of all public expenditure. It varies according to the priority of the initiative and will be higher for the most disadvantaged regions and for the new Member States, i.e. those covered by the "Convergence" objective under the Structural Funds. The intensity of public aid authorised for each operation financed also varies according to the same parameters.

Please note the **limits for state aid** may vary according to company size, sector, and type of activity or geographic location, etc. The thresholds for public co-funding defined in the SF, FP7 and CIP take account of them, but in case you receive several grants, it must be ensured that the maximum amounts and percentages for the relevant time spans are not exceeded when adding up the different grants.

See: [http://ec.europa.eu/comm/competition/state\\_aid/overview/index\\_en.cfm](http://ec.europa.eu/comm/competition/state_aid/overview/index_en.cfm)

## o Loans/guarantees/venture capital

**FP7:** Yes. The Risk-Sharing Finance Facility (RSFF) aims to support notably private investors in research and innovation projects by improving access to loans from the European Investment Bank (EIB). Investors/ beneficiaries can be of any size and ownership that are, in principle, able to repay a loan for their R&D and Innovation investment. See <http://www.eib.org/products/loans/special/rsff/index.htm> and [http://ec.europa.eu/invest-in-research/funding/funding02\\_en.htm](http://ec.europa.eu/invest-in-research/funding/funding02_en.htm)

**CIP:** Yes, the **Community Financial Instruments for SMEs** are managed by the European Investment Fund (EIF) on behalf of the European Commission, and include:

- a SME Guarantee Facility, which provides loan guarantees to encourage banks to make more debt finance available to SMEs;
- a High Growth and Innovative SME Facility, which provides venture capital for SMEs.

Please note that SMEs cannot obtain finance directly from EIF. SMEs in search of finance should contact a national financial intermediary. See: <http://www.access2finance.eu/>

More information about how to benefit from those instruments is provided in Annex 2 point 6.

**SF:** Yes. Most national/regional SF programmes include financial engineering measures. Many regions also use the JEREMIE (Joint European Resources for Micro to medium Enterprises) format to promote increased access to finance for the development of micro, small and medium-sized enterprises. JEREMIE funds are not issued directly to SMEs. They should therefore not apply to EIF or the Commission for financial support. In due course, a **list of financial intermediaries** (see: [www.eif.org/jeremie](http://www.eif.org/jeremie)) will be provided as and when the JEREMIE initiative becomes active in Member States and regions. See: [http://ec.europa.eu/regional\\_policy/funds/2007/jjj/jeremie\\_en.htm](http://ec.europa.eu/regional_policy/funds/2007/jjj/jeremie_en.htm).

EAFRD: **Yes, if** such financial engineering actions are foreseen under your rural development programme. Please, consult the managing authority for more information.

EFF: No.

## o Service contracts (awarded through procurement procedures)

**FP7: Yes.** The most frequent type of service contracts awarded by the Commission are those for independent experts for the evaluation of FP7 proposals and for preparing studies, as well as support services such as the organisation of conferences. In addition, certain activities under research projects can be sub-contracted by the project coordinators (no direct applications to the Commission). Participants can also benefit from contracts attributed through calls for tenders. The JRC offers service or supply procurement contracts to support its own work programme.

**CIP: Yes.** Mostly study, expert and organisational support contracts.

**SF: Yes.** Mostly study, expert and organisational support contracts. Most of these contracts are awarded through the managing authorities as part of their technical assistance allocations, but also DG Regional Policy and DG Employment, Social Affairs and Equal Opportunities conduct calls for tender for service contracts.

EAFRD: Yes, it is possible depending on the content of your rural development programme. For more information, please contact the respective rural development managing authority.

EFF: Yes (see above mentioned comments applicable to Grant).

See for **open calls for tender** (for contracts for amounts larger than €137,000 and less than €211 000 for certain research service contracts): <http://ted.europa.eu>

To be considered for **restricted calls for tender** (for amounts less than the thresholds above) or **negotiated procedures** (for amounts less than €60 000), it is advisable to register in the different expert lists that are established on the basis of "**calls for expression of interest**" in the web-sites of the different Commission Directorate Generals ([http://ec.europa.eu/dgs\\_en.htm](http://ec.europa.eu/dgs_en.htm)) and to check there for "**calls for tender**" announcements: for instance:

- DG Research & Innovation: [http://ec.europa.eu/dgs/research/tenders/open\\_en.html](http://ec.europa.eu/dgs/research/tenders/open_en.html)
- DG Information Society and Media: [http://ec.europa.eu/information\\_society/newsroom/cf/news.cfm?item\\_type=fo&item\\_subtype=tenders](http://ec.europa.eu/information_society/newsroom/cf/news.cfm?item_type=fo&item_subtype=tenders)
- DG Enterprise and Industry: <http://ec.europa.eu/enterprise/calls/calls.html>
- DG Environment: [http://ec.europa.eu/environment/funding/calls\\_en.htm](http://ec.europa.eu/environment/funding/calls_en.htm)
- DG Regional Policy: [http://ec.europa.eu/regional\\_policy/tender/tender\\_en.htm](http://ec.europa.eu/regional_policy/tender/tender_en.htm)
- DG Employment, Social Affairs and Equal Opportunities: [http://ec.europa.eu/employment\\_social/emplweb/tenders/index\\_en.cfm](http://ec.europa.eu/employment_social/emplweb/tenders/index_en.cfm)
- DG Energy: [http://ec.europa.eu/dgs/energy/index\\_en.htm](http://ec.europa.eu/dgs/energy/index_en.htm)
- DG Mobility and Transport: [http://ec.europa.eu/dgs/transport/index\\_en.htm](http://ec.europa.eu/dgs/transport/index_en.htm)

## Step 5: Who else is involved in the project?

### Options

- Nobody (apart from one single contractor/beneficiary)
- Partners only in my country or region

- Partners in other EU Member States or from the European Economic Area (EEA)
- Partners from non-EU Member States

#### ○ Nobody (apart from one main contractor/beneficiary)

**FP7:** Yes for **FP7-Ideas** (frontier research) and some of the Marie Curie Actions under **FP7–People** or part of **FP7-Capacities** (Research Potential). Also service/expert contracts could be relevant. Service and supply contracts opened by the JRC can involve only one main contractor.

**CIP:** Yes for **Community Financial Instruments for SMEs**, and for service or expert contracts. It might also be possible for pilot and market replication projects if the relevant call for proposals so allow (this is the case in eco-innovation pilots and market replication projects).

**SF:** Yes. An individual person, company or organization can obtain SF support. Conditions and topics depend on the national/regional programme, so please consult the operational programmes in your Member State or region for details.

**EAFRD:** Yes. An individual person, company or organization can obtain EAFRD support. Conditions and topics depend on the national/regional programme, so please consult the rural development programmes in your Member State or region for details.

**EFF:** Yes, a project with only one single beneficiary is eligible.

#### ○ Partners only in my country or region

**FP7:** No, except for FP7-Ideas (grants for individual researchers or individual research teams). Joint Undertakings may have specific rules on participation of entities.

**CIP:** No, except for **Community Financial Instruments for SMEs** and service contracts. It might also be possible for pilot and market replication projects if the relevant calls for proposals so allow.

**SF:** Yes. Projects involving only partners from the same Member State or region are the norm under the Structural Funds.

**EAFRD:** Yes. Projects involving partners from the same Member State or region can be supported under the EAFRD.

**EFF:** Yes, partners from the same region and the same Member State are eligible.

#### ○ Partners in other EU Member States

**FP7:** Yes. Transnational partnerships from at least 3 different EU Member States are the rule for FP7, unless specified differently in the call or exceptions such as for **FP7-Ideas (grants for individual researchers or individual research teams)** and **FP7-People (in Initial Training Networks with 3 or more partners, at least 3 different EU Member States/ Associated countries are required)**. Joint Undertakings may have specific rules on participation of entities from non-EU Members States.

**CIP:** Yes. Transnational partnerships in the EU countries are the general rule for projects and networks. Exception: Financial instruments do not require further partners in the funded project.



**SF: Maybe.** There is a clear distinction between programmes under the "Convergence" and "Regional competitiveness and employment" objectives, on one hand, and under the "European territorial cooperation" objective, on the other.

- Operational programmes under the first two objectives cover only one region or several regions in one single Member State. You can cooperate with partners outside the area covered by your **national or regional SF programme**. However, **only you** will receive project financing from that SF programme, whereas your partners outside the programme area (in adjacent EU regions) will in general not receive co-financing from that SF programme. They might receive SF funding under the programme covering their own area.

It should be noted however that cooperation outside the programme area is very much the exception under the 'Convergence' and 'Regional competitiveness and Employment' objectives, as only a few programmes opted to specifically earmark part of the budget for actions involving such interregional cooperation with at least one regional or local authority of another Member State.

- Funding for projects presented jointly by partners from at least two Member States is available through EU **territorial co-operation programmes** of the ERDF (see Annex 3) in which public actors cooperate either on a bilateral basis across a border (cross-border cooperation) or on a multi-lateral basis in larger areas (transnational cooperation). Finally, projects presented jointly by partners from different regions throughout the whole European Community are covered by the programme for interregional cooperation ("INTERREG IV C" on innovation, knowledge economy, environment and risk prevention) or by the programme for cooperation networks and exchange of experience on integrated urban development issues (URBACT). See Step 6 below for more details.

Concerning cross-border cooperation programmes, expenditure incurred by partners located outside the programme area can be eligible to a certain extent in duly justified cases, if the project would have difficulty in achieving its objectives without that partner's participation.

Concerning transnational cooperation programmes, the expenditure incurred by partners located outside the programme area can be eligible to a certain extent in duly justified cases, where such expenditure is for the benefit of the regions in the cooperation objective area.

In this respect, it is important to highlight that many of the projects financed under the 'territorial cooperation' programmes directly contribute to innovation, in particular by assisting SMEs to innovate, organising technology transfers, reinforcing RTD capacities and building an information society.

- Also, the ESF (European Social Fund – see Annex 3) supports transnational and interregional actions (within the EU Member States), in particular through the sharing of information, experiences, results and good practices, as well as through developing complementary approaches and coordinated joint action. Member States and regions that have established a specific transnational priority axis within an Operational Programme have been granted a bonus of an intervention rate increased by 10% (See Regulation (EC) 1083/2006 of 5 July 2006 on the European Social Fund).

- Partners from the EEA that are not EU Member States are not eligible for funding from the Structural Funds, but can participate in networks or cooperation projects at their own expense.

EAFRD: **Maybe**. For rural areas, the European Agricultural Fund for Rural Development (EAFRD) provides support for transnational partnership, which is mostly conducted via the bottom-up approach of the Leader initiative. The networking between Local Action Groups (LAGs) is strongly reinforced in the new programming period. Additional sharing of experience, results and good practices is done in the framework of the European Rural Development Network.

EFF: **No**, applicants must be from the same country.

### ○ Partners from non-EU Member States

**FP7: Yes** all research entities from the countries associated to FP7 can participate and obtain funding under the same conditions as the entities from the Member States in all FP7 calls. The current associated countries are: Albania, Bosnia & Herzegovina, Croatia, Faroe Islands, the Former Yugoslav Republic of Macedonia, Iceland, Israel, Lichtenstein, Norway, Montenegro, Serbia, Switzerland and Turkey. In addition, all FP7 calls are open to participation of research entities from third countries (non Member States and non associated countries). This concerns research entities from the high income countries as well as middle and low income countries identified as International Cooperation Partner countries (see list of countries in annex). The research entities from the countries on the ICPC list are also eligible for funding. The research entities from high income countries are in principle not funded except if it is specified in the work programme or the financing is essential to carry out the joint research.

For some research topics calls do target the participation of research entities from a third country. In this case, the participation of a research entity from the country or region targeted is compulsory. This is also the case if research cooperation is done in the form of a Specific International Cooperation Action (SICA): in this case participation of research entities from countries mentioned in the ICPC list becomes an eligibility condition.

Joint Undertakings may have specific rules on participation of entities from non-EU Members States. Under the Specific Programme **People** there are a number of specific schemes for scientists from third countries so as to attract research talent from outside Europe. In the Specific Programme **Capacities**, the International Cooperation programme has also specifically designed instruments aiming at fostering research cooperation with a given region or third country (Inco. Nets or BILATs, for example) in which the participation of research entities from the region or country concerned is required.

The Marie Curie IRSES action supports the creation of research collaborations among institutions located in Europe and the ones in Third countries having a Science and Technology agreement with the EU and countries covered by the European Neighbourhood Policy.

**CIP: Yes** for certain countries.

In accordance with Article 4 of the CIP Decision, the CIP is open for the participation of EEA countries, candidates and Western Balkans countries, as well as other third countries when agreements and procedures so allow.



See the list of countries that participate in CIP:

[http://ec.europa.eu/cip/faq/index\\_en.htm#0901262484312773](http://ec.europa.eu/cip/faq/index_en.htm#0901262484312773)

**SF: No**, as far as programmes under the "Convergence" and "Regional competitiveness and employment" objectives are concerned.

Concerning programmes under the "European territorial cooperation" objective, up to the limit of 10% of the amount of the ERDF contribution to the programme concerned, expenditure incurred in implementing projects on the territory of countries outside the European Community can be eligible, where the projects are for the benefit of the regions of the Community.

EAFRD: **No**.

EFF: **No**, partners shall be established in EU Member States. Nevertheless, actions implemented for justified strategic reasons in neighbouring states could be possibly eligible.

Please note:

For the EU Candidate Countries a specific scheme exists, the "**Instrument for Pre-Accession Assistance**" (IPA). For details see **Step 6 → Non-EU countries**;

The FP 7 and the CIP provide an important basis to foster the cooperation of the OCTs (Overseas Countries and Territories) with the regions of the EU, above all with the Outermost Regions as some of them are situated in the same geographical area (more information in Volume 2).

**If your partners in the project are not yet defined**, please consult the

- **FP7 partner-finding service:** [http://cordis.europa.eu/fp7/partners\\_en.html](http://cordis.europa.eu/fp7/partners_en.html)
- Partner finding tools and technology brokerage events at the **Enterprise Europe Network:** [www.enterprise-europe-network.ec.europa.eu/index\\_en.htm](http://www.enterprise-europe-network.ec.europa.eu/index_en.htm)
- **PRO INNO Who is Who:** <http://www.proinno-europe.eu/index.cfm?fuseaction=page.display&topicID=91&parentID=0>

**Important:** in case you plan a project with a team/consortium, please consult the IPR and knowledge-sharing rules for FP7 projects, which impose certain disclosure obligations regarding **intellectual property rights** that stem from FP7 funded projects: [http://cordis.europa.eu/fp7/how\\_en.html#ipr](http://cordis.europa.eu/fp7/how_en.html#ipr)

Detailed information and individual support can be obtained from the **IPR Helpdesk**, which is funded by the CIP: [www.ipr-helpdesk.org](http://www.ipr-helpdesk.org)

## Step 6: Can I apply for funding in my location?

### Options

- EU Member States
- Non-EU countries (EEA, associated and candidate countries, ACP, etc.)

### ○ EU Member States

**FP7:** Yes. Organisations and researchers **from all EU Member States** can apply for FP7 funding.

The only **exception** for FP7 is the **FP7-Capacities** 'Research Potential' action, which is only open to participants established in the EU 'Convergence' regions (see below under SF for definition and list) and the Outermost Regions (list at [http://europa.eu/legislation\\_summaries/glossary/outermost\\_regions\\_en.htm](http://europa.eu/legislation_summaries/glossary/outermost_regions_en.htm)).

**CIP:** Yes. Organisations **from all EU regions** can apply for CIP funding.

**SF:** Yes. **All EU regions** are in principle eligible for some funding under the Structural Funds. The topics and co-funding amounts/percentages depend, however, on the programme in your Member State or region.

The co-funding rates can be higher and a wider scope of activities can be funded in less well-off regions, the so called '**Convergence**' regions with a GDP per inhabitant of less than 75% of the Community average.

All the other regions in the EU are the so-called '**Regional competitiveness and employment**' regions. They have a GDP per inhabitant of at least 75% of the Community average. For them the co-funding rates might be lower and the range of eligible activities will be narrower than in Convergence regions (e.g. funding for major research infrastructures is more important for the "Convergence" regions).

The eligibility for cross-border programmes under the '**European territorial cooperation**' objective also depends on the location of the different partner regions, whereas the whole territory of the European Community is eligible under the interregional and cooperation networks and exchange of experience programmes.

All these classifications of regions are listed and described at:

[http://ec.europa.eu/regional\\_policy/policy/region/index\\_en.htm](http://ec.europa.eu/regional_policy/policy/region/index_en.htm)

In any case, **please address yourself to the managing authorities** in charge of your region/Member State's SF programmes. They will provide you with details on the conditions that apply to your region (see contacts in annex 4).

EAFRD: **Yes.** All EU regions are eligible for support. However, as regards the investments related to quality of life and income diversification activities, only those developed in rural areas could receive support. LEADER projects could be supported in the LEADER areas. For more information, please contact the Managing Authority of your area.

EFF: **Yes.** Organisations can apply for EFF funding in their respective Member State.

If you are seeking support for promoting innovation in the agriculture, food and forestry sectors in a region that is rural or depends on fisheries, you may also contact the authorities in your Member State which are responsible for managing the Community programmes specifically focused on rural development and fisheries:

➤ **European Fisheries Fund**

[http://ec.europa.eu/fisheries/cfp/eff/apply\\_for\\_funding/national\\_authorities.pdf](http://ec.europa.eu/fisheries/cfp/eff/apply_for_funding/national_authorities.pdf)

➤ **European Agricultural Fund for Rural Development**

[http://ec.europa.eu/agriculture/rurdev/countries/index\\_en.htm](http://ec.europa.eu/agriculture/rurdev/countries/index_en.htm)

o **Non-EU countries (associated and candidate countries etc.)**

**FP7: Yes**, applications are possible by research entities from non EU Member States. In this case, a distinction is to be made between a research entity from a country associated to FP7 (Associated Country) or non associated third country. Associated countries can fully participate and obtain funding in FP7 under the same conditions as EU countries. For the list of associated countries, see [http://cordis.europa.eu/fp7/who\\_en.html#countries](http://cordis.europa.eu/fp7/who_en.html#countries))

The research entities from the third countries not associated to FP7 can participate in all calls, provided that there are also partners from at least 3 different EU Member States and/or Associated countries. Joint Undertakings may have specific participation rules for entities from non-EU Members States. In the Specific Programme People there are Marie Curie actions aimed at attracting research talent from outside Europe and fostering mutually beneficial research collaboration with research actors from outside Europe. There are also special instruments for stimulating international research cooperation between the EU, Associated countries and third countries or regions under the Specific Programme Cooperation in International Cooperation. Participation of partners from non-EU countries is also possible in replying to Calls for Tender from the JRC.

Third countries mentioned in the International Cooperation Partner Country list are entitled to funding. The research entities from other third countries are in principle not funded unless so provided in the Work Programme or essential for the conduct of the research project.

**CIP: Maybe.** In accordance with Article 4 of the CIP Decision, the CIP is open for the participation of EEA countries and candidate countries. In addition, the CIP is open for Western Balkans countries, as well as other third countries when agreements and procedures so allow.

See the list of countries that participate in CIP:

[http://ec.europa.eu/cip/faq/index\\_en.htm#0901262484312773](http://ec.europa.eu/cip/faq/index_en.htm#0901262484312773)

**SF: No.** You cannot apply for SF funding in your own right if your organisation is established outside the EU. For non-EU resident partners see Step 5. However, this is exceptional and limited to the "European territorial cooperation" objective.

EAFRD: **No.**

EFF: **No.**

Please note: For the **EU Candidate countries** a specific scheme exists, the "**Instrument for Pre-Accession Assistance**" (IPA), which can support candidate countries (at present: Croatia, Turkey and the Former Yugoslav Republic of Macedonia) in **enhancing regional competitiveness and productive environment or human resources development and rural development**. In particular Turkey and Croatia have allocated a significant share of IPA resources to financing regional competitiveness programmes, under which SME-oriented innovation and research activities can be funded (no grant financing for SMEs, they can only receive support in kind). IPA can also fund under its cross-border cooperation component the participation of certain (mostly public) actors in cross-border or transnational activities between certain (neighbouring) Member States and all candidate countries and all potential candidate countries (Western Balkans and Turkey) or between the IPA beneficiary countries.

Programmes under the **regional competitiveness component** or those between the Member States and the IPA beneficiary countries under the **cross-border cooperation component** are under the responsibility of the Directorate-General for Regional Policy, programmes under the **human resources development component** are under the responsibility of the Directorate-General for Employment, Social Affairs and Equal Opportunities, whereas programmes under the **cross-border cooperation component** between the IPA beneficiary countries are under the responsibility of the Directorate-General for Enlargement. Programmes under the **rural development component** are under the responsibility of the Directorate-General for Agriculture and Rural Development.

See [http://ec.europa.eu/regional\\_policy/funds/ipa/index\\_en.htm](http://ec.europa.eu/regional_policy/funds/ipa/index_en.htm) or

[http://ec.europa.eu/enlargement/how-does-it-work/financial-assistance/instrument-pre-accession\\_en.htm](http://ec.europa.eu/enlargement/how-does-it-work/financial-assistance/instrument-pre-accession_en.htm) or

[http://ec.europa.eu/agriculture/enlargement/assistance/index\\_en.htm](http://ec.europa.eu/agriculture/enlargement/assistance/index_en.htm)

*(more information about IPA in volume 2)*

## ANNEX 1: 7<sup>TH</sup> RESEARCH FRAMEWORK PROGRAMME

### 1. In a nutshell: what it is

Research Framework Programmes are the main instrument at EU level aimed specifically at supporting research and development. They have two major strategic objectives: strengthening Europe's scientific and technological base and supporting its international competitiveness and the EU policies, through research cooperation among Member States and with international partners.

The *7th Framework Programme for Research, Technological Development and Demonstration Activities* (EU FP7) lasts from 2007 until 2013 and has a total budget of over € 50 billion. The money will (for the most part) be spent on grants to research actors of the European Union and with partners from outside Europe co-financing research, technological development and demonstration projects. Grants are determined on the basis of calls for proposals and a peer review process, which is highly competitive. Thus, a key characteristic of FP7, and one that differentiates it from the Structural Funds, is that there are no fixed national or regional allocations.

The *7th Euratom Framework Programme for Nuclear Research and Training Activities* (Euratom FP7) lasts from 2007 until 2011 and has a total budget of € 2.75 billion. There are a number of legal and practical differences between the EU and Euratom FPs, and these will be highlighted where important for the purposes of the present guide. In particular, the Euratom fusion activities are implemented largely using specialised funding schemes and not via calls for proposals.

Both programmes support the European Commission's Joint Research Centre (JRC), a Directorate General of the EC that acts as the Commission's own research laboratory and provides customer-driven scientific and technical support for the conception, development, implementation and monitoring of European Union policies.

In order to complement national research programmes, activities funded from FP7 must have a “European added value”. One key aspect of the European added value is the trans-national nature of many actions: research projects are carried out by consortia which include participants from different EU Member States and third countries or through research fellowships supporting mobility over national borders. Indeed, many research challenges (e.g. major research infrastructures), are so complex that they can only be addressed at European level. However, there are also opportunities for individual teams with no obligation for trans-national cooperation. In this case, the “European added value” lies in raising the competition between scientists in “frontier” research from the national to the European level.

### 2. How is it structured?

FP7 is implemented through the Specific Programmes: Cooperation, Ideas, People, Capacities and Euratom.

**Cooperation** Fostering collaboration among research entities from academia and industry and research institutes to gain leadership in key technology areas.

**Ideas** Supporting basic research at the frontiers of science (implemented by the European Research Council).

**People** Supporting mobility and career development for researchers both within and outside Europe.

- Capacities** Helping develop the capacities that Europe needs to be a thriving knowledge-based economy.
- Euratom** Supporting European research in fusion energy and in nuclear fission and radiation protection.

A detailed description of the structure and coverage of FP7 is presented below. It should be noted that because of their nature, Joint Undertakings and Joint Technology Initiatives may have their own specific participation rules.

JRC: Supporting the European Commission's Joint Research Centre (JRC), a Directorate General of the EC that acts as the Commission's own research laboratory and provides customer-driven scientific and technical support for the conception, development, implementation and monitoring of European Union policies.

## The structure and coverage of FP7

### Cooperation programme – the core of FP7

The core of FP7 and its largest component by far, the *Cooperation programme* fosters collaborative research across Europe and other partner countries in a number of key thematic areas. These themes are health; food, agriculture and fisheries; biotechnology; information and communications technologies; nano-sciences, nanotechnologies, materials and new production technologies; energy; environment (including climate change); transport (including aeronautics); socio-economic sciences and the humanities; space and security.

This programme also includes the new *Joint Technology Initiatives* ([http://cordis.europa.eu/fp7/jtis/home\\_en.html](http://cordis.europa.eu/fp7/jtis/home_en.html)) *Joint Undertakings*, which are industry driven, large-scale multi-financed actions, supported by a mix of public and private contributions. Other highlights of this programme include Coordination of non-community research programmes, which aims to bring European, national and regional research programmes closer together (e.g. ERA-NET [http://cordis.europa.eu/fp7/coordination/home\\_en.html](http://cordis.europa.eu/fp7/coordination/home_en.html)), and the Risk-sharing Finance Facility (RSFF) ([http://ec.europa.eu/invest-in-research/funding/funding02\\_en.htm](http://ec.europa.eu/invest-in-research/funding/funding02_en.htm)).

Special attention is also being paid to multi-disciplinary and cross-theme research, including joint calls for proposals between themes.

### Ideas programme – and the European Research Council (ERC)

The *Ideas programme* is the first time an EU Research Framework Programme is funding investigator-driven research at the frontiers of science and technology, independently of thematic priorities. As well as bringing such research closer to the conceptual source, this flagship FP7 programme recognises the value of frontier research to society's economic and social welfare.

The Ideas programme is uniquely flexible in its approach to EU research, in that proposed research projects are decided solely on the basis of their excellence, as judged by peer review. It is being implemented by the new *European Research Council* (ERC – <http://erc.europa.eu>).

Research may be carried out in any area of science or technology, including engineering, socio-economic sciences and the humanities. Particular emphasis is being placed on emerging and fast-growing fields at the frontiers of knowledge, and on cross-disciplinary research. Unlike the Cooperation programme, there is no obligation for cross-border partnerships.

### People programme – boosting European research careers

The *People programme* provides significant support for international and intersectoral research mobility and career development, both for researchers inside the European Union and externally. It is being implemented via a coherent set of Marie Curie actions, designed to help researchers build their skills and competences throughout their careers in the public and private sector.

The programme includes activities such as initial training of researchers, support for lifelong training and career development, transfer of knowledge and networking via actions including trans-national European fellowships, initial training networks, and industry-academia partnerships. An international dimension with partners outside the EU aims to further develop the careers of EU researchers, by creating international outgoing and incoming fellowships to foster collaboration with research groups outside Europe and by offering a possibility to strengthen research partnerships through staff exchanges. It is being implemented by the *Research Executive Agency* (REA – <http://ec.europa.eu/research/rea/>).

### Capacities programme – building the knowledge economy

The *Capacities programme* is designed to help strengthen and optimise the knowledge capacities that Europe needs if it is to become a thriving knowledge-based economy. By strengthening research abilities, innovation capacity and European competitiveness, the programme is stimulating Europe's full research potential and knowledge resources.

The programme contains six specific areas i.e: Research Infrastructures, Research for the benefit of SMEs, Regions of Knowledge, Research Potential, Science in Society and International Cooperation activities.

### Euratom programme – dedicated to applied nuclear research and training

The Euratom programme, under the research provisions of the Euratom Treaty, supports the development of peaceful uses of nuclear science and technology through fostering collaborative research across Europe. Its main themes are research on fusion energy, including support to ITER, and support for fission-related activities such as research on management of radioactive waste, safety of nuclear installations, advanced reactor technology and radiation protection. The fission and radiation protection activities are implemented in the same way as the EU Cooperation programme, using a selection of the available funding schemes. However, owing to the legally distinct nature of the Euratom Treaty, certain options and opportunities developed entirely under the EU FP may not be accessible, or may require additional legal clarification before becoming accessible, if the research in question is considered to fall predominantly under the scope of the Euratom Treaty. Such issues may be resolved or clarified in future FPs. Differences also exist regarding international cooperation and possible access to Euratom funding by 3<sup>rd</sup> countries, essentially because the Associated Countries are not the same in the two FPs.

For more details on all these programmes see: [http://cordis.europa.eu/fp7/home\\_en.html](http://cordis.europa.eu/fp7/home_en.html)

The European Commission's Joint Research Centre (JRC) is a Directorate General of the EC that acts as the Commission's own research laboratory and provides customer-driven scientific and technical support for the conception, development, implementation and monitoring of European Union policies. Its work programme addresses a range of thematic areas: Towards an open competitive and open economy; Development of a low carbon society; Sustainable management of natural resources; Safety of food and consumer products; Nuclear safety and security; Security and crisis management; Reference materials and measurements: by maintaining a strong reference role in the area of standards and reference measurements.

### **3. Funding schemes**

These are the types of projects through which FP7 is implemented and they operate "horizontally" across the Specific Programmes. They include:

#### **Collaborative projects**

Collaborative projects are focused research projects with clearly defined scientific and technological objectives and specific expected results (such as developing new knowledge or technology or demonstrate existing technology to improve European competitiveness). They are carried out by consortia made up of participants from different countries, and from industry and academia.

In case the research cooperation is dedicated to a third country, group of countries, or region considered as an ICPC partner, research is implemented through a Specific international cooperation action (SICA).

#### **Networks of excellence**

The Networks of Excellence are designed for research institutions willing to combine and functionally integrate a substantial part of their activities and capacities in a given field, in order to create a European "virtual research centre" in this field. This is achieved through a "Joint Programme of Activities" based on the integrated and complementary use of resources from entire research units, departments, laboratories or large teams.

#### **Coordination and support actions**

These are actions that cover not the research itself, but the coordination and networking of projects, programmes and policies. This includes, for example:



- coordination and networking activities, dissemination and use of knowledge (e.g. ERA-NETs)
- studies or expert groups assisting the implementation of the Framework Programme
- support for transnational access to major research infrastructures
- actions to stimulate the participation of SMEs, civil society and their networks

### **Individual projects**

Projects carried out by individual national or multinational research teams, led by a "principal investigator", funded by the European Research Council (ERC).

### **Support for training and career development of researchers**

Training and career development for researchers from across the European Union and its research partners, through a range of support actions named after Marie Curie (People Programme: Marie Curie Actions).

### **Research for the benefit of specific groups - in particular SMEs**

Research and technological development projects where the bulk of the research is carried out by actors such as universities, research centres or other legal entities, for the benefit of specific groups, in particular SMEs, or for civil society organisations and their networks.

**Direct Actions of the JRC:** the JRC purchases support for its own scientific work programme in a range of thematic areas. To obtain this support the JRC issues Calls for Tender for service or supply procurement contracts. The JRC Calls for Tender are published regularly and as required. The latest status can be checked on the JRC Internet site at <http://web.jrc.ec.europa.eu/callsfortender/>.

## **3b. Special funding opportunities**

### **ERA-NET scheme**

Under the ERA-NET scheme, calls are organised and the specific conditions for participation in a particular action are defined by the particular network (see also <http://netwatch.jrc.ec.europa.eu/nw/>).

### **Article 185 Initiatives**

Article 185 of the Treaty on the Functioning of the European Union (TFEU) provides a legal basis for the EU to support the integration of national research programmes. In an Article 185 Initiative, participating Member States integrate their research efforts by defining and committing themselves to a joint research programme, in which the EU also participates financially.

### **Joint Technology Initiatives**

Joint Technology Initiatives (JTIs) are long-term Public-Private Partnerships involving industry, the research community and public authorities. They are managed by dedicated legal entities based on Article 187 TFEU (ex Article 171 TEC). JTIs support large-scale multinational research activities in areas of major interest to European industrial competitiveness and of high societal relevance.

Depending on these actions potential proposers may also apply to joint calls organised by individual ERA-NETs (see <http://netwatch.jrc.ec.europa.eu/nw/>) individual Article 185

initiatives (see [http://cordis.europa.eu/fp7/art185/ind-185\\_en.html](http://cordis.europa.eu/fp7/art185/ind-185_en.html)) and individual JTIs (see [http://cordis.europa.eu/fp7/jtis/ind-jti\\_en.html](http://cordis.europa.eu/fp7/jtis/ind-jti_en.html)).

#### **4. How much funding?**

The programme has a total budget of over € 50 billion for the period 2007-2013. The largest part is earmarked for cooperation research projects (€ 32 billion). Fundamental research will receive € 7.5 billion, the People Programme will be provided funding of € 4.75 billion, the Capacities programme has € 4 billion and Euratom € 2.7 billion. FP7 will contribute in total up to a maximum of € 1 billion to the Risk-sharing Finance Facility (€0.8 bn from the Cooperation and €0.2 bn from the Capacities (research infrastructures) parts of FP7), which will be matched by the same amount from the EIB.

Concerning individual projects, the basic principle of funding in FP7 is co-financing. This means that, in general, the Commission does not "purchase" research services by placing contracts and paying a price. Rather, it gives grants to projects, thus contributing a certain percentage to the overall costs. The exception is the Marie Curie Actions which provide 100% funding for researcher costs: the Community financial contribution combines the reimbursement of the eligible costs with flat rates, including scale of unit costs and lump sums.

The maximum reimbursement rates for the costs of a project depend on the funding scheme, the legal status of the participants and the type of activity.

- The standard reimbursement rate for research and technological development activities is 50% of the eligible costs. Certain legal entities can receive up to 75% of the eligible costs (non-profit public bodies, SMEs, research organisations, higher education establishments). For demonstration activities, the reimbursement rate may reach 50% of the eligible costs.
- For other activities (consortium management, networking, training, coordination, dissemination etc.), the reimbursement rate can be up to 100% of the eligible costs. The 100% rate applies also to frontier research actions under the European Research Council as well as to most of the actions of the People programme.

JRC has an FP7 budget of €280 million to purchase support for its own scientific work programme ("direct actions").

The Direct Actions of the JRC are funded to 100% of the cost of the procurement.

#### **5. Who can apply?**

Participation in FP7 is open to a wide range of research entities both as organisations or individuals. Universities, research centres, multinational corporations, SMEs, public administrations, funding bodies, even individuals – all have the opportunity to participate in FP7.

As a general principle, FP7 is open to participation from any country in the world. However, the procedures for participation and the funding possibilities vary for different groups of countries. The research entities from the EU Member States enjoy the broadest rights and access to funding. The same conditions as to Member States apply to countries associated to FP7<sup>20</sup>.

Among the third countries not associated to FP7 are the group of middle and low income countries that are considered as International Cooperation Partner Countries (e.g. Russia, Eastern European and Central Asian states, China, India, Latin America, Mediterranean partners etc.). Participants from these countries are also entitled to funding under the same conditions as EU Member States. The only restriction for them is that consortia must first have the required minimum number of participants from Member States or associated countries. Participation from industrialised high-income countries is also possible on a self-financing basis, except if specified that EU funding will be granted.

Cooperation with “third countries” is explicitly encouraged in FP7 with the key objectives of supporting Europe's competitiveness in selected fields through strategic partnerships with third countries; encouraging the best third-country scientists to work in and with Europe and addressing specific problems that either have a global character or are commonly faced by third countries, on the basis of mutual interest and mutual benefit. Finally, FP7 also provides for international outgoing and incoming fellowships for third countries in order to foster collaboration with research groups outside Europe.

For a very large part of FP7, grants are not provided to individual researchers or firms but rather to transnational partnerships. The transnational partnerships are the rule for the **Cooperation** and **Capacities** Specific Programmes and some of the **People** Programme Actions will also fund transnational partnerships (Initial Training Networks, Industry-Academia Partnerships & Pathways, and International Research Staff Exchange Scheme). Individual researchers and research organisations are foreseen in the Specific Ideas and **People** programmes as well as in some parts of the **Capacities** programme.

#### **FP7 FUNDING FOR COMPANIES**

It is important to underline that FP7 is not just for researchers in research entities or the education sector. Across the range of activities supported by FP7, companies may also participate (see: [http://cordis.europa.eu/fp7/sme\\_en.html](http://cordis.europa.eu/fp7/sme_en.html)). The Marie Curie Industry-Academia Partnerships and Pathways (IAPP) scheme is specifically designed for commercial enterprises. Enterprises are also the main players in the European Technology Platforms (ETP - [http://cordis.europa.eu/technology-platforms/home\\_en.html](http://cordis.europa.eu/technology-platforms/home_en.html)) and Joint Technology Initiatives (JTI - [http://cordis.europa.eu/fp7/jtis/home\\_en.html](http://cordis.europa.eu/fp7/jtis/home_en.html)).

#### **Collaborative and frontier research, training and career development**

In the case of the Cooperation Programme, themes that would be of particular interest to researchers in companies would include ICT, Industrial technologies (NMP), Food,

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<sup>20</sup> From 1 January 2007, EC FP7 agreements with Switzerland, Israel, Norway, Iceland, Liechtenstein, Turkey, Croatia, Former Yugoslav Republic of Macedonia and Serbia are in force. From 1 January 2008, agreements with Albania and Montenegro are in force. From 1 January 2012, an agreement is in force with the Republic of Moldova. The only country currently associated to Euratom FP7 is Switzerland.

agriculture and biotechnology, Transport (including aeronautics), Energy and Space. In the case of frontier research under the Ideas Programme, projects will be funded on the basis of the excellence of the research, irrespective of whether from the public or private sectors while, under the People Programme, the participation of industry and SMEs is foreseen through all Marie Curie actions. In addition, FP7 contains a range of actions that are specifically aimed at addressing the needs of companies.

### **SMEs**

In the case of SMEs, a specific action under the Capacities Programme allows them to strengthen their overall position through networking and relationship building with international partners, access to research centres of excellence and development of research.

It is implemented through two funding schemes where the key component is the outsourcing of research to RTD performers:

Research for SMEs will support small groups of innovative SMEs in solving common or complementary technological problems.

Research for SME associations will support SME associations and groupings in developing solutions to problems common to large numbers of SMEs in specific sectors.

(see: [http://cordis.europa.eu/fp7/capacities/research-sme\\_en.html](http://cordis.europa.eu/fp7/capacities/research-sme_en.html))

### **Regions of Knowledge**

FP7 is implementing the programme Regions of Knowledge that brings together the various research partners within a region to promote research-driven clusters for the benefit of regional economic and social development. An obligatory partner in a research driven cluster is an enterprise (including SMEs), along with a research entity and a regional or local authority. The aim of support under Regions of Knowledge is to allow the elements of the clusters to link up, strengthen their research abilities and potential and to collaborate in trans-national consortia (see: [http://cordis.europa.eu/fp7/capacities/regions-knowledge\\_en.html](http://cordis.europa.eu/fp7/capacities/regions-knowledge_en.html)).

### **Risk-Sharing Finance Facility**

Improving access to loans for RTD actions requires public support to overcome market deficiencies for the financing of riskier actions. In order to address this problem, the Risk-Sharing Finance Facility (RSFF) aims to support notably private investors in research, demonstration and innovation projects, improving access to loan finance from the European Investment Bank (EIB). RSFF loans can support single entities of any size and ownership investing in R&D and Innovation. Progressively, RSFF will be offered in each of the Members States and FP7 Associated Countries through partner banks of the EIB in order to allow also access for smaller projects and beneficiaries (like SMEs). For the period 2007-2013, RSFF loans of up to EUR 10 billion can be made available by the EIB, with the support of FP7 funding to cover risk related to RSFF loans. (see: [http://ec.europa.eu/invest-in-research/funding/funding02\\_en.htm](http://ec.europa.eu/invest-in-research/funding/funding02_en.htm));

<http://www.eib.org/products/loans/special/rsff/index.htm>)

## 6. How to apply?

Unfortunately, it is not simply a case of writing in and asking for a grant. There are a number of steps that must be followed.

### Eligible activities

Clearly, the activity for which you require support must fall within the range of activities funded by under FP7. Normally, this is not such a serious hurdle. As indicated above, the range of activities across the Specific Programmes is very wide. However, different participation rules apply depending on the research initiative in question. Going through the questions in the Checklist will help you identify for which FP7 strand you might be eligible.

### 'Work programmes' and 'Calls for Proposals'

Given that FP7 covers such a wide range of activities it is not realistic for each activity to be open for funding at all times. The concrete plans for implementing the Specific Programmes are announced by the European Commission in annual 'Work Programmes'. These work programmes include the schedule of 'Calls for Proposals', commonly known just as 'Calls', to be published during the year. Each Call usually covers a specific research area. In order for your idea to be considered for funding at a particular moment, a relevant Call must be open.

### Publication of Calls

All Calls are announced in the EU's Official Journal (which is the official source of EU documents). The annual work programmes and the full texts of the Calls are published on the FP7 Participant Portal ([http://ec.europa.eu/research/participants/portal/page/fp7\\_calls/](http://ec.europa.eu/research/participants/portal/page/fp7_calls/)). Other information and services related to Community research can be found on the CORDIS website.

### Submitting a proposal

You respond to a Call by submitting your proposal. Proposals may be submitted at any time after a Call opens for submissions, up until the deadline (which is strictly applied). The Guide for Applicants for the Call in question (also published on the Participant Portal) will guide you through the process, and point you towards other useful documents. A Web-based online tool called EPSS ('Electronic Proposal Submission Service') is the obligatory channel for the submission of proposals.

### Evaluation of proposals

After the deadline for the Call, all the proposals submitted are evaluated by a panel of independent evaluators, who are recognized specialists in the relevant fields. The panel will check the proposals against a published set of criteria to see if the quality of research proposed is worthy of funding. The key criteria used for this evaluation are explained in the Guide for Applicants.<sup>21</sup>

### Negotiation and approval

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<sup>21</sup> You can also apply to become an evaluator yourself, although you will never be invited to evaluate a proposal in which you have a conflict of interest. Go to <https://cordis.europa.eu/emmf7/index.cfm> for more details.

For successful proposals, the European Commission enters into financial and scientific/technical negotiations with you and/or your consortium on the details of the project. Finally, a grant agreement between each participant and the Commission is drawn up. This sets out the rights and obligations of the beneficiaries and the European Community, including the EU's financial contribution to your research costs.

For additional information on all issues related to Calls (including step-by-step advice on how to submit a proposal, eligibility criteria, evaluations, Intellectual Property issues, etc.), always refer to the Guide for Applicants.

**Direct Actions of the JRC:** The JRC Calls for Tender are published regularly and as required. The latest status can be checked on the JRC intranet site at <http://web.jrc.ec.europa.eu/callsfortender/>.

The assessment of tenders is undertaken by staff of the European Commission based on the information and documents provided by the tenderer against criteria set in the Call for Tender.

## **ANNEX 2: THE COMPETITIVENESS AND INNOVATION FRAMEWORK PROGRAMME**

### **1. In a nutshell: what it is**

The Competitiveness and Innovation Framework Programme (CIP) aims to encourage the competitiveness of European enterprises. With small and medium-sized enterprises (SMEs) as its main target, the programme will support innovation activities (including eco-innovation), provide better access to finance and deliver business support services in the regions. It will encourage a better take-up and use of information and communications technologies (ICT) and help to develop the information society. It will also promote the increased use of renewable energies and energy efficiency.

CIP will last from 2007 until 2013 and has a total budget of over € 3.6 billion. While the Entrepreneurship and Innovation Programme (EIP) of the CIP makes use of several different schemes and intervention mechanisms, in other areas of the CIP a considerable part of the money will be spent on grants to business and public actors all over Europe and beyond, in order to co-finance pilot and market replication projects, as well as best-practice exchange and networking. To this end, grants are determined on the basis of calls for proposals and evaluation procedures, which are highly competitive. CIP, like FP7, has no fixed national or regional allocations.

In order to complement national programmes, activities funded from CIP must have a “European added value”. This European added value is the clear demonstration of benefits of the project at a European level. For example, it must be clear why this project should receive European funding as opposed to being funded by local, national or regional resources. Therefore you may need to demonstrate in your application the EU dimension of the market barriers to be tackled, justify the benefits of addressing the subject of the proposal at European level or explain the contribution of the project to improving the competitiveness of the EU economy. This European added value may also be demonstrated by the trans-national nature of many actions, which are to be carried out by consortia including participants from different European (and other) countries. However, there are also opportunities for individual applicants with no obligation for trans-national cooperation, to facilitate the emergence of innovative solutions of interest for the whole of Europe.

### **2. How is it structured?**

The CIP is structured in the following three specific programmes, each of which has its own governance structure and annual work programmes:

#### **Entrepreneurship and Innovation Programme (EIP)**

The EIP focuses on facilitating access to finance for the start-up and growth of SMEs and encourages investment in innovation activities, creating an environment favourable to SME cross-border cooperation, promoting all forms of innovation in enterprises and fostering an entrepreneurship and innovation culture.

The EIP aims to achieve its objectives through the following schemes:

- better access to finance for SMEs through "CIP financial instruments", particularly venture capital investments and loan guarantee schemes;

- the Enterprise Europe Network, a Network with a full geographical coverage in all EU 27 Member States that delivers, through a customised network of regional centres, business and innovation support services to RTDI actors, particularly SMEs;
- support to encourage trans-national networking of innovative companies and all other actors in the innovation process, including benchmarking initiatives and the exchange of best practice;
- support to eco-innovation, thus making sustainable development become a business reality;
- support for policy-making that encourages entrepreneurship and innovation.

Following the adoption of the Innovation Union and as from 2011, the EIP will provide support to pre commercial public procurement and to different initiatives on social innovation undertaken at national or regional level.

### **Information Communication Technologies Policy Support Programme (ICT-PSP)**

The ICT-PSP focuses on developing a single European information space, strengthening the European internal market for ICT and ICT-based products and services, stimulating innovation through the wider adoption of and investment in ICT and developing an inclusive information society and more efficient and effective services in areas of public interest, and improving quality of life.

The ICT-PSP aims to foster innovation and competitiveness through the wider uptake and best use of ICT by citizens, governments and businesses and in particular SMEs. To this end, it supports pilot and networking actions with focus on areas of public interest such as eHealth, inclusion, eGovernment, ICT for energy efficiency or improved transport systems, public sector information, cultural heritage, education etc... the programme also covers monitoring and benchmarking of IT uses, policy analysis and conferences.

### **Intelligent Energy Europe Programme (IEE)**

The IEE programme focuses on fostering energy efficiency and the rational use of energy sources, promoting new and renewable energy sources and energy diversification, and promoting energy efficiency and new energy sources in transport. The IEE programme aims to improve market conditions for untapped opportunities to save energy and encourage the use of renewable energy sources, therefore moving towards a more energy intelligent Europe.

In this context, it will support pilot and market replication projects and promotion and dissemination projects to fund capacity building, development and spreading of know-how, skills and methods, exchanges of experience, development of market and intelligence, policy input, awareness raising and information provision, and education and training.

## **3. Main funding schemes**

The main funding schemes under the CIP are the following:

### *3.1. Community financial instruments for SMEs*

The financial instruments aim to cover market gaps in the supply of debt and equity finance to SMEs. These instruments are managed by the European Investment Fund (EIF)



on behalf of the European Commission and implemented via financial intermediaries or specialised funds (<http://www.access2finance.eu>)

The financial instruments cover the different needs of SMEs according to the stage in their life-cycle:

- a. SME Guarantee Facility guarantees loans to SMEs, including micro-credit and mezzanine finance. These guarantees are given to financial intermediaries who provide the finance to SMEs.
- b. High Growth and Innovative SME Facility (GIF) which provides venture capital for innovative SMEs in their early stages (GIF1) and in their expansion phase (GIF2)

### *3.2. Pilot and Market Replication projects*

The CIP provides support to projects concerned with the first applications or market replication of innovative or eco-innovative techniques, processes, products or practices of European relevance, which have already been technically demonstrated with success but which, owing to residual risk, have not yet significantly penetrated the market. These shall be designed to promote broader utilisation of such techniques, products or practices and facilitate their market uptake. Those projects are selected through calls for proposals.

### *3.3. ELENA technical assistance facility*

Under Intelligent Energy Europe Programme, ELENA technical assistance facility (European Local ENergy Assistance) was established to facilitate the mobilisation of funds for investments in sustainable energy at local level. ELENA support covers a share of the cost for technical support that is necessary to prepare, implement and finance the investment programme, such as feasibility and market studies, structuring of programmes, business plans, energy audits, preparation for tendering procedures - in short, everything necessary to make cities' and regions' sustainable energy projects ready for EIB funding.

### *3.4. Policy analysis, development, coordination, twinning, best practice exchange and thematic networks*

- a. Studies, data collection, surveys and publications;
- b. Twinning and meetings of experts, including experts from public institutions, experts sent by SMEs and other interested parties, conferences and other events;
- c. Awareness raising, networking and other relevant activities;
- d. Benchmarking of national and regional performances, and work on good practices, including their dissemination and implementation; and
- e. Best practice actions to spread knowledge and share experience across Europe, which will be linked to thematic networks bringing together a variety of stakeholders around a given objective so as to facilitate coordination activities and the transfer of knowledge.

The basic principle of funding in CIP funding schemes 3.2 and 3.3 is co-financing. This means that the Commission gives grants to projects, thus contributing a certain percentage (which is defined for each specific call) to the overall costs. The maximum reimbursement rates to the costs of a project depend on the funding scheme, the legal status of the

participants and the type of activity. In some cases the Commission may choose to purchase services under the CIP by placing contracts and paying a price.

#### **4. How much funding?**

The CIP has a total budget of over € 3.6 billion for the period 2007-2013

- € 2 170 million for EIP (of which more than € 1 100 million for financial instruments and € 430 million for promoting eco-innovation)
- € 730 million for the ICT-PSP
- € 730 million for the IEE programme.

#### **5. Who can apply?**

Participation in the CIP is open to a wide range of organisations and individuals. However, eligibility criteria differ from one funding scheme to the other. Going through the questions in the Checklist will help you identify for which CIP scheme you might be eligible.

Regarding geographical coverage, all entities established in Member States of the European Union can participate in the CIP. The CIP is also open to other third countries, when Agreements and procedures so allow. If you want to consult the list of countries currently participating in CIP, please visit:

[http://ec.europa.eu/cip/faq/index\\_en.htm#0901262484312773](http://ec.europa.eu/cip/faq/index_en.htm#0901262484312773)

#### **6. How to apply**

##### *6.1 CIP financial instruments*

SMEs wishing to apply for the debt finance or venture capital referred to in sections 3.1 a. and 3.1.b. should consult the page <http://www.access2finance.eu>, where they can find out if they are eligible and can see the list of financial intermediaries in their country.

Please note that the Commission does not provide direct financial support to SMEs but works only via these intermediaries.

##### *6.2 Grants for projects and other implementing measures*

- Calls for proposals:

The IEE programme and the ICT-PSP programme allocate their funds mainly through calls for proposals. There are Calls for proposals also in the EIP programme (concerning eco-innovation, innovation, etc), while this programme also has other types of intervention mechanisms.

- Calls for tenders

Under the EIP, also calls for tenders are used to provide support to the activities mentioned in point 3.3.

How to know when there is a call open?

Both kinds of calls are published on the CIP website ([http://ec.europa.eu/cip/index\\_en.htm](http://ec.europa.eu/cip/index_en.htm)) and on the pages of the specific CIP programmes (EIP, IEE and ICT-PSP). Internet addresses for those programmes are provided in Annex 6.



## **ANNEX 3: THE STRUCTURAL FUNDS – COHESION POLICY**

### **1. In a nutshell: what it is**

Cohesion policy aims – via the Structural Funds – to reinforce economic and social cohesion in the EU by redressing the main regional imbalances through support for the development and structural adjustment of regional economies. In so doing, it supports the priorities of the Community and in particular the need to strengthen competitiveness and innovation. In other words, RTD and innovation support are only the means to an end, not objectives in themselves.

The other fundamental difference between Cohesion policy and FP7 and CIP is that its management and programming is decentralised, i.e. the implementation and allocation of funds to projects is not handled by the Commission, but by Managing Authorities in Member States.

Cohesion policy contributes substantially to raising the EU's long-term research and innovation performance, both through its focus on investments which promote economic development and through the policy-making, implementation and evaluation methods which it promotes. Cohesion policy enables public authorities to implement medium and long-term programmes, based on a strategic approach, partnership with key stakeholders, organised learning from one another, and coherent actions in line with the Lisbon reform agenda. This approach allows the provision of integrated support for different aspects of economic and social modernisation (including bringing entrepreneurial and research measures under one roof), while however tailoring each operational programme to the needs and opportunities of the region concerned.

It supports experimentation with innovative approaches and the exchange of experience across the EU, which facilitates and promotes learning and social innovations in administrations, organisations, and enterprises. The way in which cohesion policy programmes are designed and managed also fosters partnership between different levels of government, between public and private actors and between governmental and non-governmental bodies.

Cohesion policy also targets the regional level, which makes its programmes a particularly effective vehicle for fostering innovation, since this level provides the proximity essential to stimulating interaction between producers, users and mediators of knowledge.

### **2. How is it structured?**

The three main funds under which research and innovation activities can be supported are the:

- European Regional Development Fund (ERDF): for strengthening competitiveness through helping regions to anticipate and promote economic change through innovation and the promotion of the knowledge society, entrepreneurship, the protection of the environment, and the improvement of their accessibility. It also supports cross-border co-operation through joint local and regional initiatives, trans-national co-operation aiming at integrated territorial development, and interregional co-operation and exchange of experience.
- Cohesion Fund: the least-developed Member States and regions, i.e. Member States whose GNI (Gross National Income) is lower than 90% of the EU average, can benefit from the

Cohesion Fund. Assistance from the Cohesion Fund shall be given to actions in the areas of trans-European transport networks and the environment within the priorities assigned to Community environmental protection policy under the policy and action programme on the environment (including energy efficiency and renewable energy, rail, river and sea transport, intermodal transport systems and their interoperability, management of road, sea and air traffic, clean urban transport and public transport). Formally speaking, the Cohesion Fund is not a "Structural Fund", but as the programming is since 2007 done in an integrated manner with the ERDF, the distinction is not very relevant for beneficiaries.

- European Social Fund (ESF): strengthening competitiveness and employment by helping Member States and regions to enhance access to employment and sustainable inclusion in the labour market, adapt the workforce, their enterprises and entrepreneurs with a view to improving the anticipation and positive management of economic change, in particular by promoting lifelong learning and increased investment in human resources, the development of qualifications and competences, the dissemination of information and communication technologies, e-learning, eco-friendly technologies as well as the promotion of innovation and business start-ups.

These three funds contribute to **three objectives**: Convergence, Regional Competitiveness and Employment, and European Territorial Cooperation:

- The rationale of the **Convergence objective** is to promote growth-enhancing conditions and factors leading to real convergence for the least-developed EU Member States and regions. This objective concerns 84 regions (within 17 Member States) with a total population of 154 million, and per capita GDP at less than 75 % of the Community average and, on a “phasing-out” basis, another 16 regions with a total of 16.4 million inhabitants and a GDP only slightly above the threshold. The amount available under the Convergence objective is € 282.8 billion, representing 81.5 % of the total.
- Outside the Convergence regions, the **Regional Competitiveness and Employment objective** aims at strengthening competitiveness and attractiveness, as well as employment, through a two-fold approach. First, development programmes will help regions to anticipate and promote economic change through innovation and the promotion of the knowledge society, entrepreneurship, the protection of the environment, and the improvement of their accessibility. Second, more and better jobs will be supported by adapting the workforce and by investing in human resources. A total of 168 regions in the EU Member States will be eligible, representing 314 million inhabitants. Within these, 13 regions which are home to a total of 19 million inhabitants represent so-called “phasing-in” areas and are subject to special financial allocations due to their former status as “Objective 1” regions. The amount available of € 55 billion – of which € 11.4 billion is for the “phasing-in” regions – represents just below 16% of the total allocation. Regions in 19 EU Member States are concerned with this objective.
- The **European Territorial Co-operation objective** will strengthen cross-border co-operation through joint local and regional initiatives, trans-national co-operation aiming at integrated territorial development, and interregional co-operation and exchange of experience. This objective is based on the experience drawn from the former Community initiative - INTERREG.

- Cross-border cooperation covers cooperation in neighbouring small-scale land or maritime border regions (e.g. Germany-Poland or France-UK – see: [http://ec.europa.eu/regional\\_policy/atlas2007/crossborder/index\\_en.htm](http://ec.europa.eu/regional_policy/atlas2007/crossborder/index_en.htm)).
- transnational cooperation covers cooperation in neighbouring large scale areas (e.g. Baltic Sea area, Alpine Space area, South West Europe – see: [http://ec.europa.eu/regional\\_policy/atlas2007/transnat/index\\_en.htm](http://ec.europa.eu/regional_policy/atlas2007/transnat/index_en.htm))
- interregional cooperation, networking and exchange of experience throughout the European Community are funded through two SF programmes: "INTERREG IV C" (concrete interregional cooperation projects – see: [www.interreg4c.eu](http://www.interreg4c.eu)) and "URBACT" (networking and exchange of experience linked to integrated urban development, see: <http://urbact.eu>).

For the individual enterprise or researcher looking for funding opportunities, this differentiation between the objectives and funds are not very relevant. It was more relevant for the negotiations between the Commission and the Member States/regions to design the operational programmes with their priorities and funding conditions. What counts to find out about the detailed conditions and modalities for funding is the **content of the operational programme(s)** that cover the region in which the applicant is located.

### 3. How much funding?

Based on the information provided by the Managing Authorities of the Member States and regions during the planning phase of the programming period 2007-2013, the EU investment for innovation and research in 2007-2013 will be around €86 billion<sup>22</sup>, which corresponds to almost 25% of the total new envelope for the 27 Member States. Of this amount

- €50 billion are allocated to **R&D and innovation in the narrow sense**, including €10.2 billion to RTD infrastructure and centres of competence, €9 billion for investment in firms directly linked to research, €5.8 billion for R&TD activities in research centres, €5.7 billion for assistance to R&TD, particularly in SMEs, €5.6 billion for technology transfer and the improvement of cooperation of networks, €4.9 billion in developing human potential in the field of research and innovation and €2.6 billion to assistance to SMEs for the promotion of environmentally-friendly products and production processes,
- €8.3 billion to **entrepreneurship**, including €5.2 billion for advanced support services for firms and €3.2 billion to support self-employment and business start-up (in addition to this, some €13.6 billion are planned for other, not necessarily innovative, investments in firms),

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<sup>22</sup> The spending categories for R&D and innovation under the Structural Funds are explained in the Commission Staff Working Document "Regions delivering Innovation through Cohesion Policy" (SEC(2007)1547 ([http://ec.europa.eu/regional\\_policy/sources/docoffic/working/doc/SEC-2007-1547.pdf](http://ec.europa.eu/regional_policy/sources/docoffic/working/doc/SEC-2007-1547.pdf))). The amounts mentioned above may shift slightly depending on the actual implementation over the programming period.

- €13.2 billion to innovative **information and communication technologies** to foster the demand side of ICT, in particular €5.2 billion for services and applications for citizens (e-health, e-government, e-learning, e-inclusion, traffic management, etc.) and €2.1 billion for services and applications for SMEs (e-commerce, education and training, networking, etc.) and
- €14.5 billion to **human capital**, including €9.7 billion for the development of life-long learning systems and strategies in firms, training and services for employees to step up their adaptability to promoting entrepreneurship and change; €2.8 billion for the development of special services for employment, training and support in connection with restructuring and development of systems anticipating future skills needs and €1.9 billion for the design and dissemination of innovative and more productive ways of organising work.

More than €2 billion or 27% of the total available budget for territorial cooperation will go into research and innovation related activities.

The resources are distributed among the Member State by a fixed key. The Commission proceeds by giving indicative annual sums per Member State. From the operational programmes of the Member States and regions, it is clear that substantial national and regional budgets will be mobilised in addition to the Community financing, triggering important private sector investments in innovation. For example, in line with the State Aid Framework for Research, Development and Innovation, the combined European and national subsidies can reach up to 35% for investments in process and organisational innovation in small enterprises<sup>23</sup>. This could lead to the doubling of national/regional financing available.

A particular mention should be made of the JEREMIE initiative aimed at improving access to finance for SMEs at regional level. JEREMIE is a pre-defined mechanism for using the budget from the European Regional Development Fund (ERDF) effectively for SME finance. This mechanism helps to move from grants towards more sustainable financial products for SMEs. Under the scheme, the EIF helps the regions to transform funding into financial products like venture capital, guarantees, and microfinance. The use of the JEREMIE initiative is optional and not all regions and Member States have introduced it in their programmes.

#### **4. Who can apply?**

Virtually all research and innovation actors (enterprises, universities, technology transfer bodies, cluster organisations, higher education institutes, etc.) can apply, depending on the programmes and initiatives that the Member States and regions provide for the relevant area and type of applicant.

#### **5. How to apply?**

Please do not send any Structural Funds funding applications directly to the Commission!

The way in which Structural Funds are spent is through a decentralised system of shared responsibility between the European Commission and Member States. The Commission

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<sup>23</sup> Point 5.5 of the Community Framework for State Aid for Research and Development and Innovation (2006/C 323/01), OJ C 323 of 30.12.2006

negotiates and approves the operational programmes proposed by the Member States and allocates resources. The Member States and their regions manage the programmes, implement them by selecting projects, control and assess them. For each operational programme, the Member State appoints a **Managing Authority** (a national, regional or local public authority or public/private body). Links to operational programme summaries and to lists of Managing Authorities can be found in the Structural Funds section of Annex 4.

To apply for SF funding, you will need to contact the relevant Managing Authority or find out on their web-sites about their calls for proposals / tender, as well as the eligibility and funding conditions and award procedures (e.g. ongoing application and project selection, calls for proposals on specific topics or competitions with fixed deadlines ...).

The project selection criteria are agreed by each operational programme's Monitoring Committee and are published (e.g. on Managing Authority websites). Projects will be evaluated according to these criteria. Bear in mind in addition that a research or innovation project submitted to a Structural Funds programme will be judged on its likely contribution to the economic development of the Member State or region as well as on its scientific or technological quality.

Also the JEREMIE financial instruments are not issued directly to small businesses (SMEs). SMEs should therefore not apply to EIF or the EC for financial support under JEREMIE. In due course, SMEs interested in obtaining finance will be able to identify and contact financial intermediaries in their countries (see: [www.eif.org/jeremie](http://www.eif.org/jeremie)), which will be provided as and when the JEREMIE initiative becomes active in Member States and regions.



## ANNEX 4: THE COMMON AGRICULTURAL POLICY – THE EU RURAL DEVELOPMENT POLICY

### 1. In a nutshell: what it is

In order to respond to the diversity of situations and the scale of the challenges facing the EU's rural areas, EU rural development policy takes the following approach:

- First, EU rural development policy offers a **flexible approach**, based on the principles of subsidiarity and partnership. When designing rural development programmes (RDPs), Member States have a significant degree of flexibility in finding a balance between the sectoral dimension (i.e. agricultural restructuring) and the territorial dimension (i.e. land management and the socio-economic development of rural areas). From a menu of approximately 40 support measures, Member States select those best suited to address the specific strengths and weaknesses of individual programming areas.
- Second, to ensure the targeted use of resources, rural development policy has adopted a **strategic approach** involving three consecutive steps. First, the Council Regulation and Community strategic guidelines set priorities for rural development which reflect EU policy priorities, particularly the Lisbon and Goteborg strategies for growth and jobs and sustainable development. Second, each Member State submits a national strategy plan ensuring that its proposals for using Community aid for rural development is consistent with the Community strategic guidelines and that Community, national and regional priorities are coherent. Third, both Member States and the Commission will closely monitor and evaluate the results of strategies and programmes.
- Third, a **thematic approach** means that measures are grouped around objectives (known at programme level as "axes"). Programmes are built around three thematic axes: economic concerns (competitiveness and employment creation), the environment and the countryside (biodiversity, climate change, sustainable resource use in agriculture and forests) and social aspects (quality of life). These are complemented by a horizontal axis: the 'Leader approach' which acts as a way of implementing rural development policy.
- Fourth, rural development policy is based on an **integrated approach**. This is demonstrated in its objectives, which reflect economic, environmental and social concerns for agriculture and the wider rural economy. Although any individual measure is attributed to the thematic axis to which it is expected to contribute most, the same measure may contribute to several objectives.

### 2. How is it structured?

The 94 programmes submitted by Member States show three types of rural development programme (RDP) being implemented:

**National or regional RDPs:** A total of 88 national or regional RDPs were approved by the Commission. Most Member States chose to submit a single national RDP. On the other hand,

some Member States (Belgium, Germany, Spain, Italy and the United Kingdom) chose to submit regional RDPs (2, 14, 17, 21 and 4 respectively). A third category of Member States (France, Finland, Portugal) presented sub-national programmes to be implemented in regions with territorial specificities - mostly islands – as a complement to national programmes (e.g. France: Ile de la Reunion, Martinique, Guadeloupe, Guyana, Corse; Finland: Aland islands; Portugal: Madeira, Azores). All 'new' Member States opted for one national RDP.

**National Frameworks:** Two Member States (Germany and Spain) submitted National Framework Programmes designating a range of measures which can be implemented through regional programmes.

**National Rural Development Networks:** Four Member States (Germany, Italy, Portugal and Spain) opted to submit separate programmes for National Rural Development Networks. All other Member States will set up a network under the umbrella of their national or regional programmes.

### **RDPs in 2007-13:**

- Total of **94 Rural Development Programmes**
- **88 RDPs**, of which:
  - ❖ Regional: 2 for Belgium, 5 for France, 14 for Germany, 21 for Italy, 3 for Portugal, 17 for Spain, 4 for the United Kingdom.
  - ❖ National: all other RDPs are implemented at MS level.
- **2 National Frameworks** (Germany, Spain)
- **4 Programmes on National Rural Development Networks** (Germany, Italy, Portugal, Spain)

The Eu rural development policy has a 4-axes structure, which reflects its major strategic objectives:

- **Axis 1: Improving the competitiveness of the agricultural and forestry sectors**

To enhance efficiency and competitiveness while promoting growth and jobs in rural areas, farmers, foresters and other land users can profit from a wide range of support measures to meet the challenges of structural change and increased competition in more open and globalized food markets.

- **Axis 2: Improving the environment and the countryside**

To improve the environment and the countryside, rural development programmes focus on priority areas such as the preservation of biodiversity and valuable landscapes, sustainable water management, the mitigation of climate change and renewable energy. The rural development resources allocated to these priority areas should contribute to achieving EU environmental objectives, such as the Göteborg commitment to reverse biodiversity decline by 2010, achieving good water quality by 2015 and the Kyoto targets for mitigating climate change.

- **Axis 3: The quality of life in rural areas and diversification of the rural economy**

The main aim of axis 3 is to ensure a 'living countryside' and to help maintain and improve the social and economic basis of rural areas. The actions under this axis focus on farm households and economic actors operating outside agriculture, but only in rural areas. Supporting investment and innovation in the rural economy and rural communities is vital to raise the quality of life in rural areas through improved access to basic services and infrastructure and a better environment. Diversification of farm households towards non-agricultural activities, assistance for off-farm activities and strengthening the links between agriculture and other sectors of the rural economy play an important role in this context.

Quality of life is strongly linked to economic development, as new services for the population and vocational training generate employment opportunities. The measures available to improve quality of life therefore serve the goal of ensuring that rural areas remain attractive for future generations and businesses. They are particularly relevant to upgrading both the natural and the social environment through investing in cultural heritage, rural tourism, micro-enterprise development and creation, infrastructure for local services and population and village renewal. Upgrading small-scale local infrastructure in rural areas is a particular priority in recently acceded Member States.

- **Axis 4: LEADER**

At EU level, the Leader method is a prominent policy instrument to enhance local rural governance and structures and thereby enhances the effectiveness and efficiency of RD policies. Leader is based on a bottom-up approach and strongly advocates the creation of new public-private partnerships in rural areas. It integrates local constituents into the decision-making process, strengthens the self-governance potential of rural areas and increases local stakeholders' "ownership" of EU-funded projects. Leader encourages socio-economic players to work together, to produce goods and services that generate maximum added value in their local area.

One key priority in the Leader framework is boosting regional governance capacity. Leader actions can activate and mobilize local actors by supporting pre-development projects (such as diagnostic and feasibility studies or local capacity building) which will improve these areas' capacity to access and use not only Leader funds but also other sources of support. The population at large is involved, including economic and social interest groups and representatives of public and private institutions. Leader also has a strong focus on capacity building for all actors involved in its implementation. Local actors are enabled to participate in decision making about the most suitable development strategy and in the selection of the priorities to be pursued in their local area.

Leader has now become an obligatory part of the rural development programmes with the scope for implementing a much broader range of rural development activities than previously. In this programming period, Member States clearly intend to invest in this method and strengthen it, having recognized Leader's potential to be applied also to new areas of activity (competitiveness of agriculture and environmental protection). Leader will therefore continue to play a role in supporting innovation through rural development programmes, thereby unleashing the innovative potential of rural areas. Each local action group is given the opportunity to opt for either a thematic focus or for a strategy based

on broader-based activities, depending on their local needs and priorities, the budgetary resources available and the capacity of local partnerships to involve new categories of partners (especially farmers and environmentalists).

### 3. **How much funding?**

In total, the EAFRD support for the programming period 2007-2013 amounts to € 96.2 billion, which is 41% of the total expenditure for rural development. The rest (58%) cover national, regional and private co-financing, respectively € 57.2 billion national expenditure (25%), € 65.5 billion private expenditure (28%), and national "top-ups" amounting to € 12.4 billion (5%). In total, this means a total funding (including EAFRD) of € 231.3 billion for the period 2007-2013.

### 4. **Who can apply?**

In principle, all research and innovation actors can apply depending on the programmes and initiatives that the Member States and regions provide for the relevant area and type of applicant.

### 5. **How to apply?**

Please do not send any Rural development funding applications directly to the Commission!

The way in which the EAFRD is spent is through a decentralised system of shared responsibility between the European Commission and Member States. The Commission negotiates and approves the rural development programmes proposed by the Member States and the allocated resources. The Member States and their regions manage the programmes, implement them by selecting projects, control and assess them. For each operational programme, the Member State appoints a **Managing Authority** (a national, regional or local public authority or public/private body). In addition, the process of implementation is managed by a **Paying Agency**, which exists in all rural development programme areas.

To apply for EAFRD funding, you will need to contact the relevant Managing Authority and Paying Agency, or find out on their web-sites about their calls for proposals / tender, as well as the eligibility and funding conditions and award procedures (e.g. ongoing application and project selection, calls for tenders, etc.).

The projects' selection criteria for each rural development measure are agreed by each rural development programme's Monitoring Committee and are published (e.g. on Managing Authority websites). Projects will be evaluated according to these criteria. Bear in mind in addition that a research or innovation project submitted for funding under a rural development programme will be judged on its relationship to the objectives and priorities set in the programme and its scope given the context of the measure under which support is provided.

## **ANNEX 5: THE EUROPEAN FISHERIES FUND**

### **1. In a nutshell: what it is**

The European Fisheries Fund (EFF) contributes to achieving the Common Fisheries Policy (CFP) objectives, which specifically consist of ensuring the conservation and sustainable use of marine resources. The EFF provides financial support aimed to:

- ensure the long-term future of fishing activities and the sustainable use of fishery resources;
- reduce pressure on stocks by matching EU fleet capacity to available stocks;
- promote the sustainable development of inland fishing;
- help boost economically viable enterprises in the fisheries sector and make operating structures more competitive;
- foster the protection of the environment and the conservation of marine resources;
- encourage sustainable development and improve the quality of life in areas with an active fishing industry;
- promote equality between women and men active in the fisheries sector.

In respect of research and innovation, the guiding principles for implementing the EFF include:

- promoting the operations contributing to the Lisbon strategy by stimulating innovation,
- developing innovative capacities for meeting consumer needs with high quality standard.

In this framework, a limited number of projects can address research and innovation, for instance in the following areas:

- local development of fisheries areas, implemented by local partnerships in the framework of local development strategy and bottom up approach,
- payment of premiums for fishers and owners of fishing vessels involved in small-scale coastal fishing in order to encourage the use of technological innovations,
- construction, extension, equipment and modernisation of marketing and processing enterprises producing or marketing new products, applying new technologies, or developing innovative production methods,
- modification of fishing vessels for their reassignment for training or research purposes (limited to public or semi-public bodies),
- pilot projects to test an innovative technology,
- technical assistance to promote innovative approaches and practices.

## **2. How is it structured?**

Projects are funded on the basis of strategic plans and operational programmes drawn up by national authorities. There are five priority areas (axes) for EFF funding:

- Axis 1: adjustment of the fleet (e.g. to support scrapping of fishing vessels)
- Axis 2: aquaculture, processing and marketing, and inland fishing (e.g. to support the shift to more environmentally friendly production methods)
- Axis 3: measures of common interest (e.g. to improve product traceability or labelling)

The EFF regulation under Axis 3, allows financing whose scope is broader than that of private enterprises and which contribute to the objectives of the Common Fisheries Policy such as:

- Pilot projects (innovative actions): An economic operator, trade association or body designated by the Member State may be granted EFF support to finance pilot projects, for example, experimentation with new technologies for aquaculture production, new more selective fishing methods, or new management techniques. Pilot projects must be developed in partnership with scientific or technical bodies.

- Axis 4: sustainable development of fisheries areas (e.g. to support diversification of the local economy) implemented by local partnerships (Fisheries Local Action Groups) in the framework of local development strategy
- Axis 5: technical assistance to finance the administration of the fund.

## **3. Main funding schemes**

The Member States decide how to allocate the financial support between the priorities of the fund. Each Member State creates a National Strategic Plan regarding the implementation of the EFF, presenting an overall strategic vision and the medium term development policy of the fisheries and aquaculture sector. This plan covers all areas of the CFP and forms the background for actions selected to be financed by the EFF. Measures to be financed are identified in the National Operational Programmes, developed to implement the National Strategic Plan.

## **4. Eligibility**

Entities based in Member States can apply for funding from the European Fisheries Fund.

## **5. How much funding?**

The EFF has a budget of €4.3 billion for 2007-2013. Funding is available for all sectors of the industry – sea and inland fishing, aquaculture (the farming of fish, shellfish and aquatic plants), and processing and marketing of fisheries products. Particular attention is given to fishing communities most affected by recent changes in the industry.

## **6. Who can apply?**

Participation in the EFF is open to a wide range of beneficiaries: public bodies, private companies, NGOs, individuals and any organisation legally established in the EU.

## **7. How to apply**

Applicants should carefully read the instructions published in the National Administrations websites, fill the prescribed forms and present them and the requested accompanying documents within a set deadline to the National Authorities of the Member State in which they are established.

The list of national contact points can be found at:

[http://ec.europa.eu/fisheries/cfp/eff/apply\\_for\\_funding/national\\_authorities.pdf](http://ec.europa.eu/fisheries/cfp/eff/apply_for_funding/national_authorities.pdf)

## ANNEX 6: USEFUL SOURCES FOR INFORMATION

### FP7 activities: [http://cordis.europa.eu/fp7/home\\_en.html](http://cordis.europa.eu/fp7/home_en.html)

- CORDIS: The official entry point to Europe’s **Seventh Framework Programme for research and technology development (FP7)**, its specific programmes, activities, themes and latest developments.  
[http://cordis.europa.eu/fp7/home\\_en.html/](http://cordis.europa.eu/fp7/home_en.html/)
- Research Executive Agency (REA) manages FP7-People, FP7-Capacities for SME-targeted projects and the FP7-Cooperation strands for “Space” and “Security”:  
<http://ec.europa.eu/research/rea/>.
  - Most of the activities of the People Programme are implemented through the Marie Curie Actions: <http://ec.europa.eu/mariecurieactions>
- JTI and SESAR Joint Undertakings
  - ARTEMIS: <https://www.artemis-ju.eu/>
  - CLEAN SKY: <http://www.cleansky.eu/>
  - ENIAC: <http://www.eniac.eu/>
  - IMI: <http://www.imi-europe.org/>
  - Fuel Cells and Hydrogen: <http://www.fchindustry-jti.eu/>
  - SESAR: <http://www.sesarju.eu/>
- The European Research Council (ERC) manages FP7-Ideas: <http://erc.europa.eu>
- FP7 National Contact Points: [http://cordis.europa.eu/fp7/ncp\\_en.html](http://cordis.europa.eu/fp7/ncp_en.html)
- **Research Enquiry Service**: <http://ec.europa.eu/research/index.cfm?pg=enquiries>
- SME service: [http://ec.europa.eu/research/sme-techweb/index\\_en.cfm](http://ec.europa.eu/research/sme-techweb/index_en.cfm)
- Risk-sharing Finance Facility (RSFF): [http://ec.europa.eu/invest-in-research/funding/funding02\\_en.htm](http://ec.europa.eu/invest-in-research/funding/funding02_en.htm) and <http://www.eib.org/products/loans/special/rsff/index.htm>

### CIP activities: [http://ec.europa.eu/cip/index\\_en.htm](http://ec.europa.eu/cip/index_en.htm)

- Financial instruments. SMEs wishing to apply for an equity investment need to contact the funds that have signed an agreement with the EIF on this page:
  - <http://www.access2finance.eu>
- Innovation actions:
  - [http://ec.europa.eu/enterprise/policies/innovation/support/index\\_en.htm](http://ec.europa.eu/enterprise/policies/innovation/support/index_en.htm)
- Eco-innovation pilot and market replication projects:
  - [http://ec.europa.eu/environment/eco-innovation/index\\_en.htm](http://ec.europa.eu/environment/eco-innovation/index_en.htm)
- ICT-Policy Support Programme: pilot projects and networking activities.
  - [http://ec.europa.eu/information\\_society/activities/ict\\_psp/index\\_en.htm](http://ec.europa.eu/information_society/activities/ict_psp/index_en.htm)



➤ Intelligent Energy Europe Programme:

- <http://ec.europa.eu/energy/intelligent/>
- ELENA Facility: Its covers a share of the cost for technical support that is necessary to prepare, implement and finance the investment programme on sustainable energy projects: [http://www.eib.org/products/technical\\_assistance/elena/index.htm?lang=en](http://www.eib.org/products/technical_assistance/elena/index.htm?lang=en)

➤ The Enterprise Europe Network: Business and innovation services in your region.

The Network comprises about 600 partners in 44 countries offering free-of-charge services to businesses such as finding business partners abroad or information to participate in the CIP and the 7<sup>th</sup> Research FP.

- [http://ec.europa.eu/cip/eip/business-innovation-services/index\\_en.htm](http://ec.europa.eu/cip/eip/business-innovation-services/index_en.htm)

➤ IPR Helpdesk: It provides personalised information about Intellectual Property Rights related to research or innovation projects funded by the EU.

- [www.ipr-helpdesk.org](http://www.ipr-helpdesk.org)

**Structural Funds:** [http://ec.europa.eu/regional\\_policy/index\\_en.htm](http://ec.europa.eu/regional_policy/index_en.htm)

➤ Summaries of operational programmes and financial allocations: [http://ec.europa.eu/regional\\_policy/atlas2007/index\\_en.htm](http://ec.europa.eu/regional_policy/atlas2007/index_en.htm)

➤ European Regional Development Fund (ERDF) - Managing authorities: [http://ec.europa.eu/regional\\_policy/manage/authority/authority\\_en.cfm](http://ec.europa.eu/regional_policy/manage/authority/authority_en.cfm)

➤ European Social Fund (ESF) - Summaries of operational programmes and Managing authorities: <http://ec.europa.eu/esf/main.jsp?catId=45&langId=en>

➤ **Regional Policy** web-site: [http://ec.europa.eu/regional\\_policy/index\\_en.htm](http://ec.europa.eu/regional_policy/index_en.htm)

- Regulations: [http://ec.europa.eu/regional\\_policy/sources/docoffic/official/regulation/newregl0713\\_en.htm](http://ec.europa.eu/regional_policy/sources/docoffic/official/regulation/newregl0713_en.htm)
- Individual links to the some 50 different cross-border and 13 transnational cooperation programmes under the "European territorial cooperation" objectives): [http://ec.europa.eu/regional\\_policy/atlas2007/crossborder/index\\_en.htm](http://ec.europa.eu/regional_policy/atlas2007/crossborder/index_en.htm) and [http://ec.europa.eu/regional\\_policy/atlas2007/transnat/index\\_en.htm](http://ec.europa.eu/regional_policy/atlas2007/transnat/index_en.htm)
- INTERREG IV C (for multi-lateral interregional cooperation of public actors on innovation, knowledge economy, environment and risk prevention issues, including "fast track" networks): [www.interreg4c.net](http://www.interreg4c.net)
- URBACT (exchanges of experience between European cities and the actors, in order to find the most efficient solutions to common problems): <http://urbact.eu>
- Regions for Economic Change initiative:

[http://ec.europa.eu/regional\\_policy/cooperation/interregional/ecochange/index\\_en.cfm](http://ec.europa.eu/regional_policy/cooperation/interregional/ecochange/index_en.cfm)

- Information on Structural Funds' actions in the field of research and innovation:  
[http://ec.europa.eu/regional\\_policy/themes/resear\\_en.htm](http://ec.europa.eu/regional_policy/themes/resear_en.htm)
- Innovative Actions Programme, including networks (2000-2006):  
[http://ec.europa.eu/regional\\_policy/innovation/index\\_en.htm](http://ec.europa.eu/regional_policy/innovation/index_en.htm)
- JEREMIE (Joint European Resources for Micro to medium Enterprises):  
[http://ec.europa.eu/regional\\_policy/funds/2007/jjj/jeremie\\_en.htm](http://ec.europa.eu/regional_policy/funds/2007/jjj/jeremie_en.htm)
- **European Social Fund website:** [http://ec.europa.eu/employment\\_social/esf/index\\_en.htm](http://ec.europa.eu/employment_social/esf/index_en.htm)
  - Transnational projects and networks:  
<http://ec.europa.eu/esf/main.jsp?catId=56&langId=en>
  - EQUAL website: [http://ec.europa.eu/employment\\_social/equal/index\\_en.cfm](http://ec.europa.eu/employment_social/equal/index_en.cfm)

#### **Information on national and regional research and innovation programmes**

- **NETWATCH** a European Commission information platform on transnational R&D programme collaboration, with a current focus on the ERA-NET scheme:  
<http://netwatch.jrc.ec.europa.eu/nw/>
- ERAWATCH provides information on national research policies, structures, programmes and organisations: <http://cordis.europa.eu/erawatch/>
- INNO Policy TrendChart describes and analyses major innovation policy trends at national and regional levels across Europe, including information on programmes:  
<http://www.proinno-europe.eu/index.cfm?fuseaction=page.display&topicID=52&parentID=52>
- European Inventory of Research and Innovation Policy Measures:  
<http://cordis.europa.eu/erawatch/index.cfm?fuseaction=about.collaboration>
- Regional Innovation Monitor: <http://www.rim-europa.eu>
- Links to official web-sites of the Member States and regions:  
[http://ec.europa.eu/regional\\_policy/country/gateway/index\\_en.cfm](http://ec.europa.eu/regional_policy/country/gateway/index_en.cfm)

#### **CAP (EU rural development policy and funding):**

[http://ec.europa.eu/agriculture/rurdev/index\\_en.htm](http://ec.europa.eu/agriculture/rurdev/index_en.htm)

European Network for Rural Development (EN RD): <http://enrd.ec.europa.eu>

Member States contact information, rural development programmes summary and other relevant information:

[http://enrd.ec.europa.eu/rural-development-policy/country-information/en/country-information\\_home\\_en.cfm](http://enrd.ec.europa.eu/rural-development-policy/country-information/en/country-information_home_en.cfm)

## ANNEX 7: SCORECARD

Programme 24	Strand / sub-programme	Step						Score / comment	
		1	2	3	4	5	6		
FP7	<b>Cooperation:</b> trans-national research partnerships, ETP, JUs, Article185, ERA-NET								
	<b>Ideas:</b> fundamental research (ERC)								
	<b>People:</b> (Marie Curie Actions)								
	<b>Capacities</b>	Research infrastructures							
		Research potential							
		Regions or Knowledge							
		Support for the coherent development of research policies							
		SME							
		INCO: International cooperation							
<b>Euratom:</b> Nuclear research and training									
CIP	<b>Financial instruments</b>								
	<b>Innovation:</b> networking, analysis								
	<b>Eco-innovation:</b> pilot and market replication projects								
	<b>ICT and information society:</b> networking, analysis, pilot and market replication projects								
	<b>Renewable energy:</b> networking, analysis, promotion and dissemination projects, financial support to technical assistance								
Structural Funds	<b>Regional / national programmes</b>								
	<b>Territorial Cooperation programmes</b> (Cross-border, Transnational, inter-regional)								

**EAFRD**      **Regional / national programmes**

**EFF**      **National programmes**

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<sup>24</sup> See Annex 1 and 2 for detailed descriptions of the CIP and FP7 programmes

# COMPETITIVE EUROPEAN REGIONS THROUGH RESEARCH AND INNOVATION



## PRACTICAL GUIDE TO EU FUNDING OPPORTUNITIES FOR RESEARCH AND INNOVATION

### VOLUME 2: ADDITIONAL FUNDING OPPORTUNITIES

Volume 2 focuses on additional funding opportunities in the field of research and innovation. It includes information on the Lifelong learning programme and international cooperation in the field of education and on LIFE + in the field of environment. It also describes the research and innovation funding opportunities offered to the overseas countries and territories, in the frame of Pre-accession Assistance and within the European Neighbourhood and Partnership Instrument.

The logical framework used in the revised Guide was also kept in the new volume, in order to bring as much consistency as possible in the presentation of various funding opportunities in the field of research and innovation. We hope that this will encourage you to enhance synergies between sources of funding, at a European level but also at a national and regional one, in order to stimulate innovation and research in your initiatives.

**ANNEX 8: LIFELONG LEARNING PROGRAMME AND INTERNATIONAL COOPERATION PROGRAMMES IN THE FIELD OF EDUCATION**

**ANNEX 9: LIFE + IN THE FIELD OF ENVIRONMENT**

**ANNEX 10: RESEARCH AND INNOVATION FUNDING OPPORTUNITIES IN THE OVERSEAS COUNTRIES AND TERRITORIES**

**ANNEX 11: THE INSTRUMENT FOR PRE-ACCESSION ASSISTANCE**

**ANNEX 12: EUROPEAN NEIGHBOURHOOD AND PARTNERSHIP INSTRUMENT : CROSS BORDER COOPERATION**

## **ANNEX 8: Lifelong learning programme and international cooperation programmes** **in the field of education**

The Lifelong Learning Programme is built on four pillars, (or sub-programmes) that include:

- the Comenius programme for pupils, teachers, schools and related institutions/ organisations (pre-school and school education up to the level of the end of upper secondary education)
- the Erasmus programme for higher education students that want to study and work abroad each year. In addition, it funds co-operation between higher education institutions across Europe. The programme not only supports students, but also professors and business staff who want to teach abroad, as well as helping university staff to receive training.
- the Leonardo da Vinci programme for apprentices, workers, employees, university graduates and related institutions/organisations (vocational education and training).
- the Grundtvig programme for adults, teachers and related institutions/organisations active in the field of adult education.

These four pillars are joined by a Transversal Programme for cross sectoral activities as well as support to policy cooperation and innovation, support for learning languages, information and communication technologies, dissemination, exploitation and peer learning activities.

The whole structure is complemented by the new Jean Monnet programme, which supports institutions and activities promoting European integration.

The aim of this programme is to contribute through lifelong learning to the development of the European Community as an advanced knowledge society, with sustainable economic development, more and better jobs and greater social cohesion. It aims to foster interaction, cooperation and mobility between education and training systems within the Community, so that they become a world quality reference.

The European Commission supports also a range of international education and training activities.

Activities are focused in particular on higher education because of its importance in the development of modern societies and its key role in social, cultural and economic development.

The European Commission's international co-operation programmes in higher education and training include:

- Erasmus Mundus: enhancing quality in higher education through scholarships and academic co-operation worldwide;
- Bilateral co-operation with industrialised countries: enhancing the quality of higher education and vocational education and training, mainly through joint study programmes;
- Tempus: building co-operation between the EU and neighbouring regions;
- EduLink: capacity-building and regional integration in higher education in ACP (Africa, Caribbean and Pacific) states and regions;
- Alfa: supporting co-operation between higher education institutions in the EU and Latin America.

**CHECKLIST FOR EU INNOVATION AND RESEARCH FUNDING : LIFELONG LEARNING AND INTERNATIONAL COOPERATION PROGRAMMES IN THE FIELD OF EDUCATION**

**Step 1: Am I eligible for a given programme or funding source?**

**Options:**

- Companies
- Research organisation/university, including private sector research organisations
- Individual researcher/PhD student/expert
- NGO/business or research association/chamber of commerce
- Public authority

○ **Companies** (micro, small, medium, large – profit/non-profit making, public-private partnership, service provider, project coordinator, etc.) other than research organisations

**LLP:** Companies involved in education and training may wish to become partners in the Lifelong Learning Programme's Multilateral Networks and/or Multilateral Projects under the LLP sectoral sub-programmes Comenius, Erasmus, Grundtvig and Leonardo da Vinci as well as under the four key activities of the LLP Transversal Programme (Policy co-operation and innovation in lifelong learning ; languages ; development of innovative ICT-based content, services, pedagogies and practice for lifelong learning ; dissemination and exploitation of results and exchange of good practice). Multilateral projects aim at sector / key activity specific improvements in the quality of education and training systems through the development of innovative contents, methods and procedures. Multilateral networks, designed to promote European co-operation and innovation in the specific education and training areas, encourage the networking of educational and training establishments and organisations. Information on the Lifelong Learning Programme is available at [http://ec.europa.eu/education/lifelong-learning-programme/doc78\\_en.htm](http://ec.europa.eu/education/lifelong-learning-programme/doc78_en.htm), details on its rules and procedures can be found in the LLP Guide: [http://ec.europa.eu/education/llp/doc848\\_en.htm](http://ec.europa.eu/education/llp/doc848_en.htm) and namely in its part II b-explanations by actions.

**External programmes:** are usually open for the participation of universities and other related organisations active in the field of higher education. Companies can usually participate as partners, but not apply. Please find the programme guides of each programme on the following websites:

**Tempus:**

[http://eacea.ec.europa.eu/tempus/funding/higher\\_education\\_institutions\\_en.php](http://eacea.ec.europa.eu/tempus/funding/higher_education_institutions_en.php)

**Erasmus Mundus:**

[http://eacea.ec.europa.eu/erasmus\\_mundus/funding/higher\\_education\\_institutions\\_en.php](http://eacea.ec.europa.eu/erasmus_mundus/funding/higher_education_institutions_en.php)

**Bilateral cooperation with industrialised countries:**

[http://eacea.ec.europa.eu/bilateral\\_cooperation/index\\_en.php](http://eacea.ec.europa.eu/bilateral_cooperation/index_en.php)

**EduLink:**

<http://www.acp-edulink.eu/funding>

**Alfa:**

[http://ec.europa.eu/europeaid/where/latin-america/regional-cooperation/alfa/index\\_en.htm](http://ec.europa.eu/europeaid/where/latin-america/regional-cooperation/alfa/index_en.htm)

#### ○ **Research organisation/university, including private sector research organisations**

**LLP:** Research centres and bodies concerned with lifelong learning issues are eligible for the LLP Multilateral Projects and Multilateral Networks as well as for the participation in some of the mobility and partnerships actions of the LLP. Higher education institutions are also eligible for support under the LLP/Jean Monnet Programme. For more details consult the LLP Guide at [http://ec.europa.eu/education/llp/doc848\\_en.htm](http://ec.europa.eu/education/llp/doc848_en.htm) and namely its Part II b-Explanations by actions.

**Tempus:** Tempus is a programme of institutional cooperation: only higher education institutions and other organisations/associations active in the field of higher education in the EU and Partner Countries surrounding the EU can apply for a Tempus grant. Individuals cannot apply themselves directly to the Programme for funding.

Proposals with an exclusive focus on research are ineligible. However, research institutes can be partner in Tempus projects provided that they contribute actively to the objectives of the projects. Enterprise development is not covered by this programme.

**Erasmus Mundus** is open to both institutions and individuals. Higher education institutions can set up consortia to design joint masters and doctoral programmes. Possibilities exist also for other education-related institutions to set up projects to enhance the attractiveness of EU higher education worldwide. Students, doctoral and post-doctoral candidates, teachers, researchers and university staff may participate in the programme to obtain a degree or credit mobility thanks to the scholarships/fellowships offered by Erasmus Mundus. The programme is open to all countries worldwide.

**Bilateral cooperation programmes with industrialised countries in higher education:** The Bilateral programmes – EU-US Atlantis, EU-Canada and ICI-ECP are programmes of institutional cooperation: only higher education and training institutions and other organisations/associations active in the field of higher education in the EU and Partner Countries can apply for grants. Individuals cannot apply themselves directly to the Programme for funding.

#### ○ **Individual researcher/PhD student / expert**

**LLP:** Education and training staff, staff from enterprises involved in teaching activities, higher education and vocational training students, adult learners and/or experts and officials of public bodies interested in studies, placements (in enterprises/training institutions/research centres), in-service training, visits, assistantships or exchanges in other EU, EU candidate or EEA/EFTA country can participate in number of mobility actions of the Lifelong Learning Programme.

**Erasmus Mundus:** Students, doctoral and post-doctoral candidates, teachers, researchers and university staff may participate in Erasmus Mundus to obtain a degree or credit mobility.

In the other external cooperation programmes, no individuals can apply.

## o NGO/business or research association/chamber of commerce

**LLP:** NGOs and associations active in the field of education and training are eligible for various LLP partnerships actions, for LLP Multilateral Projects and Multilateral Networks For participation and eligibility criteria consult the LLP Guide at [http://ec.europa.eu/education/llp/doc848\\_en.htm](http://ec.europa.eu/education/llp/doc848_en.htm) and namely its Part II b-Explanations by actions.

**External cooperation programmes:** the participation of NGOs, business associations or chambers of commerce in projects as partners (not applicants) is encouraged, as far as they contribute directly to achieving the project objectives. For **Erasmus Mundus**, non-higher education institutions can be involved in Action 1, 2 or 3 as an associate member, which means they take part in project activities or provide services (e.g. placements, quality assessment, technical support), but may not receive grant money for doing so. There is an opportunity for "private or public bodies active in the field of higher education" to be full partners in Action 3.

## o Public authority - local, regional, national government, regional/local development and/or innovation agency, intermediate body (which acts under the responsibility of a managing or certifying authority, or carries out duties on behalf of such an authority), or any other body governed by public law

**LLP:** Public bodies (and persons) responsible for systems, policies, organisation and delivery of any aspect of education and training at local, regional and national levels are welcomed to apply for a number of actions of the Lifelong Learning Programme. Specifically, the Key activity 1 "Policy cooperation and innovation in lifelong learning" of the LLP Transversal programme is designed to support, e.g., projects preparing and testing innovative policy proposals in lifelong learning; networks working on lifelong learning content, methodologies and policies and/or studies and comparative research in the field of lifelong learning. Support within the KA1 is provided through grants and open calls for tenders. For detailed information on all actions opened to public bodies consult the LLP Priorities and Guide available at [http://ec.europa.eu/education/llp/doc848\\_en.htm](http://ec.europa.eu/education/llp/doc848_en.htm).

**Tempus:** the involvement of the ministry responsible for higher education is considered an added value for the Joint Projects, aiming to improve higher education institutions themselves in one or more of the Partner Countries. For Structural Measures, which aim to improve Partner Countries' overall higher education systems, the participation of the ministry is even an eligibility criterion.

For **Erasmus Mundus**, non-higher education institutions can be involved in Action 1, 2, or 3 as an associate member, which means they take part in project activities or provide services (e.g. placements, quality assessment, technical support), but may not receive grant money for doing so. There is an opportunity for "private or public bodies active in the field of higher education" to be full partners in Action 3.

## Step 2: Is my type of research, innovation or enterprise development activity eligible?

### Options

- Basic (individual) research
- Applied & Collaborative research by higher education institutions, research centres and enterprises (including SMEs)



- Preparatory activities for research infrastructure projects
- Upgrade the capacity of your research facilities
- Large scale industry – research collaborations
- Research fellowship/PhD studies abroad / company placements
- Technology transfer, exploitation and protection (through intellectual property rights -IPR)
- Non-technological innovation/innovation management advice (analysing the innovation potential and gaps of your organisation and defining a strategy for the necessary technological, organisational, etc. changes)
- Commercialisation/market oriented activities/business expansion
- Policy analysis/strategy development (statistics, surveys, studies for public policy development)
- Networking activities (including programme coordination among policy-makers and programme managers), coordination among research programmes, enterprise associations, research organisations, exchange of good practices
- Upgrade/improve the skills of your staff or recruit researchers/innovators to be able to adopt innovative technologies, methods or management
- Improve environmental performance, reduce emissions of production or products, renewable energy, develop bio-based products, recycling
- Improve ICT use in my organisation/develop better digital content/ICT services

#### ○ **Basic (individual) research**

#### ○ **Applied & Collaborative research by higher education institutions, research centres and enterprises (including SMEs)**

**Tempus:** The overall objective of Tempus is to contribute to the modernisation of higher education systems in the Partner Countries surrounding the EU and the creation of an area of cooperation in the field of higher education between the EU and Partner Countries. The Tempus programme focus is therefore on higher education. Proposals with an exclusive focus on research are ineligible. However, **research institutes** can be partner in Tempus projects provided that they contribute actively to the objectives of the projects. Enterprise development is not covered by this programme.

**Erasmus Mundus** supports research activity in all fields in the framework of a joint doctorate programme or partnership between EU and non-EU universities. **Enterprise development is not covered by this programme.**

**Bilateral programmes with industrialised countries in higher education:** The main focus of the bilateral programmes is on giving support to consortia of higher education and training institutions to carry out joint projects, which are designed to develop and implement joint study programmes /degrees for students in the EU and in the partner countries. PhD students' mobility and pure research activities are not eligible.

For the EU-U.S. cooperation support may also concern policy-oriented measures projects that involve institutions or organizations active in the field of higher education and vocational training with a view to enhancing collaboration between the European Community and the United States of America.

Research institutes can be partners/support partners in projects provided that they contribute actively to the objectives of the projects.

**Enterprise development is not covered by this programme.**

- **Preparatory activities for research infrastructure projects**
- **Upgrade the capacity of your research facilities**

**LLP:** No

- **Large scale industry – research collaborations**

**LLP:** No

- **Research fellowship/PhD studies abroad/company placements**

**LLP:** Company placements for students in higher education or for persons undergoing initial vocational education and training can be supported through Erasmus or Leonardo da Vinci actions of the Lifelong Learning Programme (LLP). For details consult the LLP rules and procedures in the LLP Guide, and the more detailed information on the LLP actions, at: [http://ec.europa.eu/education/llp/doc848\\_en.htm](http://ec.europa.eu/education/llp/doc848_en.htm)

**Erasmus Mundus:** Students, doctoral and post-doctoral candidates, teachers, researchers and university staff may participate in the programme to obtain degree or to undertake credit mobility thanks to the scholarships/fellowships offered by Erasmus Mundus. Company placements and PhD studies may be carried out in the framework of Erasmus Mundus Joint Doctoral studies (action 1).

**Tempus:** Student exchange (with a maximum duration of 3 months) and company placements are possible as part of the project activities. The overall project should however not focus only on mobility.

**Bilateral cooperation programmes:** student exchange and company placements and are eligible, but not for PhD students.

- **Technology transfer, exploitation and protection (through intellectual property rights -IPR)**
- **Non-technological innovation/innovation management advice (analysing the innovation potential and gaps of your organisation and defining a strategy for the necessary technological, organisational, etc. changes)**

**LLP:** innovative ideas in all aspects of lifelong learning are promoted namely by the Lifelong Learning multilateral projects and multilateral networks. More information can be found on the LLP website [http://ec.europa.eu/education/lifelong-learning-programme/doc78\\_en.htm](http://ec.europa.eu/education/lifelong-learning-programme/doc78_en.htm) and in the LLP guide available from [http://ec.europa.eu/education/llp/doc848\\_en.htm](http://ec.europa.eu/education/llp/doc848_en.htm)

- **Commercialisation/market oriented activities/business expansion**
- **Policy analysis/strategy development (statistics, surveys, studies for public policy development)**

**LLP:** policy strategies and developments in the area of lifelong learning are namely promoted by the Lifelong Learning Programme's Key activity 1 "Policy cooperation and innovation in lifelong learning. See LLP Guide at [http://ec.europa.eu/education/llp/doc848\\_en.htm](http://ec.europa.eu/education/llp/doc848_en.htm)

**Bilateral cooperation: EU-US programme:** Projects that enhance collaboration in higher education and vocational training are eligible. These include studies, seminars, working groups and benchmarking exercises, addressing issues such as recognition of qualifications and accreditation. The projects may also include comparative studies and analyses, language and content integration, dissemination of projects, software and web development, e-learning, open education, infrastructure and resources development. **Tempus:** in governance reform and higher education and society projects, there is scope for policy analysis and strategy development.

○ **Networking activities, (including programme coordination among policy-makers, and programme managers) coordination among research programmes, enterprise associations, research organisations, exchange of good practices**

**LLP:** Networking activities are supported by the Lifelong Learning Multilateral Networks within all the LLP sub-programmes (Comenius, Erasmus, Grundvig, Leonardo da Vinci) as well as within its Transversal Programme. Details can be obtained from the LLP Guide ([http://ec.europa.eu/education/llp/doc848\\_en.htm](http://ec.europa.eu/education/llp/doc848_en.htm)), action specific information for each action is given in the Guide Part II b-Explanations by actions.

In **Erasmus Mundus** – action 3 (Promotion of EU higher education), alumni associations and networks can be supported.

○ **Upgrade/improve the skills of your staff or recruit researchers/innovators to be able to adopt innovative technologies, methods or management**

**LLP:** professional development for staff active in lifelong learning is provided through various in-service and/or a placements mobility action within the sectoral sub-programmes (Comenius, Erasmus, Grundtvig, Leonardo da Vinci) of the Lifelong Learning Programme. Information on them is available from the LLP website [http://ec.europa.eu/education/lifelong-learning-programme/doc78\\_en.htm](http://ec.europa.eu/education/lifelong-learning-programme/doc78_en.htm) and/or in the LLP Guide at [http://ec.europa.eu/education/llp/doc848\\_en.htm](http://ec.europa.eu/education/llp/doc848_en.htm).

**External cooperation programmes:** training and mobility of the staff of higher education institutions is encouraged in the different programmes. Please refer to the programme guide (mentioned above) of the individual programmes for the criteria in terms of the duration, profile of the staff etc.

○ **Improve environmental performance, reduce emissions of production or products, renewable energy, develop bio-based products, recycling**

○ **Improve ICT use in my organisation/develop better digital content/ICT services**

**LLP:** Development of innovative ICT – based content (Transversal Programme of LLP)

**Tempus:** Development of innovative ICT-based content, equipment upgrade (higher education institutions in the Partner Countries only)

**Step 3: What about my timeframe?**

### Options

- Can I apply now?
- Will I get a quick funding decision?
- Can I decide myself the how long my project will last?

#### ○ *Can I apply now?*

**LLP:** The general calls for proposals applying for the LLP grants are being launched once a year in October. Call documentation is available at [http://ec.europa.eu/education/llp/doc848\\_en.htm](http://ec.europa.eu/education/llp/doc848_en.htm).

**Tempus:** Tempus Calls for Proposals are published once per year, typically in autumn (with a deadline in February / March in the subsequent year), on the following website: [http://eacea.ec.europa.eu/tempus/index\\_en.php](http://eacea.ec.europa.eu/tempus/index_en.php)

**Erasmus Mundus:** Students, doctoral and post-doctoral candidates, teachers, researchers and university staff can apply for scholarships/fellowships in the framework of the Erasmus Mundus programme generally by the end of the year preceding the use of the grant (that starts with the beginning of academic year in August, September or October according to countries). Individuals can approach the contact point in their country.

Addresses can be found at: [http://ec.europa.eu/education/erasmus-mundus/doc1515\\_en.htm](http://ec.europa.eu/education/erasmus-mundus/doc1515_en.htm). They can provide more details on timeframe and application modalities.

**Bilateral programmes with industrialised countries in higher education:** There are usually yearly calls for each of the programmes. The EU-US and EU-Canada calls are published by the end of the year with a deadline early spring. The ICI ECP calls can be published during the spring with deadline in the autumn. More information on the following website: [http://eacea.ec.europa.eu/extcoop/index\\_en.php](http://eacea.ec.europa.eu/extcoop/index_en.php)

#### ○ *Will I get a quick funding decision?*

**LLP:** All applications must undergo evaluation (by external experts) and approval process. The time-frame between the application deadline and the information on the results of selection process takes usually between 4-6 months. All detailed information about decision schedule is available from LLP Guide Part IIb-Explanations by actions at [http://ec.europa.eu/education/llp/doc848\\_en.htm](http://ec.europa.eu/education/llp/doc848_en.htm).

**External programmes:** the applications must undergo evaluation (by external experts) and different approval/consultation processes, depending on the concerned programme. Between the deadline for application and the publication of the selection results, there can be a period of between 5 and 10 months (Tempus a bit shorter than Erasmus Mundus and ICI-ECP).

#### ○ *Can I decide myself how long my project will last?*

**LLP:** duration of projects within the Lifelong Learning Programme is fixed by the Commission and is action specific. All details about deadlines and schedules are published in Part IIb of the LLP Guide available from [http://ec.europa.eu/education/llp/doc848\\_en.htm](http://ec.europa.eu/education/llp/doc848_en.htm).

**External programmes:** The duration of the projects is set at either 24 or 36 months for Tempus and at up to 48 months for ICI-ECP, EU-US and EU-Canada projects. For Erasmus Mundus, the duration is fixed and depends on the action.

#### Step 4: What type of financial support can I obtain?

##### Options

- Grant (non-repayable state aid and/or funding from the EC, normally complemented by co-funding from other sources)
- Loans/guarantees/venture capital
- Service contracts (awarded through procurement procedures)

#### ○ Grant (non-repayable state aid and/or funding from the EC, normally complemented by co-funding from other sources)

**LLP:** grants are the main instrument of support within the Lifelong Learning Programme. Calls for proposals are published once a year in the Official Journal (<http://eur-lex.europa.eu/JOIndex.do> ) and detailed call information and documents can be obtained from the LLP Call website [http://ec.europa.eu/education/llp/doc848\\_en.htm](http://ec.europa.eu/education/llp/doc848_en.htm) , LLP grants are awarded under the condition of co-funding from the beneficiary.

**Tempus:** Selected Tempus projects can receive funding of up to 1.5 million euro. The grant may be used to cover costs necessary for the implementation of the Tempus project such as the cost of staff assigned to the action, travel and subsistence allowances for staff taking part in the project activities and the purchase of equipment directly linked to the objectives of the project.

Individuals such as students, academic staff, university administrators and the other representatives of partner countries can participate in the framework of a project in limited and short term mobility, but only if the mobility contributes to the achievement of Tempus project's objectives. Travel for research activities cannot be financed from the Tempus grant.

**Erasmus Mundus:** Grants to set up joint programmes and scholarships/fellowships/employment contracts for study, research or teaching periods.

**Bilateral programmes with industrialised countries in higher education:** The curriculum development and mobility projects may apply for three categories of funding: **i)** flat rates/fixed amounts for administering the project, **ii)** mobility grants for overseas mobility for EU students and **iii)** mobility grants for overseas mobility for EU academic and administrative staff.

In the EU-US ATLANTIS programme consortia implementing policy oriented measures projects may apply for a funding of up to 75% of the project cost incurred by the EU side up to a maximum of EUR 70.000, for projects with duration of two years.

#### ○ Loans/guarantees/venture capital

**LLP:** No

#### ○ Service contracts (awarded through procurement procedures)

**LLP:** Service contracts / Studies aimed at analysis of various aspects of lifelong learning and / or LLP actions and activities are being launched through open calls for tenders – for regular update see the "Calls for tenders-procurement" website of DG EAC: [http://ec.europa.eu/dgs/education\\_culture/calls/tenders\\_en.html](http://ec.europa.eu/dgs/education_culture/calls/tenders_en.html)

## Step 5: Who else is involved in the project?

### Options

- Nobody (apart from one main contractor/beneficiary)
- Partners only in my region or country
- Partners in other EU Member States or from the European Economic Area (EEA)
- Partners from non-EU Member States

### o Nobody (apart from one main contractor/beneficiary)

**LLP: Yes** for LLP mobility actions and LLP/Jean Monnet unilateral projects which are aimed at European integration studies. Within the LLP mobility actions individuals (e.g. students) must apply through the institution (e.g. university) which is a beneficiary of the LLP grant.

**External cooperation programmes:** projects should usually involve more than one higher education institution.

### o Partners only in my region or country

### o Partners in other EU Member States, European Economic Area (EEA) and Associated Countries

**LLP:** Yes. Majority of Lifelong Learning Programme's actions is aimed at activities which must involve partners from several LLP participating countries (i.e. EU, EU candidate and EEA/EFTA countries). For more details check the LLP Guide at [http://ec.europa.eu/education/llp/doc848\\_en.htm](http://ec.europa.eu/education/llp/doc848_en.htm)

**Tempus:** Higher education institutions, organisations active in the field of higher education, private or public enterprises, ministries, research institutions, non governmental organisations working in higher education from the EU and the Partner Countries are eligible to participate as partners in the project. Consortia must have at least 1 higher education institution from at least 3 different EU countries and at least 3 higher education institutions from the Partner Country. **TEMPUS:** Higher education institutions, organisations active in the field of higher education, private or public enterprises, ministries, research institutions, non governmental organisations working in higher education from the EU and the Partner Countries.

**Erasmus Mundus:** Enterprises or other employment actors can also be associated to the projects submitted.

**Bilateral programmes with industrialised countries in higher education:** Higher education institutions, organisations active in the field of higher education, private or public enterprises, ministries, research

institutions, non governmental organisations working in higher education from the EU and the Partner Countries can participate.

### o Partners from non-EU Member States

**LLP:** Multilateral Projects and Multilateral Networks of the sectoral sub-programmes and Transversal programme of the LLP are also open for partners from "third countries". Rules and details are given in the LLP Guide, available from [http://ec.europa.eu/education/llp/doc848\\_en.htm](http://ec.europa.eu/education/llp/doc848_en.htm). Actions of the Jean Monnet Programme of the LLP are open to higher education institutions in the whole world.

**Erasmus Mundus** is open to the whole world, **Tempus** to the countries neighbouring the EU (in particular the Western Balkans, the countries covered by the ENP Instrument and Central Asia) and **bilateral programmes with industrialised countries** are open to the third countries participating in these programmes (US, Canada, Australia, New Zealand, Republic of Korea and Japan).

## Step 6: Can I apply for funding in my location?

### Options

- EU Member States
- Non-EU countries (EEA, associated and candidate countries, ACP, etc.)

### o EU Member States

**LLP:** There are "decentralised" and "centralised" actions of the Lifelong Learning Programme. For the decentralised actions (e.g. mobility, partnerships) applications are submitted and advice sought at the national level, through the network of LLP National Agencies ([http://ec.europa.eu/education/lifelong-learning-programme/doc1208\\_en.htm](http://ec.europa.eu/education/lifelong-learning-programme/doc1208_en.htm)). Applications for centralised actions, i.e. Multilateral Projects, Multilateral Networks and Accompanying Measures, as well as those for the Jean Monnet Programme of the LLP, are to be sent to the Education, Audiovisual and Culture Executive Agency ([http://eacea.ec.europa.eu/index\\_en.php](http://eacea.ec.europa.eu/index_en.php)). For more details about the centralised and decentralised actions as well as about the LLP application rules and procedures please consult the LLP Guide at [http://ec.europa.eu/education/llp/doc848\\_en.htm](http://ec.europa.eu/education/llp/doc848_en.htm)

**Tempus:** Consortia of higher education institutions and other bodies active in the field of higher education can apply for a Tempus grant by submitting an application to the Education, Audiovisual and Culture Executive Agency in Brussels. The applicant institution that submits a proposal on behalf of all the partners in the consortium can be either from the EU or from the Partner Countries.

In most EU Members States and in the Partner Countries there are Tempus National Contact Points (EU Member States) or National Tempus Offices (Partner Countries) that can provide information about the programme and assist potential applicants. Their contact details can be found at:

[http://eacea.ec.europa.eu/tempus/tools/contacts\\_en.php](http://eacea.ec.europa.eu/tempus/tools/contacts_en.php)

**Erasmus Mundus:** Institutional projects must be submitted by applicants located in an eligible applicant country as defined in the Programme Guide. Individual applications can be sent from all over the world and



must be sent to home or hosting universities, according to the programme actions. The consortium requirements are all listed in the Programme Guide:

[http://eacea.ec.europa.eu/erasmus\\_mundus/programme/programme\\_guide\\_en.php](http://eacea.ec.europa.eu/erasmus_mundus/programme/programme_guide_en.php) (section 4 for EM Masters, section 5 for EM Doctorates, Section 6 for Action 2 and Section 7 for Action 3).

**Bilateral programmes with industrialised countries in higher education:** Consortia of higher education and/or training institutions and other bodies active in the field of higher education and training can apply for a grant in the bilateral co-operation programmes. A jointly prepared common proposal needs to be submitted both in the European Union and in the Partner Country. The EU lead organisation of the consortia is required to submit the proposal to the Education, Audiovisual and Culture Executive Agency in Brussels on behalf of all **European partners and the Partner Country** lead organisation to the authorities in the respective partner country on behalf of the partners from the Partner Country.

#### o **Non-EU countries (EEA, associated and candidate countries, ACP, etc.)**

**LLP:** Yes for EEA/EFTA and EU candidate countries – projects for LLP decentralised actions can be submitted through the National Agencies located in these countries as well ([http://ec.europa.eu/education/lifelong-learning-programme/doc1208\\_en.htm](http://ec.europa.eu/education/lifelong-learning-programme/doc1208_en.htm)). For more details about the application system consult the LLP Guide at [http://ec.europa.eu/education/llp/doc848\\_en.htm](http://ec.europa.eu/education/llp/doc848_en.htm).

**Tempus:** The applicant institution that submits a proposal on behalf of all the partners in the consortium can be either from the EU or the Partner Countries. EFTA-countries can participate on a self-financing basis, as well as Croatia, FYROM and Turkey. Institutions from other countries cannot participate in the programme.

**Erasmus Mundus:** Institutional projects must be submitted by consortia, of which the applicant must be based in one of the EU Member States. Individual applications can be sent to participating universities by individuals from all over the world.

**Bilateral programmes with industrialised countries in higher education:** Consortia of higher education and/or training institutions and other bodies active in the field of higher education and training can apply for a grant in the bilateral co-operation programmes. A jointly prepared common proposal needs to be submitted both in the European Union and in the Partner Country. The EU lead organisation of the consortia is required to submit the proposal to the Education, Audiovisual and Culture Executive Agency in Brussels on behalf of all **European partners and the Partner Country** lead organisation to the authorities in the respective partner country on behalf of the partners from the Partner Country.

### **ANNEX 9: Environment - LIFE+**

The LIFE+ program is the EU's funding instrument for the environment. The general objective of LIFE is to contribute to the implementation, updating and development of EU environmental policy and legislation by co-financing pilot or demonstration projects with European added value. LIFE began in 1992 and the current phase of the program runs from 2007-2013 and has a global budget of €2.1 billion. LIFE+ includes three components: LIFE+ Nature and Biodiversity, LIFE+ Environment Policy and Governance, and LIFE+ Information and Communication. LIFE+ Environment Policy & Governance co-finances environmental innovation or demonstration projects that contribute to the implementation of innovative policy ideas, technologies, methods and instruments. The target beneficiaries of this part of the LIFE+ program are both public and private bodies and projects, preferably with an important public dimension, are generally placed in a development stage of



environmental innovations, technologies or services, which lies after research and before market replication. Projects are required to set up and test a prototype.

LIFE+ is a program centrally managed by the EC, while Member States essentially contribute via the LIFE+ Committee and the setting of national priorities. Information on the programme can be found at <http://ec.europa.eu/environment/life/index.htm> Additional information can be found through the Contact Points in your country: <http://ec.europa.eu/environment/life/contact/nationalcontact/lifeplusenv.htm>

## **THE LIFE+ PROGRAM, STRAND "ENVIRONMENTAL POLICY AND GOVERNANCE"**

### **1. In a nutshell: what it is**

The LIFE program is the EU's funding instrument for the environment. The general objective of LIFE is to contribute to the implementation, updating and development of EU environmental policy and legislation by co-financing pilot or demonstration projects with European added value.

LIFE began in 1992 and the current phase of the program, LIFE+, runs from 2007-2013 and has a budget of €2.143 billion. The legal basis for LIFE+ is the [Regulation \(EC\) No 614/2007](#).

During the period 2007-2013, the European Commission will launch one call for LIFE+ project proposals per year.

LIFE+ Environmental Policy and Governance: <http://ec.europa.eu/environment/life/themes/environment.htm>

Funding rules: <http://ec.europa.eu/environment/life/funding/lifeplus.htm>

Search engine of co-financed projects: <http://ec.europa.eu/environment/life/project/Projects/index.cfm>

Best projects: <http://ec.europa.eu/environment/life/bestprojects/index.htm>

### **2. How is it structured?**

Proposals must be eligible under one of the program's three components: LIFE+ Nature and Biodiversity, **LIFE+ Environment Policy and Governance**, and LIFE+ Information and Communication. Of these three components, only **LIFE+ Environment Policy and Governance** supports innovation.

### **3. Main funding schemes**

**LIFE+ Environment Policy and Governance** supports technological projects that offer significant environmental benefits, for example process or efficiency improvements. This part of LIFE+ also helps projects that improve the implementation of EU environmental legislation, that

build the environmental policy knowledge base, and that develop environmental information sources through monitoring (including forest monitoring).

The specific objectives of LIFE+ Environment Policy and Governance shall be, in relation to the objectives of the 6th Environmental Action Program, including for the priority areas of climate change, environment and health and quality of life, and natural resources and wastes:

(a) to contribute to the development and demonstration of innovative policy approaches, technologies, methods and instruments;

(b) to contribute to consolidating the knowledge base for the development, assessment, monitoring and evaluation of environmental policy and legislation;

(c) to support the design and implementation of approaches to monitoring and assessment of the state of the environment and the factors, pressures and responses that impact on it;

(d) to facilitate the implementation of Community environmental policy, with particular emphasis on implementation at local and regional level;

(e) to provide support for better environmental governance by broadening stakeholder involvement, including that of NGOs, in policy consultation and implementation.

#### **4. How much funding?**

The current phase of the program, LIFE+, runs from 2007-2013 and has a budget of €2.143 billion. The maximum EU co-financing rate for LIFE+ Environment Policy and Governance projects is 50 percent of the total eligible project costs.

Interesting complementarities can be found between LIFE+, FP7 and CIP. It may be that, during the lifetime of an FP7 project, funding needs are identified in order to continue the activity by setting up a prototype, which, if successfully tested through LIFE+, could successively be the object of a business plan and market replication through CIP. However, there is no guarantee that a further application for funding under FP7, LIFE+ or the CIP would be possible, as there may be no relevant call open, or successful, given the very competitive nature of the process.

#### **5. Who can apply?**

Participation in the LIFE+ program is open to a wide range of beneficiaries: public bodies, private companies, NGOs, individuals and any organisation legally established in the EU.

#### **6. How to apply**

Calls in the frame of LIFE+ are annual. Applicants should consult the LIFE+ website, in order to have the last news on the next call: <http://ec.europa.eu/environment/life/funding/lifeplus.htm>

Applicants should carefully read the instructions published in the LIFE+ website, fill the prescribed forms and present them and the requested accompanying documents within a set deadline to the National Authorities of the Member State in which they are established.

## Checklist for EU innovation and research funding: LIFE+

### Step 1: Am I eligible for a given programme or funding source?

#### Options:

- **Companies** (micro, small, medium, large – profit/non-profit making, public-private partnership, service provider, project coordinator, etc.) other than research organisations

LIFE+: **Yes**, private and public bodies, as well as NGOs can participate in the program under the strand "Environmental Policy and Governance".

- **Research organisation/university, including private sector research organisations**

LIFE+: **Yes**, provided the project corresponds to the program requirements, i.e. the concrete setting up and testing of a prototype. Pure research activities and market replication are not admitted, while the program could also co-finance training and dissemination.

- **Individual researcher/PhD student / expert**

LIFE+: Although individuals can theoretically apply for LIFE+ funding, it seems very difficult that a single person has the financial and technical capacity to implement a complex innovative environmental project.

- **NGO/business or research association/chamber of commerce**

LIFE+: **Yes**, provided the program requirements are respected.

- **Public authority** - local, regional, national government, regional/local development and/or innovation agency, intermediate body (which acts under the responsibility of a managing or certifying authority, or carries out duties on behalf of such an authority), or any other body governed by public law

LIFE+: **Yes**, public bodies can apply to the program, alone or through a public-private partnership.

### Step 2: Is my type of research, innovation or enterprise development activity eligible?

#### Options:

- **Basic (individual) research**

LIFE+: **No.**

- **Applied & Collaborative research by higher education institutions, research centres and enterprises (including SMEs)**

LIFE+: **No.**

○ **Preparatory activities for research infrastructure projects**

LIFE+: **No.**

○ **Upgrade the capacity of your research facilities**

LIFE+: **No.**

○ **Large scale industry – research collaborations**

LIFE+: **No.**

○ **Research fellowship/PhD studies abroad/company placements**

LIFE+: **No.**

○ **Technology transfer, exploitation and protection (through intellectual property rights -IPR)**

LIFE+: **Partly.** Technology transfer can be, under certain conditions, admitted by the program, provided it includes an environmental innovative or demonstrative value. Exploitation and protection are not eligible.

○ **Non-technological innovation/innovation management advice (analysing the innovation potential and gaps of your organisation and defining a strategy for the necessary technological, organisational, etc. changes)**

LIFE+: **Yes**, provided this kind of technology management includes a real environmental innovative or demonstrative value. This technology/management could only be financed as a prototype and not as a market replication.

○ **Commercialisation/market oriented activities/business expansion**

LIFE+: **No.**

○ **Policy analysis/strategy development (statistics, surveys, studies for public policy development)**

LIFE+: **May be**, but only if the above mentioned actions are part of a larger project based on setting up and testing of a prototype.

○ **Networking activities, (including programme coordination among policy-makers, and programme managers) coordination among research programmes, enterprise associations, research organisations, exchange of good practices**

LIFE+: **Yes**, but only if the above mentioned actions are part of a larger project based on setting up and testing of a prototype. Communication, networking and dissemination represent an essential component of any LIFE+ project.

○ **Upgrade/improve the skills of your staff or recruit researchers/innovators to be able to adopt innovative technologies, methods or management**

LIFE+: **Yes**, but only if the above mentioned actions are part of a larger project based on setting up and testing of a prototype.

- **Improve environmental performance, reduce emissions of production or products, renewable energy, develop bio-based products, recycling**

LIFE+: **Yes**, at a prototype scale. Nevertheless, "renewable energy" is not eligible.

- **Improve ICT use in my organisation/develop better digital content/ICT services**

LIFE+: **May be**, but only if the above mentioned actions are part of a larger project based on setting up and testing of a prototype.

### **Step 3: What about my timeframe?**

Options:

- **Can I apply now?**

LIFE+; **Maybe**: There are only certain time-frames for the submission of projects as defined for each specific "call for proposals", which is annual.

(See: <http://ec.europa.eu/environment/life/funding/lifeplus.htm>)

- **Will I get a quick funding decision?**

LIFE+: **No**. Projects have to undergo an evaluation and approval process, followed by a period of contract negotiations. Therefore, from the date of submission of the proposal to the signature of the contract, frequently a 7-8 month time span or more must be foreseen and the first payments will only be made thereafter.

- **Can I decide myself how long my project will last?**

LIFE+: **Yes**, typically, the length of LIFE+ projects will be in a range from 2 to 4 years.

### **Step 4: What type of financial support can I obtain?**

Options:

- **Grant (non-repayable state aid and/or funding from the EC, normally complemented by co-funding from other sources)**

LIFE+: **Yes** through **calls for proposals**. The open calls for proposal are announced in the website <http://ec.europa.eu/environment/life/funding/lifeplus.htm>

- **Loans/guarantees/venture capital**

LIFE+: **No**.

○ **Service contracts (awarded through procurement procedures)**

LIFE+: **Sometimes**, but only in the frame of specific needs of the EC in the frame of studies, expert and organisational support contracts.

**Step 5: Who else is involved in the project?**

Options:

○ **Nobody (apart from one main contractor/beneficiary)**

LIFE+: **Yes**, a project with only one single beneficiary is eligible.

○ **Partners only in my region or country**

LIFE+: **Yes**, partners from the same region and the same Member State or from other EU Member State are eligible.

○ **Partners in other EU Member States, European Economic Area (EEA) and Associated Countries**

LIFE+: **Yes**, partners from the same region and the same Member State or from other EU Member State are eligible.

**No**, EEA and AC States are for the moment not eligible.

○ **Partners from non-EU Member States**

LIFE+: **No**, partners shall be established in EU Member States. Nevertheless, actions implemented for justified strategic reasons in neighbouring states could be possibly eligible.

**Step 6: Can I apply for funding in my location?**

Options:

○ **EU Member States**

LIFE+: **Yes**. Organisations **from all EU regions** can apply for LIFE+ funding.

○ **Non-EU countries (EEA, associated and candidate countries, ACP, etc.)**

LIFE+: **No**.

## **ANNEX 10: RESEARCH AND INNOVATION FUNDING OPPORTUNITIES**

### **IN THE OVERSEAS COUNTRIES AND TERRITORIES**<sup>25</sup>

The Research Framework Programme and the Competitiveness and Innovation Framework can support research and innovation in the OCTs associated with the EU and their relevant public and/or private bodies and institutions benefiting from it. This is why FP 7 and the CIP provide an important basis to foster the cooperation of the OCTs with the regions of the EU, above all with the Outermost Regions as some of them are situated in the same geographical area.

#### **Are you a citizen of an OCT?**

If you live in an Overseas Country and Territory<sup>26</sup>, then you are a citizen of an OCT.

#### **The European Development Fund (EDF) as a funding option**

Research and innovation in the OCTs can be supported by the European Development Fund (EDF), in addition to the funding opportunities from the FP7 and the CIP. The EDF financial support is provided to the local governments of the OCTs. Under the 2007-2013 programming period, the 10<sup>th</sup> EDF set aside € 286 million for the OCTs, whose local governments can choose to develop cooperation with the EU in areas linked to research and innovation.

#### **Additional opportunities concerning Greenland**

In Greenland additional and/or complementary support can be provided through the EU budget allocation of € 42.8 million available in the context of the EU-Greenland association.<sup>27</sup>

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<sup>25</sup> In accordance with Part Four of the Treaty on the Functioning of the EU (TFEU), these OCTs are associated with the EU in order to promote their economic and social development and to establish close economic relations between them and the Union as a whole. The association shall serve primarily to further the interests and prosperity of the inhabitants of these countries and territories in order to lead them to the economic, social and cultural development to which they aspire (Article 198 of the TFEU). The list of the OCTs constitutes the Annex II of the TFEU.

<sup>26</sup> List of OCTs: Greenland; New Caledonia and Dependencies; French Polynesia; French Southern and Antarctic Territories; Wallis and Futuna Islands; Mayotte; Saint Pierre and Miquelon; Aruba; Bonaire, Curacao, Saba, Sint Eustacius, Sint Maarten (the Netherlands Antilles); Anguilla; Cayman Islands; Falkland Islands; South Georgia and the South Sandwich Islands; Montserrat; Pitcairn; Saint Helena and Dependencies; British Antarctic Territory; British Indian Ocean Territory; Turks and Caicos Islands; British Virgin Islands; Bermuda.

<sup>27</sup> The EU budget allocation is divided in € 25 million from the 'Council decision of 17<sup>th</sup> July 2006 on relations between the European Community on the one hand, and Greenland and the Kingdom of Denmark on the other (2006/526/EC; hereinafter referred to as the Partnership Agreement) and € 17.8 million from the 'Council decision of 21<sup>st</sup> December 2006 on the conclusion of the Agreement in the form of an Exchange of Letters relating to the provisional application of the Fisheries Partnership Agreement between the European Community, on the one hand, and the Government of Denmark and the Home Rule Government of Greenland, on the other (2006/1006/EC; hereinafter referred to as the Fisheries Partnership Agreement) respectively.

## **Complementary Funding opportunities for OCTs**

It is possible to combine resources of the European Development Fund, FP7 and CIP in a complementary way. Indeed, an OCT government may choose to dedicate its territorial EDF allocation to the implementation of a strategy relating to research and innovation. Complementary funds can be mobilized on FP7 to finance the setting up of a network involving local and regional/international, public and/or private research entities.

### **Who allocates the funds?**

The local governments of the OCTs are responsible for the agreed implementation of the EDF. If necessary the European Commissions' services and the EU delegations can assist the OCTs to obtain a better articulation of several different EU funds.

The European Development Fund dedicated to OCTs is distributed through territorial and regional allocations and takes the form of a programme. Each programme identifies a single sector of cooperation between the OCT and the EU. The identification of the sector of cooperation is based on dialogue between the Delegations of the EU and/or the headquarters of the European Commission in Brussels on the one hand and the authorities of the OCTs on the other hand. All relevant private and public local stakeholders shall be associated to this dialogue. The beneficiaries of the EDF allocations are the local governments of the OCTs.

### **Do you need further information?**

In addition to the sources of advice described in the "Practical Guide", please note, if you are based in an OCT, that you can refer to the Enterprise Europe Network ([http://www.enterprise-europe-network.ec.europa.eu/index\\_en.htm](http://www.enterprise-europe-network.ec.europa.eu/index_en.htm)) and the National Contact Points ([http://cordis.europa.eu/fp7/ncp\\_en.html](http://cordis.europa.eu/fp7/ncp_en.html)) in the Member States with which your OCT has special relations. The persons from the OCTs interested in FP7 and CIP can seek information contacting the following Delegations of the EU ([http://www.eeas.europa.eu/delegations/web\\_en.htm](http://www.eeas.europa.eu/delegations/web_en.htm)) or the headquarters of the European Commission in Brussels ([http://ec.europa.eu/development/about/mission/contactsc\\_en.cfm](http://ec.europa.eu/development/about/mission/contactsc_en.cfm)):

- For Aruba, Bonaire, Curaçao, Saba, Sint Eustatius, Sint Maarten:  
  
Delegation of the EU in Guyana  
<http://www.delguy.ec.europa.eu/>
- For Turks and Caicos Islands, Cayman Islands:  
Delegation of the EU in Jamaica  
[http://eeas.europa.eu/delegations/jamaica/index\\_en.htm](http://eeas.europa.eu/delegations/jamaica/index_en.htm)
- For Anguilla, British Virgin Islands, Montserrat:  
Delegation of the EU in Barbados  
<http://www.delbrb.ec.europa.eu/>
- For Mayotte: Delegation of the EU in the Republic of Mauritius  
[http://eeas.europa.eu/delegations/mauritius/index\\_en.htm](http://eeas.europa.eu/delegations/mauritius/index_en.htm)
- For French Polynesia, New Caledonia, Pitcairn, Wallis and Futuna:



- Delegation of the EU in Fiji  
<http://www.delfji.ec.europa.eu/en/index.htm>
- For Greenland, French Southern and Antarctic Territories, Saint-Pierre and Miquelon, Falkland Islands, Saint Helena and Dependencies  
European Commission – Directorate General for Development and Relations with African, Caribbean and Pacific States – OCT Task Force  
[http://ec.europa.eu/development/about/mission/contactsc\\_en.cfm](http://ec.europa.eu/development/about/mission/contactsc_en.cfm)

## CHECKLIST FOR EU INNOVATION AND RESEARCH FUNDING

### AS REGARDS THE LEGAL ENTITIES WITHIN THE OCT

#### Step 1: Am I eligible for a given programme or funding source?

FP7: **Yes.** The OCTs are eligible for funding from the FP7. The only areas which are not open to the application from the OCTs are two subcategories under **FP7/Capacities**, 'Regions of Knowledge' and 'Research Potential'.

The legal entities under the OCTs are eligible as:

- Companies: These legal entities can participate in almost all FP7 activities and are encouraged to do so.
- Research organisation/university, including private sector research organisations
- Individual researcher/PhD student/expert: Only from FP7/People
- NGO/business or research association/chamber of commerce: if engaged in activities that are relevant for a given call for proposals
- Public Authorities: Public bodies that carry out research can be part of **FP7-Cooperation** and **FP7-PEOPLE** projects, in particular in the public-private partnerships that are set up in certain key sectors as large scale multinational research activities in areas of major interest to European industrial competitiveness and issues of high societal relevance.

CIP: **Yes.**

The legal entities under the OCTs are eligible as:

- Companies: Companies may benefit from the CIP Financial Instruments if they are SMEs and subject to being accepted by financial intermediaries approved under these instruments.
- Research organisation/university, including private sector research organisations: **Sometimes.** Research organisations and universities can participate in certain projects and networking activities, depending on the conditions described in the respective call for proposals.

- Individual researcher/PhD student/expert: **No**, except in the framework of calls for tender to deliver analytical services or as an external evaluator in the framework of certain calls for proposals.

- NGO/business or research association/chamber of commerce: **Yes**, if set out in the relevant call for proposals, to carry out pilot and market replication projects or networking activities.

- Public Authorities: **Yes**. Public bodies can apply for most of the CIP calls for proposals related to networking, innovation policy development, intelligent energy and ICT.

SF: **No** - the OCTs are not eligible to research funding according to the Structural Funds.

10<sup>th</sup> EDF: **Yes**. As the association between the OCTs and the EU is financed under the European Development Fund (EDF), the local governments of the OCTs can choose to develop cooperation with the EU in areas linked to research and innovation. In that respect it is **only** the local governments of the OCTs which can apply for funding from the 10<sup>th</sup> EDF.

## Step 2: Is my type of research, innovation or enterprise development activity eligible?

FP7: The OCTs are eligible for funding from FP7 (excluding the **FP7/Capacities**, 'Regions of Knowledge' and 'Research Potential' actions). The eligible types of research, innovation or enterprise development are:

- Basic (individual) research: **Yes** under **FP-7-Ideas and FP7-People**. Basic research may also arise in projects funded under **FP7-Cooperation**.

- Applied & Collaborative research by higher education institutions, research centres and enterprises (including SMEs): **Yes** under **FP7-Cooperation**, provided the research is in a field covered by FP7. Also, research services for SMEs in the 'Research for the Benefit of SMEs' actions under **FP7-Capacities** and in the Marie Curie Actions under **FP7-People**.

- Preparatory activities for research infrastructure projects: **Yes** under the **FP7-Capacities** 'Research Infrastructures'

- Upgrade the capacity of your research facilities: **Yes**, in 'Research Infrastructures' under **FP7-Capacities** through the integrating activities (I3). SMEs can receive funding for equipment in the Marie Curie Actions "Industry-Academia Partnerships and Pathways" (IAPP) scheme under **FP7-People**.

- Large scale industry – research collaborations: **Yes** under **FP7-Cooperation**

- Research fellowship/PhD studies abroad / company placements: **Yes** under **FP7-People**

- Technology transfer, exploitation and protection (through intellectual property rights -IPR): **Yes** (but with some exceptions). These activities can be part of a research-focused project under **FP7-Cooperation**, **FP7-People** and **FP7-Capacities**.

- Non-technological innovation/innovation management advice (analysing the innovation potential and gaps of your organisation and defining a strategy for the necessary technological, organisational, etc. changes): **Maybe**. Such activities may arise, for example, in the 'Research for the benefit of SMEs' actions under **FP7-Capacities**.

- Commercialisation/market oriented activities/business expansion: **No**.

- Policy analysis/strategy development (statistics, surveys, studies for public policy development): **Yes** under **FP7-Capacities**

- Networking activities (including programme coordination among policy-makers and programme managers), coordination among research programmes, enterprise associations, research organisations, exchange of good practices: **Yes**, under **FP7/Capacities**, **FP7/Cooperation** and **FP7/People**
- Upgrade/improve the skills of your staff or recruit researchers/innovators to be able to adopt innovative technologies, methods or management: **Yes**, the Marie Curie Actions under **FP7-People** provide funding for the acquisition of new skills and technologies for staff and for the recruitment of researchers
- Improve environmental performance, reduce emissions of production or products, renewable energy, and develop bio-based products, recycling: **Yes**, in **FP7-Cooperation** and **FP7-Capacities**. In addition, as a 'bottom up' scheme, all the Marie Curie Actions under **FP7-People** invite applications from all areas of research.
- Improve ICT use in my organisation/develop better digital content/ICT services: **Yes**, under **FP7-Cooperation**

CIP: The OCTs are eligible for funding through the CIP. They are obliged to follow the same conditions mentioned in connection with FP7. The eligible types of research, innovation or enterprise are:

- Basic (individual) research: **No**.
- Applied & Collaborative research by higher education institutions, research centres and enterprises (including SMEs): **No**
- Preparatory activities for research infrastructure projects: **No**
- Upgrade the capacity of your research facilities: **No**
- Large scale industry – research collaborations: **No**
- Research fellowship/PhD studies abroad / company placements: **No**
- Technology transfer, exploitation and protection (through intellectual property rights -IPR): **Yes**. Networking, pilot and market replication projects can address these issues.
- Non-technological innovation/innovation management advice (analysing the innovation potential and gaps of your organisation and defining a strategy for the necessary technological, organisational, etc. changes): **Yes**. Innovation is considered under CIP in a broad sense
- Commercialisation/market oriented activities/business expansion: **Yes**.
- Policy analysis/strategy development (statistics, surveys, studies for public policy development): **Yes**.
- Networking activities (including programme coordination among policy-makers and programme managers), coordination among research programmes, enterprise associations, research organisations, exchange of good practices: **Yes**.
- Upgrade/improve the skills of your staff or recruit researchers/innovators to be able to adopt innovative technologies, methods or management: **No**.
- Improve environmental performance, reduce emissions of production or products, renewable energy, develop bio-based products, recycling: **Yes**. Eco-innovation is a horizontal priority in CIP. Networking and pilot and market replication projects in the field of energy efficiency and renewable energies can be funded under the **IEE programme** ([http://ec.europa.eu/energy/intelligent/index\\_en.html](http://ec.europa.eu/energy/intelligent/index_en.html)). Other economic sectors should be directed towards the **eco-innovation part of EIP programme** ([http://ec.europa.eu/environment/etap/ecoinnovation/index\\_en.htm](http://ec.europa.eu/environment/etap/ecoinnovation/index_en.htm)). Please also note that a specific budget has been earmarked for eco-innovation activities under the CIP **Financial Instruments** for SMEs.
- Improve ICT use in my organisation/develop better digital content/ICT services: **Yes**, under the **ICT programme** of CIP.

SF: **No**. The OCTs are not eligible for funding through the Structural Funds.

10<sup>th</sup> EDF: Providing that the local authorities of the OCTs are the entities applying for funding and the initiatives are covered by the sectors mentioned in the Overseas Association Decision the initiatives will be eligible.

### **Step 3: What about my timeframe?**

FP7: **Yes**, the OCTs are eligible for funding from FP7 (excluding the **FP7/Capacities**, 'Regions of Knowledge' and 'Research Potential' actions). The procedures are as follows:

- Can I apply now? **Maybe**. There are only certain time-frames for the submission of project proposals under each specific "call for proposals". In many cases such calls are only published every one to two years and then not necessarily for all the possible themes. (See: [http://ec.europa.eu/research/participants/portal/page/fp7\\_calls](http://ec.europa.eu/research/participants/portal/page/fp7_calls) for the list of calls open at this time).

- Will I get a quick funding decision? **No**. FP7 projects have to undergo an evaluation and approval process, followed by a period of contract negotiations. Therefore, from the date of submission of the proposal to the signature of the contract, frequently a 9 month time span or more must be foreseen and the first payments will only be made thereafter.

- Can I decide myself the how long my project will last? **Yes**, however within certain limits, which are normally indicated in the work programme. Typically, the length of medium to large scale projects will be in a range from 2 to 4 years, while smaller projects may last 1 year or occasionally even less.

CIP: **Yes**, the OCTs are eligible for funding from the CIP. The procedures are as follows:

- Can I apply now? **Maybe**. There are only certain time-frames for the submission of projects as defined for each specific "call for proposals" (See: <http://ec.europa.eu/cip>).

- Will I get a quick funding decision? **Unlikely**, in case of projects, for similar reasons as for FP7. Yes for the Community Financial Instruments for SMEs subject to one or more financial intermediaries having been approved under CIP.

- Can I decide myself the how long my project will last? **Yes**, however within certain limits: the work programme indicates the maximum project length.

SF: **No**. The OCTs are not eligible for funding through the Structural Funds.

10<sup>th</sup> EDF: The identification of the sector of cooperation is based on dialogue between the Delegations of the EU and/or the headquarters of the European Commission in Brussels on the one hand and the authorities of the OCTs on the other hand who are the recipients of the territorial and regional allocations of the 10<sup>th</sup> OCT-EDF. These allocations must be programmed via a Single Programming Document (SPD). The SPD identifies the sector of cooperation that will be (co)financed by the considered allocation, the policy, sectoral strategy or project that will be supported by the EDF and the modalities of implementation of the funds. The SPD covers the entire period of implementation of the 10<sup>th</sup> EDF.

## Step 4: What type of financial support can I obtain?

FP7: **Yes**, the OCTs are eligible for funding from FP7 (excluding the **FP7/Capacities**, 'Regions of Knowledge' and 'Research Potential' actions). The legal entities are eligible for the following kinds of support:

- Grant (non-repayable state aid and/or funding from the EC, normally complemented by co-funding from other sources): **Yes**
- Loans/guarantees/venture capital: **Yes**. The Risk-sharing Finance Facility (RSFF) aims to enhance backing for private investors in research projects by improving access to loans from the European Investment Bank (EIB) for participants in large European research actions.
- Service contracts (awarded through procurement procedures): **Yes**.

CIP: **Yes**, the OCTs are eligible for funding from the CIP. The legal entities are eligible for the following kinds of support:

- Grant (non-repayable state aid and/or funding from the EC, normally complemented by co-funding from other sources): **Yes** through **calls for proposals**. The open calls for proposal are announced in the CIP website (<http://ec.europa.eu/cip>) and on the web pages of the specific CIP programmes. To know about the main themes or actions to be funded under future calls, consult the CIP webpage: [http://ec.europa.eu/cip/index\\_en.htm](http://ec.europa.eu/cip/index_en.htm)
- Loans/guarantees/venture capital: **Yes**, but only for **Community Financial Instruments for SMEs**, which are managed by the European Investment Fund (EIF) on behalf of the European Commission.
- Service contracts (awarded through procurement procedures): **Yes**. Mostly study, expert and organisational support contracts.

SF: **No**. The OCTs are not eligible for funding through the Structural Funds.

10<sup>th</sup> EDF: Budget support or project approach directly to the authorities of the OCTs, given that the sectors under consideration are in line with the Overseas Association Decision and are the ones identified in the Single Programming Documents.

## Step 5: Who else is involved in the project?

FP7: **Yes**, the OCTs are eligible for funding from FP7 (excluding the **FP7/Capacities**, 'Regions of Knowledge' and 'Research Potential' actions). Concerning involvement, the following rules apply:

- Nobody (apart from one main contractor/beneficiary): **Yes** for **FP7-Ideas** (fundamental research) and some of the Marie Curie Actions under **FP7–People**
- Partners only in my region or country: **No**, except for FP7-Ideas

- Partners in other EU Member States or from the European Economic Area (EEA): **Yes**. Transnational partnerships from at least 3 different EU Member States/EEA/Associated countries are the norm for FP7, except for **FP7-Ideas** and **FP7-People** (in **Initial Training Networks** with 3 or more partners, at least 3 different EU Member States/EEA/Associated countries are required)
- Partners from non-EU Member States: **Yes** for theme-oriented international cooperation actions under **FP7-Cooperation**, provided that there are also partners from at least 3 different EU / EEA Member States involved. Under **FP7-People** the international dimension contributes to the life-long training and career development of EU-researchers, attracting research talent from outside Europe and fostering mutually beneficial research collaboration with research actors from outside Europe. The 'INCO' activities under **FP7-Capacities** are specifically designed for international cooperation and the 'Research Infrastructures' actions are also open for international cooperation. See for details: [http://cordis.europa.eu/fp7/public\\_en.html](http://cordis.europa.eu/fp7/public_en.html) Participation of partners from non-EU countries is also possible under 'Research for the benefit of SMEs' in **FP7-Capacities**.

CIP: **Yes**, the OCTs are eligible for funding from the CIP. Concerning involvement, the following rules apply:

- Nobody (apart from one main contractor/beneficiary): **Yes** for **Community Financial Instruments for SMEs**, and for service or expert contracts.
- Partners only in my region or country: **No**, except for **Community Financial Instruments for SMEs** and service contracts.
  - Partners in other EU Member States or from the European Economic Area (EEA): **Maybe**. Transnational partnerships in the EU countries are the general rule for projects and networks. Exception: Financial instruments do not require further partners in the funded project.
  - Partners from non-EU Member States: **Yes** for certain countries.

SF: **No**. The OCTs are not eligible for funding through the Structural Funds.

10<sup>th</sup> EDF: Funding from the EDF programme is arranged between the authorities of the OCTs and the EC (the Member States can be associated to this political dialogue and the EIB can be involved in the partnership where applicable).

## Step 6: Can I apply for funding in my location?

FP7: **Yes**. Via the association decision<sup>28</sup>, the OCTs have access to the funding from FP7 (excluding the **FP7/Capacities**, 'Regions of Knowledge' and 'Research Potential' actions). If the legal entities from the OCTs fulfil the general conditions of FP7 they can apply. Legal entities from the OCTs can find information on the modalities of their application on the following website: <http://cordis.europa.eu/fp7/get->

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<sup>28</sup> Council Decision 2001/822/EC of 27 November 2001 on the association of the Overseas Countries and Territories with the European Community ('Overseas Association Decision') amended by Council Decision 2007/249/EC of 19 March 2007.

[support\\_en.html](#). They can also contact the Delegations of the EU or the headquarters of the European Commission (see contact details page 11-12).

**CIP: Yes.** The OCTs are eligible for funding through the CIP. Legal entities from the OCTs can find information on the modalities of their application on the following websites:

[http://ec.europa.eu/energy/intelligent/contact/national\\_en.htm](http://ec.europa.eu/energy/intelligent/contact/national_en.htm) and

[http://ec.europa.eu/information\\_society/activities/ict\\_psp/contacts/ncp/index\\_en.htm](http://ec.europa.eu/information_society/activities/ict_psp/contacts/ncp/index_en.htm).

They can also contact the Delegations of the EU or the headquarters of the European Commission (see contact details page 11-12).

**SF: No.** The OCTs are not eligible for funding under the Structural Funds.

**10<sup>th</sup> EDF: Yes.** The funding provided from the 10<sup>th</sup> EDF is allocated to the authorities of the OCTs.



## **ANNEX 11: THE INSTRUMENT FOR PRE-ACCESSION ASSISTANCE (IPA)**

As reflected in the "Practical Guide", enlargement countries are fully fledged members of FP7 and the CIP-EIP.<sup>29</sup> Researchers and companies established in these countries can apply for any call published under these programmes.

With regard to Structural Funds, candidate countries follow a very similar pattern of work to Member States when using their pre-accession assistance to support regional development, human resources and rural development. Advice listed below is therefore of relevance also to them. Advice given on Structural Funds Cross Border Cooperation is relevant for all enlargement countries cross border programmes with Member States and among enlargement countries themselves.

### **In a nutshell: what is IPA?**

In 2007, the Instrument for Pre-Accession Assistance (IPA) replaced a series of European Union programmes and financial instruments for candidate countries or potential candidates, namely PHARE, PHARE CBC, ISPA, SAPARD, CARDS and the financial instrument for Turkey. IPA provides assistance in different forms to countries undertaking political and economic reforms, so as to bring beneficiaries closer to EU membership and to aligning their legislation with-and adopting-the *acquis communautaire*.

A substantial part of IPA is devoted to economic reforms thus supporting transition to the knowledge economy. Moreover, IPA can be used for specific obligations of the *acquis communautaire* concerning research and innovation.

IPA is also designed to progressively entrust administrations in the beneficiary countries with the management of EU funds. In addition to boosting the sense of ownership, this will also help prepare the countries for the management methods they will have to deploy as they come closer to benefiting from funds as EU Member States.

### **How is it structured?**

The IPA is made up of five different components:

- I. Assistance for political and economic transition and institution building;
- II. Cross-border cooperation (with EU Member States and other countries eligible for IPA);
- III. Regional development (transport, environment, regional and economic development);
- IV. Human resources (strengthening human capital and combating social exclusion);
- V. Rural development.

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<sup>29</sup> Kosovo UNSCR 1244 is not yet participating to these programmes. Bosnia-Herzegovina is not a member of the CIP-EIP.

The IPA beneficiaries are divided into two categories:

Component three, four and five are designed to mirror closely structural, cohesion and rural development funds, in preparation for the management of such funds upon accession. Thus, IPA allows beneficiary countries to prepare themselves for successful participation in Cohesion Policy and its instruments upon accession, with a view to a better and more effective absorption of these funds once they become available. Only EU candidate countries (Croatia, Turkey and the former Yugoslav Republic of Macedonia) can work on projects across all five components of IPA;

Potential candidates (Albania, Bosnia-Herzegovina, Montenegro, Serbia, and Kosovo under UN Security Council Resolution 1244/99) are eligible only for the first two components. They can develop projects in content areas of components three, four and five; however, they need to implement them under rules applying for component one.

In addition to national actions, IPA establishes projects that require collaboration between several beneficiaries, such as regional structures, networks of experts or civil servants or to tackle needs or problems of reconciliation and cross-border nature. They cover cooperation with international financial institutions (e.g. the European Bank for Reconstruction and Development, the European Investment Bank and the European Central Bank), civil society dialogue and development, research and education actions (student mobility programmes, etc.), actions to help beneficiaries meet the requirements for EU membership and align their standards with the EU (e.g. trade). Multi-beneficiary programmes complement individual national programmes by giving the possibility to the countries to learn from each other's experience.

### **How much funding?**

Each country receives funding allocated in line with a rolling three-year multi-annual indicative financial framework (MIFF) linked with the enlargement policy framework. The framework is published each year, as part of the progress reports package, and provides information on the Commission's intentions by country and by component. This financial matrix forms the link between the political framework and the budgetary process. It is revised annually, on a rolling three-year basis. The latest published MIFF is for 2011-13.

Actions funded through IPA need to be in line with the priorities set out in the European Partnerships and Accession Partnerships for each country and in the enlargement strategy and progress reports published each autumn. Based on this, multi-annual planning documents (MIPDs) are designed and constitute the strategy for assistance over the next three years. The Commission, with the beneficiary countries, develop multi-annual or annual programmes in order to meet the objectives set in the MIPDs.

Programmes specify the objectives and the fields of intervention, the expected results, the management procedures and total amount of financing planned per project. They contain a summary description of the type of operations to be financed, an indication of the amounts allocated for each type of operation and an indicative implementation timetable. Following approval of annual programmes, specific calls for proposals and tenders are published.

Assistance through IPA can take the following forms:

- Investment, procurement, contracts or subsidies
- Administrative cooperation, involving experts sent from Member States (e.g. twinning)
- Action by the EU in the interest of the beneficiary country
- Measures to support the implementation process and programme management

- Budget support (granted exceptionally)

Approximate size of a project varies. Infrastructure projects are more financially intensive, while other projects normally receive the EU support ranging from €1-€3 million.

### **Who can apply?**

Participation in the award of procurement or grant contracts is open to all nationals and legal persons established in a Member State of the EU or the European Economic Area (EEA), a country that is a beneficiary of the IPA or of the European Neighbourhood and Partnership Instrument, and to international organisations.

### **How to apply?**

The EU delegations are in charge of the practical implementation of IPA grants. Call for proposals and tenders will be published on the delegation website or on the website of national ministries and agencies in case of decentralised management which are currently in place in Croatia and Turkey, as well as the EuropeAid website. In addition EC HQ also programmes and contracts regional and horizontal multi-beneficiary programmes for the benefit of the IPA beneficiaries. These tenders and call for proposals are published on the EuropeAid website

In case of financial instruments for companies, projects are often implemented via International Financial Institutions and in cooperation with local banks. Companies wishing to receive loans or micro-loans can obtain them directly from local banks and do not need to follow EC Delegation calls for proposal. The list of these banks is available from EU Delegations in enlargement countries.

*More information about IPA in general:*

[http://ec.europa.eu/enlargement/how-does-it-work/financial-assistance/instrument-pre-accession\\_en.htm](http://ec.europa.eu/enlargement/how-does-it-work/financial-assistance/instrument-pre-accession_en.htm)

*and about IPA-Component III, Regional Development:*

[http://ec.europa.eu/regional\\_policy/funds/ipa/index\\_en.htm](http://ec.europa.eu/regional_policy/funds/ipa/index_en.htm)

## CHECKLIST FOR EU INNOVATION AND RESEARCH FUNDING: IPA, COMPONENT III

### Step 1: Am I eligible for a given programme or funding source?

#### Options:

- **Companies** (micro, small, medium, large – profit/non-profit making, private-public partnership, service provider, project coordinator, etc.) other than research organisations

**IPA Component III:** Yes. However please be aware that currently operating programmes do not offer direct funding possibilities for private companies.

- **Research organisation/university, including private sector research organisations**

**IPA Component III:** Partly. It can support a range of activities mostly for public research organisations and universities. Conditions and topics depend on the relevant national/regional programme, so it is necessary to consult the operational programmes in each Candidate Country or region for details.

- **Individual researcher/PhD student / expert**

**IPA Component III:** No.

- **NGO/business or research association/chamber of commerce**

**IPA Component III:** Yes. Conditions and topics depend on the country, so please consult the operational programmes in each Operating Structure.

- **Public authority** - local, regional, national government, regional/local development and/or innovation agency, intermediate body (which acts under the responsibility of a managing or certifying authority, or carries out duties on behalf of such an authority), or any other body governed by public law

**IPA Component III:** Yes. Public bodies can directly benefit from funding. It can support the activities of public bodies to reinforce economic and social cohesion by redressing the main regional imbalances, including infrastructure measures and technical assistance. Also, in the case of economically less well-developed regions (under the "Convergence" objective – see Step 6 below), there is a special emphasis on capacity building, which includes training as well as networking measures, in particular as regards adaptability of workers and enterprises. Please consult the operational programmes in each Candidate Country or region for details.

### Step 2: Is my type of research, innovation or enterprise development activity eligible?

(depending on the criteria set by the Managing Authority/Operating Structure – please consult relevant national authority)

**Options:**

○ **Basic (individual) research**

**IPA Component III:** No.

○ **Applied & Collaborative research by higher education institutions, research centres and enterprises (including SMEs)**

**IPA Component III:** Yes, Research & Technological Development (R&TD) activities in research centres in all research fields or assistance to R&TD, particularly in SMEs (including access to R&TD services in research centres) can be supported. Conditions and topics depend on the strategy and priorities agreed for each national/regional operational programme. You can consult the published programme or contact the Operating Structure for the operational programme for further details (see Annex 7).

○ **Preparatory activities for large scale research infrastructure projects**

**IPA Component III:** Yes. Various types of preparatory activity, including feasibility studies for infrastructures can be supported through the operational programmes.

○ **Upgrade the capacity of your research facilities**

**IPA Component III:** Yes, R&TD infrastructure technology can be funded but the conditions and themes depend on the strategy and priorities of the programmes for your Candidate Country or region. Please contact the relevant Operating Structure.

○ **Large scale industry – research collaborations**

**IPA Component III:** Maybe, depending on the strategy and priorities of the national programme. Major projects and aid schemes (i.e. of total cost that exceeds € 10 million) are normally listed in the operational programmes. Unlike most IPA projects, such major projects have to be submitted, including a cost-benefit-analysis and proof of compliance with EU environmental and other standards, to the European Commission (DG REGIO) for approval.

○ **Research fellowship/PhD studies abroad/company placements**

**IPA Component III:** No

○ **Technology transfer, exploitation and protection (through intellectual property rights -IPR)**

**IPA Component III:** Yes. However please be aware that currently operating programmes do not offer direct funding possibilities for private companies and other private entities. The Operating Structure responsible for the relevant operational programme in your Candidate Country or region will be able to provide details of the support available.

○ **Non-technological innovation/innovation management advice (analysing the innovation potential and gaps of your organisation and defining a strategy for the necessary technological, organisational, etc. changes)**

**IPA Component III:** Yes. However please be aware that currently operating programmes do not offer direct funding possibilities for private companies. Advanced support services for firms and groups of firms can be funded by. The Operating Structure responsible for the relevant operational programme in your Candidate Country or region will be able to provide details of the support available.

○ **Commercialisation/market oriented activities/business expansion**

**IPA Component III:** Yes. However please be aware that currently operating programmes do not offer direct funding possibilities for private companies. The operating structure responsible for the relevant operational programme in Candidate Country will be able to provide details of the support available.

○ **Policy analysis/strategy development (statistics, surveys, studies for public policy development)**

**IPA Component III:** Yes, provided this is foreseen in the national programme. Such policy development activities can also include experimentation with new programme or funding approaches. The Operating Structure responsible for the relevant operational programme in Candidate Country will be able to provide details.

○ **Networking activities, (including programme coordination among policy-makers, and programme managers) coordination among research programmes, enterprise associations, research organisations, exchange of good practices**

**IPA Component III:** Yes. Networking projects among public and/or private actors (e.g. businesses along the supply chain or in a cluster) in your region can be eligible for funding. The support available will depend on the strategy and priorities set out in the relevant **national operational programme**.

○ **Upgrade/improve the skills of your staff or recruit researchers/innovators to be able to adopt innovative technologies, methods or management**

**IPA Component III:** No.

○ **Improve environmental performance, reduce emissions of production or products, renewable energy, develop bio-based products, recycling**

**IPA Component III:** Yes. However please be aware that currently operating programmes do not offer direct funding possibilities for private companies . The Operating Structure responsible for the relevant operational programme in Candidate Country will be able to provide details.

○ **Improve ICT use in my organisation/develop better digital content/ICT services**

**IPA Component III:** Yes. However please be aware that currently operating programmes do not offer direct funding possibilities for private companies. Please consult relevant Operating Structure in the Candidate Country.

### Step 3: What about my timeframe?

#### Options:

#### ○ Can I apply now?

**IPA Component III**: **Maybe**. This depends on the IPA programme relevant for your region and type of activity. Please contact the relevant Operating Structure for more information (see Annex 7).

#### ○ Will I get a quick funding decision?

**IPA Component III**: **Maybe**, depending on the national or regional operational programme. Please contact the Operating Structure for your region for details.

#### ○ Can I decide myself how long my project will last?

**IPA Component III**: **Yes**, however within certain limits. The duration of a project **depends** on the IPA programme relevant for your region and type of activity. In any case, the funding cannot continue beyond 2016. Please note that there is a certain limit for the completion of the project (so-called N+3 rule). Please contact the relevant Operating Structure for more information (see Annex 7).

### Step 4: What type of financial support can I obtain?

#### Options:

#### ○ Grant (non-repayable state aid and/or funding from the EC, normally complemented by co-funding from other sources)

**IPA Component III**: **Yes**. The procedures for the allocation of IPA to projects differ depending on the relevant national or regional programme. Application procedures (e.g. ongoing application and project selection, calls for proposals or competitions with fixed deadlines) are decided by the Operating Structure, depending on what is most appropriate for the activities in question.

#### ○ Loans/guarantees/venture capital

**IPA Component III**: **Yes**. National IPA programme for Turkey includes financial engineering measures

#### ○ Service contracts (awarded through procurement procedures)

**IPA Component III**: **Yes**. Mostly study, expert and organisational support contracts. Most of these contracts are awarded through the managing authorities as part of their technical assistance allocations, but also DG Regional Policy and DG Employment, Social Affairs and Equal Opportunities conduct calls for tender for service contracts. For SF national procurement rules apply, for IPA Practical Guide to Contract procedures for EC external actions is applicable ([http://ec.europa.eu/europeaid/work/procedures/implementation/practical\\_guide/index\\_en.htm](http://ec.europa.eu/europeaid/work/procedures/implementation/practical_guide/index_en.htm)).

### Step 5: Who else is involved in the project?

**Options:**

**○ Nobody (apart from one main contractor/beneficiary)**

**IPA Component III:** Yes. The main partner is the Operating Structure managing the relevant Operational Programme.

**○ Partners only in my region or country**

**IPA Component III:** Maybe. Depending on the operation's set-up.

**○ Partners required in other EU Member States, European Economic Area (EEA) and Associated Countries**

**IPA Component III:** No.

**○ Partners possible from non-EU Member States**

**IPA Component III:** No.

**Step 6: Can I apply for funding in my location?**

**Options:**

**○ EU Member States**

**IPA Component III:** No.

**○ Non-EU countries (EEA, candidate countries, ACP, etc.)**

**IPA Component III:** Yes, but only for Candidate Countries.



## **ANNEX 12: ENPI Cross Border Cooperation programmes**

### **1. In a nutshell: what it is**

Cross Border Cooperation (CBC) is a key priority of the European Neighbourhood and Partnership Instrument (ENPI). Its objective is to reinforce cooperation between Member States and partner countries along the external borders of the European Union.

The CBC strategy has four key objectives:

- 1) Promote economic and social development in border areas
- 2) Address common challenges
- 3) Ensure efficient and secure borders
- 4) Promote people-to-people cooperation

A major innovation of the ENPI CBC is that there is a fully balanced partnership between the participating countries. This approach will allow both partner countries and member states to work together within a common management structure, applying a single set of implementing rules and sharing one single budget.

Regional and local partners on both sides of the border will identify common needs and priorities for activities that are most relevant to their local situation.

### **2. How is it structured?**

Three types of programmes have been established:

- 1) Land border programmes between two or more countries sharing a common border
- 2) sea crossing programmes between two countries with access to the same sea,
- 3) Multilateral programmes covering a sea basin.

In total, 15 CBC programmes (9 land border, 3 sea crossing and 3 sea basin programmes) have been identified on both sides of the EU's external borders in the East and in the South.

### **3. How much funding?**

The total funding for 15 programmes (approved in the Strategy Paper, of which 13 are operational) is of 1.1 billion EUR for the period 2007-2013. Each programme benefits from an individual allocation and in some programmes the Member States and Partner Countries bring co-funding in addition to the EU funds.

### **4. Who can apply?**

Priority (based on the ENPI regulation) will be given to:

- Local and regional authorities

- NGOs, development organisations, business associations, cultural or scientific institutions
- Other key organisations in the eligible regions

The eligibility of applicants is specified in each call for proposals.

The partnership between a EU member state and a partner country is obligatory. Each project should represent at least one Member State and one Partner Country. A good partnership is key to the success of a project.

## 5. How to apply?

Calls for proposals and application packs, including guidelines for applicants and application forms, will be published online by the Joint Managing Authorities. Please consult the websites of each ENPI CBC programme for details on calls for proposals and selected projects, forecasts and updates (see Annex 5 for contact details).

The Joint Managing Authority (JMA) of each programme will regularly launch calls for proposals allowing applicants to submit projects for financing. The programme will decide on the submission deadline and the eligibility criteria for each call. These criteria include the eligibility of applicants, the project size, co-operation sectors, etc.

The JMA will sign one contract per project covering both member states and partner countries. The JMA will monitor the projects with support from the Joint Technical Secretariats (located in the Member State hosting the JMA) and their branch offices (located in both the Member States and the Partner Countries). One set of rules will apply to these projects on both sides of the EU external border.

## 6. List of programmes and responsible Joint Managing Authorities

Programme and JMA	Financial Allocation
<b>Land Border Programmes</b>	
<a href="#"><u>The Kolarectic-Russia Programme</u></a> Regional Council of Lapland, Finland	28.241 million EUR
<a href="#"><u>The Karelia-Russia Programme</u></a> Council of Oulu Region, Finland	23.203 million EUR
<a href="#"><u>The South-East Finland-Russia Programme</u></a> Regional Council of South Karelia, Finland	36.185 million EUR
<a href="#"><u>The Estonia-Latvia-Russia Programme</u></a> Ministry of Regional Development and Local Governments of Latvia	47.775 million EUR
<a href="#"><u>The Latvia-Lithuania-Belarus Programme</u></a> The Ministry of Interior of the Republic of Lithuania, Regional Policy Department	41.737 million EUR
<a href="#"><u>The Lithuania-Poland-Russia Programme</u></a> The Ministry of Regional Development of the Republic of Poland	132.130 million EUR

<p><b><u>The Poland-Belarus-Ukraine Programme</u></b></p> <p>The Ministry of Regional Development of the Republic of Poland</p>	<p>186.201 million EUR</p>
<p><b><u>The Hungary-Slovakia-Romania-Ukraine Programme</u></b></p> <p>The National Development Agency in Hungary</p>	<p>68.638 million EUR</p>
<p><b><u>The Romania-Ukraine-Republic of Moldova Programme</u></b></p> <p>The Ministry of Regional Development and Tourism, Romania</p>	<p>126. 718 million EUR</p>
<p><b>Sea Crossing and Sea Basin Programmes</b></p>	
<p><b><u>The Italy-Tunisia Programme</u></b></p> <p>The Region of Sicily, Palermo, Italy</p>	<p>25.191 million EUR</p>
<p><b><u>Black Sea Programme</u></b></p> <p>The Ministry of Regional Development and Tourism, Romania</p>	<p>17.306 million Euro</p>
<p><b><u>The Mediterranean Sea Programme</u></b></p> <p>Region of Sardinia, Cagliari, Italy</p>	<p>173.607 million Euro</p>
<p><b><u>The Baltic Sea Region Programme</u></b></p> <p>Investitionsbank Schleswig-Holstein, Kiel, Germany</p>	<p>22.608 million EUR ENPI contribution to the integrated Baltic Sea programme</p>

**ENPI CBC:** [http://ec.europa.eu/europeaid/where/neighbourhood/regional-cooperation/enpi-cross-border/index\\_en.htm](http://ec.europa.eu/europeaid/where/neighbourhood/regional-cooperation/enpi-cross-border/index_en.htm)

- Summaries of Joint Operational Programmes and financial allocations:  
[http://ec.europa.eu/europeaid/where/neighbourhood/regional-cooperation/enpi-cross-border/programmes/index\\_en.htm](http://ec.europa.eu/europeaid/where/neighbourhood/regional-cooperation/enpi-cross-border/programmes/index_en.htm)
- European Neighbourhood and Partnership Instrument (ENPI) Regulation:  
[http://ec.europa.eu/europeaid/where/neighbourhood/regional-cooperation/enpi-cross-border/documents/enpi\\_regulation\\_en.pdf](http://ec.europa.eu/europeaid/where/neighbourhood/regional-cooperation/enpi-cross-border/documents/enpi_regulation_en.pdf)
- ENPI Cross Border Co-operation Strategy Paper:  
[http://ec.europa.eu/europeaid/where/neighbourhood/regional-cooperation/enpi-cross-border/documents/summary\\_of\\_strategy\\_paper\\_en.pdf](http://ec.europa.eu/europeaid/where/neighbourhood/regional-cooperation/enpi-cross-border/documents/summary_of_strategy_paper_en.pdf)
- ENPI CBC Implementing Rules: <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2007:210:0010:0025:EN:PDF>
- Links to official web-sites of the individual ENPI CBC programmes and their JMAs:  
[http://ec.europa.eu/europeaid/where/neighbourhood/regional-cooperation/enpi-cross-border/programmes/index\\_en.htm](http://ec.europa.eu/europeaid/where/neighbourhood/regional-cooperation/enpi-cross-border/programmes/index_en.htm)

#### CHECKLIST FOR EU INNOVATION AND RESEARCH FUNDING:

##### ENPI Cross Border Cooperation programmes

### Step 1: Am I eligible for a given programme or funding source?

#### Options:

- **Companies** (micro, small, medium, large – profit/non-profit making, private-public partnership, service provider, project coordinator, etc.) other than research organisations

ENPI CBC: No as a rule but some programmes allow participation of SMEs under specific conditions. Check guidelines for individual calls.

○ **Research organisation/university, including private sector research organisations**

ENPI CBC: Public or non profit making organisations established in the eligible area.

○ **Individual researcher/PhD student / expert**

ENPI CBC: no grants for individual experts, researchers and/or PHD students will be proposed within the framework of the calls for proposals. However, a possibility for funding may be found under the component 'people to people contact' in some programmes.

○ **NGO/business or research association/chamber of commerce**

ENPI CBC: **Yes**, if established in the eligible area.

○ **Public authority - local, regional, national government, regional/local development and/or innovation agency, intermediate body (which acts under the responsibility of a managing or certifying authority, or carries out duties on behalf of such an authority), or any other body governed by public law**

ENPI CBC: **Yes**, if established in the eligible area

**Step 2: Is my type of research, innovation or enterprise development activity eligible?**

**Options:**

○ **Basic (individual) research**

ENPI CBC: **No**.

○ **Applied & Collaborative research by higher education institutions, research centres and enterprises (including SMEs)**

ENPI CBC: **Yes**, if the applicant is established in the eligible area.

○ **Preparatory activities for large scale research infrastructure projects**

ENPI CBC: **No**. Large scale infrastructure projects are limited to border management.

○ **Upgrade the capacity of your research facilities**

ENPI CBC: **Yes**. Infrastructure component of project may be supported depending on the priorities identified by individual calls for proposals.

○ **Large scale industry – research collaborations**

ENPI CBC: Profit making organisations are not eligible but can be associated to the project ('associated partner' status).

○ **Research fellowship/PhD studies abroad/company placements**

ENPI CBC: **No**.

○ **Technology transfer, exploitation and protection (through intellectual property rights -IPR)**

ENPI CBC: **Yes**, provided it takes place in the eligible area with a "CBC" effect and depending on the priorities identified by individual calls for proposals.

○ **Non-technological innovation/innovation management advice (analysing the innovation potential and gaps of your organisation and defining a strategy for the necessary technological, organisational, etc. changes)**

ENPI CBC: **Yes**, if in the eligible area and depending on the priorities identified by individual calls for proposals.

○ **Commercialisation/market oriented activities/business expansion**

ENPI CBC: **No**, in principle since profit making organisations are not eligible.

○ **Policy analysis/strategy development (statistics, surveys, studies for public policy development)**

ENPI CBC: **No**, in principle studies are not eligible.

○ **Networking activities, (including programme coordination among policy-makers, and programme managers) coordination among research programmes, enterprise associations, research organisations, exchange of good practices**

ENPI CBC: **Yes**, if in the eligible area and depending on the priorities identified by individual calls for proposals.

○ **Upgrade/improve the skills of your staff or recruit researchers/innovators to be able to adopt innovative technologies, methods or management**

ENPI CBC: **Yes**, if in the eligible area and depending on the priorities identified by individual calls for proposals.

○ **Improve environmental performance, reduce emissions of production or products, renewable energy, develop bio-based products, recycling**

**ENPI CBC**: **Yes**, if in the eligible area and depending on the priorities identified by individual calls for proposals.

○ **Improve ICT use in my organisation/develop better digital content/ICT services**

**ENPI CBC:** Yes, if in the eligible area and depending on the priorities identified by individual calls for proposals.

### Step 3: What about my timeframe?

Options:

#### ○ Can I apply now?

ENPI CBC: **Maybe:** see calls opened for each programme on the programmes' websites: [http://ec.europa.eu/europeaid/where/neighbourhood/regional-cooperation/enpi-cross-border/programmes/index\\_en.htm](http://ec.europa.eu/europeaid/where/neighbourhood/regional-cooperation/enpi-cross-border/programmes/index_en.htm)

#### ○ Will I get a quick funding decision?

ENPI CBC: **No.** projects have to undergo an evaluation and approval process, followed by a period of contract negotiations. Therefore, from the date of submission of the proposal to the signature of the contract, frequently a 9 month time span or more must be foreseen and the first payments will only be made thereafter.

#### ○ Can I decide myself how long my project will last?

**ENPI CBC:** Yes, within limits, which are indicated in the guidelines for applicants of each call. Typically, the length of projects will be in a range from 12 to 24 months.

### Step 4: What type of financial support can I obtain?

Options:

#### ○ Grant (non-repayable state aid and/or funding from the EC, normally complemented by co-funding from other sources)

ENPI CBC: **Yes** the instrument of support under the ENPI CBC is grants. See for currently open calls for proposals: [http://ec.europa.eu/europeaid/where/neighbourhood/regional-cooperation/enpi-cross-border/programmes/index\\_en.htm](http://ec.europa.eu/europeaid/where/neighbourhood/regional-cooperation/enpi-cross-border/programmes/index_en.htm). A grant covering 90% of the project budget is awarded. 10% co-financing is expected from the applicant.

#### ○ Loans/guarantees/venture capital

ENPI CBC: **No**

#### ○ Service contracts (awarded through procurement procedures)

ENPI CBC: Notices for service contracts may be published by the ENPI CBC Programmes Managing authorities occasionally, e.g. to recruit experts.

## Step 5: Who else is involved in the project?

### Options:

#### ○ Nobody (apart from one main contractor/beneficiary)

ENPI CBC: **No**: In order to be eligible the project must be submitted by at least one partner from a Member State and one partner from a partner country from the eligible area.

#### ○ Partners only in my region or country

ENPI CBC: **No**: In order to be eligible the project must be submitted by at least one partner from a Member State and one partner from a partner country from the eligible areas. It can however comprise more than one partner from one country (EU member States or partner countries)

#### ○ Partners required in other EU Member States, European Economic Area (EEA) and Associated Countries

ENPI CBC: **Yes**: Some programmes involve two or more member states. In order to be eligible the project must be submitted by at least one partner from a Member State and one partner from a partner country from the eligible area but the number of partners from each country is not limited.

#### ○ Partners possible from non-EU Member States

ENPI CBC: **Yes**: In order to be eligible the project must be submitted by at least one partner from a Member State and one partner from a partner country (Neighbourhood and Turkey for the Black Sea Basin programmes).

Please note: For the EU Candidate Countries a specific scheme exists, the "**Instrument for Pre-Accession Assistance**" (IPA). For details see **Step 6 → Non-EU countries**.

## Step 6: Can I apply for funding in my location?

### Options:

#### ○ EU Member States

CBC: **Yes**. Eligible organisations from eligible EU regions can apply for ENPI CBC funding. Please address yourself to the managing authorities in charge of the ENPI CBC programme. They will provide you with details on the conditions that apply to your region (see contacts in Annex 4). The ENPI CBC programmes, including the eligible regions, are listed and briefly described at:

[http://ec.europa.eu/europeaid/where/neighbourhood/regional-cooperation/enpi-cross-border/index\\_en.htm](http://ec.europa.eu/europeaid/where/neighbourhood/regional-cooperation/enpi-cross-border/index_en.htm)

#### ○ Non-EU countries (EEA, candidate countries, ACP, etc.)

CBC: **Yes**. Eligible organisations from eligible partner (ENP) regions can apply for ENPI CBC funding. Please address yourself to the managing authorities in charge of the ENPI CBC programme. They will provide you with details on the conditions that apply to your region (see contacts in Annex 4). The ENPI



CBC programmes, including the eligible regions, are listed and briefly described at [http://ec.europa.eu/europeaid/where/neighbourhood/regional-cooperation/enpi-cross-border/index\\_en.htm](http://ec.europa.eu/europeaid/where/neighbourhood/regional-cooperation/enpi-cross-border/index_en.htm)

Please note: For the **EU Candidate countries** a specific scheme exists, the "**Instrument for Pre-Accession Assistance**" (IPA, information included in the previous chapter of this document)