



EUROPEAN  
COMMISSION

**DRAFT**

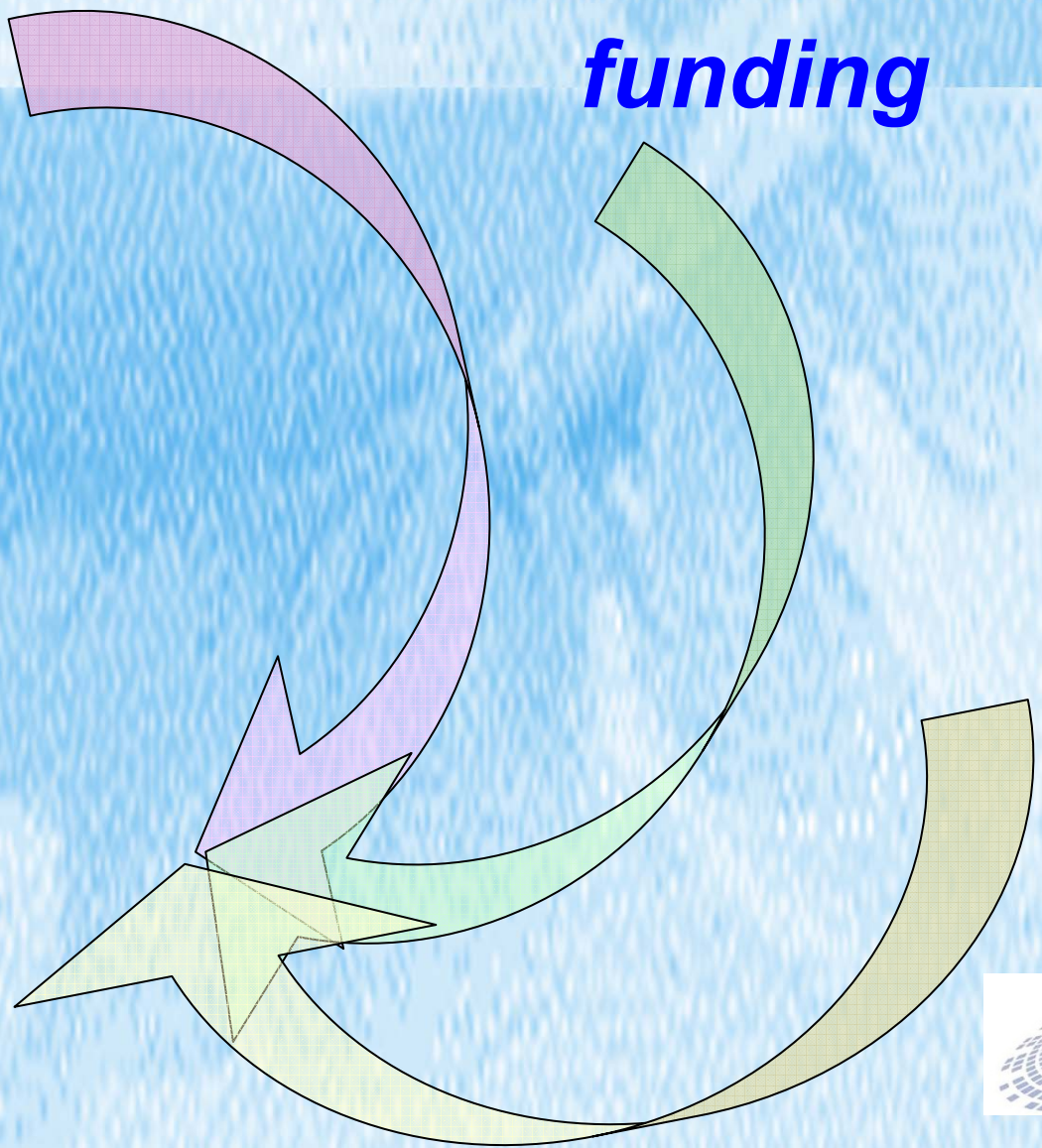
**PRACTICAL GUIDE TO**  
EU funding opportunities for research,  
development and innovation

COMPETITIVE EUROPEAN REGION  
THROUGH RESEARCH AND INNOVATION  
*[COM (2007) 474 final]*

# CHECKLIST

*for*

## *EU innovation and research funding*



EUROPEAN  
RESEARCH AREA

**COMPLEMENT to:**



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## STEP 1

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

***Companies (micro, small, medium, large – profit/non-profit making, private-public 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, there are specific calls for proposals under the FP7 Capacities Specific Programme for research relating to SMEs. Exception: Unless it is a research organisation, and operates in a Convergence Region, a company cannot participate in the Research Potential action.

**CIP:** Yes. Companies may benefit from the Community 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 for information on eligibility criteria and application procedures. Pilot and market replication projects are also addressed to companies. However, grants for networking projects are in most cases addressed to public bodies or business organisations only.

**SF:** Yes. The Structural Funds offer many funding possibilities for companies (in particular SMEs). Conditions and topics vary across programmes, so it is necessary to consult the operational programmes in each Member State or region for details<sup>1</sup>.

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<sup>1</sup> Links to operational programme summaries and to lists of managing authorities can be found in the Structural Funds section of Annex 4.

See also:

- SME portal for information on EU policies and initiatives which provide direct or indirect support to SMEs:  
[http://ec.europa.eu/enterprise/sme/index\\_en.htm](http://ec.europa.eu/enterprise/sme/index_en.htm)
- Enterprise Europe Network. A network of 600 regional actors covering more than 40 countries and delivering business and innovation support services such as information on EU matters, business cooperation, exploitation and transfer of research results or participation in UE funded RTDI 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)

**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 almost all strands of FP7, except for those limited to research policy-makers (Coherent development of research policies under FP7-Capacities).

CIP: Sometimes. Research organisations and universities can participate in certain projects and networking activities, depending on the conditions described in the respective call for proposal. 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.

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 national/regional programme, so it is necessary to consult the operational programmes in each Member State or region for details.

### ***Individual researcher / PhD student***

FP7: Yes for FP7-People: For individual researchers at all stages and in all subjects, the fellowship programme "Marie Curie" is open and supports their stay abroad in research institutes and industry. Individual researchers may also apply as Principal Investigators or as members of research teams that apply for funding from the European Research Council under FP7- Ideas.

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, notably through post graduate studies and the training of researchers can be supported. For details and conditions, please contact your regional/national ESF managing authority.

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)

## **NGO / business or research association**

**FP7:** Yes, if the NGO or association is undertaking research

**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.

***Public authority (local, regional national government, regional/local development 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***

(see annex III of Directive 2004/18/EC of 31 March 2004 <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2004:134:0114:0240:EN:PDF>)

**FP7:** Yes. Public bodies that carry out research can be part of FP7 Cooperation projects, in particular in the public-private partnerships set up in certain key sectors as large scale Joint Technology Initiatives (JTIs). Public bodies are also key participants in ERA-NETs.

National research ministries and agencies are in particular invited to participate in 'Regions of Knowledge' and 'Support to the coherent development of research policies' under FP7-Capacities. Indeed, regional



authorities are 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 and innovation policy development.

**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 strengthening of institutional capacity and the efficiency of public services at national, regional and local level can be financed. Also, in the case of economically less well-performing 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.



## STEP 2

### Is my type of research or innovation or commercial activity eligible?

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

FP7: Yes for FP-7-Ideas: The European Research Council (ERC) manages this FP7 strand for fundamental research (individual investigator-driven research) in all scientific and technological fields, including social sciences and humanities. Basic research may also arise in projects funded under FP7-Cooperation.

CIP: No.

SF: No.

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

**FP7:** Yes for 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, nuclear research. Also, research services for SMEs in the 'Research for the Benefit of SMEs' actions under FP7-Capacities. Basic research may also arise in projects funded under FP7-Cooperation.

CIP: No.

**SF:** Yes, 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).

### ***Preparatory activities for large scale research infrastructure projects***

**FP7:** Yes under the FP7-Capacities "Research Infrastructures" action, that can support preparatory activities for transnational access to major research infrastructures.

**CIP:** No.

**SF:** Yes. Various types of preparatory activity, including feasibility studies for infrastructures can be supported. In addition, the instrument JASPERS (Joint Assistance in Supporting Projects in European Regions) may be used to assist the authorities of the less developed "Convergence regions to prepare major projects for submission to the Commission.

#### See also:

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 Potential' under FP7-Capacities but only to a limited extent and in the less developed Convergence regions.

**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.

## ***Large scale industry – research collaborations***

**FP7:** Yes under FP7-Cooperation: Joint Technology Initiatives (JTI) bring together EU-funded projects and major industrial stakeholders. JTIs are in the process of being set up in the following fields: ICT (Embedded Systems, Nano-electronics), Fuel Cells and Hydrogen, aeronautics & aerospace and innovative medicines. For details see [http://cordis.europa.eu/fp7/jtis/home\\_en.html](http://cordis.europa.eu/fp7/jtis/home_en.html)

**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 have to be submitted to the European Commission for approval.

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

**FP7:** Yes under FP7-People, that provides for the Marie Curie Industry-Academia partnerships and pathways and for fellowship schemes.

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

**CIP:** No.

**SF:** Yes, under the European Social Fund company placements can be funded, depending on strategy and priorities of the Structural Funds programme for your Member State or region.

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

**FP7:** Limited. These activities can be part of a research-focused project under FP7-Cooperation.

**CIP:** Yes. Networking, pilot and market replication projects can address these issues. The High Growth and Innovative SME Facility under CIP also cover technology transfer activities.

**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.

Please also note the direct support offered by the CIP 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:

- assistance offered by the IPR Helpdesk in all IPR-related issues  
[www.ipr-helpdesk.org](http://www.ipr-helpdesk.org)
- ProTon Europe the pan-European network of Knowledge Transfer Offices (KTOs) and companies affiliated to universities and other Public Research Organisations (PROs)  
<http://www.protoneurope.org/>

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

**FP7:** No.

**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, cluster managers, technology-transfer and research organisations, financial sector, and enterprise associations) to share experience and develop new policy approaches and tools for non-technological innovation.

**SF:** Yes. Advanced support services for firms and groups of firms can be funded by the European Regional Development Fund. 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.

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

**FP7:** No.

**CIP:** Yes. Under the financial instruments, venture capital and guarantees for such activities can be provided. They could also be funded in the framework of pilot and market replication projects.

**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 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.

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

**FP7:** Yes under FP7-Capacities, which funds networking among research policy-makers and programme managers at national and regional level in the framework of the 'Regions of Knowledge' and 'Coherent development of research policies' actions. Also, service contracts for analytical support the Commission's activities are possible.

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



**SF:** Yes, provided this is foreseen in the regional or national programme. 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. Service contracts for analytical support for the Commission's (DG Regional Policy and DG Employment) activities 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.

***Networking activities / programme coordination among policy-makers, coordination among research 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 associating closely 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); "Coherent policy development" (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/eranet\\_en.html](http://cordis.europa.eu/fp7/coordination/eranet_en.html)).

Also, "Art.169-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/art169\\_en.html](http://cordis.europa.eu/fp7/art169_en.html)). This includes EUROSTARS, a joint research programme for SMEs and their partners. 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, cluster managers, technology-transfer and research organisations, financial sector, and enterprise associations) to share experience and develop new policy approaches and tools can be funded in all CIP specific programmes.

**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 support available will depend on the strategy and priorities set out in each regional/national Structural Funds 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. Cross-border cooperation covers cooperation in neighbouring small-scale land or maritime border regions (e.g. Germany-Poland or France-UK); transnational cooperation covers cooperation in neighbouring large scale areas (e.g. Baltic Sea area, Alpine Space area, South West Europe); finally interregional cooperation, networking and exchange of experience covers cooperation throughout the European Community. There are two programmes specifically covering interregional cooperation, networking and exchange of experience: "INTERREG IV C" (concrete interregional cooperation

projects) and "URBACT" (networking and exchange of experience linked to integrated urban development).

*Please note in particular the "fast track" option for selected INTERREG IV C and URBACT networks, which was announced by the "Regions for Economic Change" initiative. It aims to support and promote these networks actively through the Commission services. See on cooperation in general:*

[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)

*and more specifically on the "Regions for Economic Change" initiative:*

[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:** No, except as part of Cooperation research projects.

**CIP:** No.

**SF:** Yes, mainly under the European Social Fund, 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.

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

**FP7:** Yes in the sectors/fields concerned.

**CIP:** 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/cip/eip\\_en.htm](http://ec.europa.eu/cip/eip_en.htm)). Please also note that a specific budget has been earmarked for eco-innovation activities under the Community 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.

***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, environmental sustainability and energy efficiency and 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)).

**CIP:** Yes, under the ICT 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, environment, energy efficiency and security), as well as networking projects of stakeholders can be supported.

See

[http://ec.europa.eu/information\\_society/activities/ict\\_psp/index\\_en.htm](http://ec.europa.eu/information_society/activities/ict_psp/index_en.htm)

**SF:** Yes. Information and communication technologies (access, security, interoperability, 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 strategy and priorities of the SF programme for your Member State or region.

**Important:**

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

- European Institute of Technology (EIT) excellence-driven innovation partnerships to translate R&D results into business opportunities (under construction)
- ([http://ec.europa.eu/education/policies/educ/eit/index\\_en.html](http://ec.europa.eu/education/policies/educ/eit/index_en.html))
- European Fisheries Fund (EFF)
- ([http://ec.europa.eu/fisheries/cfp/structural\\_measures/arrangements\\_2007\\_2013\\_en.htm](http://ec.europa.eu/fisheries/cfp/structural_measures/arrangements_2007_2013_en.htm))
- European Agricultural Fund for Rural Development (EAFRD) ([http://ec.europa.eu/agriculture/rurdev/index\\_en.htm](http://ec.europa.eu/agriculture/rurdev/index_en.htm))
- LIFE+ programme for environmental and nature conservation (<http://ec.europa.eu/environment/life/index.htm>)
- European Environmental Compliance Programme for SMEs ([http://ec.europa.eu/environment/sme/programme/programme\\_en.htm](http://ec.europa.eu/environment/sme/programme/programme_en.htm))
- 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))
- 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))
- eContentplus programme to make digital content in Europe more accessible, usable and exploitable (only until 2008): [http://ec.europa.eu/information\\_society/activities/econtentplus/index\\_en.htm](http://ec.europa.eu/information_society/activities/econtentplus/index_en.htm)

**See also:**

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.eureka.be](http://www.eureka.be))

## STEP 3

### What about my timeframe?

#### *Can I apply now?*

**FP7:** Maybe: There are only certain time-windows for the submission of project proposals under specific "call for proposals". In many cases such calls are only published every 1 to 2 years and then not necessarily for all the possible themes.

(See: <http://cordis.europa.eu/fp7/dc/index.cfm> for the list of calls open at this time).

**CIP:** Maybe: There are only certain time-windows for the submission of projects as defined for each specific "call for proposals"

(See: <http://ec.europa.eu/cip/cipgrants.htm>).

In many cases such calls are only published every 1 to 2 years and then not necessarily for all the possible themes.

**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).

#### *Will I get an immediate 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 6 to 9 month time span must be foreseen and the first payments will only be made thereafter.

Yes for the award of service contracts and fellowships under FP7-People.

**CIP:** Rather 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 at national or regional level. SMEs in search of finance should contact a financial intermediary for information on eligibility criteria and application procedures.

**SF:** Yes, depending on the national or regional SF programme. Please contact the Managing Authority for your region for details.

### ***Can my project last as long as I wish?***

**FP7:** No. Normally, the call for proposals indicates that expected project length. 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:** No. Normally, the call for proposals indicates that expected project length. 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.

**SF:** No. 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 contact the relevant Managing Authority for more information (see Annex 4).



## STEP 4

### What type of financial support do I need?

#### ***Grant (non-repayable state aid, normally complemented by co-funding from other sources)***

**FP7:** Yes the main instrument of support under the Framework Programme is grants. See for currently open calls <http://cordis.europa.eu/fp7/dc/index.cfm> for proposals: <http://cordis.europa.eu/fp7/dc/index.cfm>. Loans available through the Risk Sharing Finance Facility (see below) are an exception.

**CIP:** Yes through calls for proposals. See for currently open calls for proposals: <http://ec.europa.eu/cip/cipgrants.htm> and for future calls the annual work programmes of the relevant specific programme of CIP:

- Entrepreneurship and innovation, including eco-innovation: [http://ec.europa.eu/cip/eip\\_en.htm](http://ec.europa.eu/cip/eip_en.htm)
- Information and Communication Technologies: [http://ec.europa.eu/information\\_society/activities/ict\\_psp/about/themes/index\\_en.htm](http://ec.europa.eu/information_society/activities/ict_psp/about/themes/index_en.htm)
- Intelligent Energy:
- [http://ec.europa.eu/energy/intelligent/library/official\\_documents\\_en.htm](http://ec.europa.eu/energy/intelligent/library/official_documents_en.htm)).

**SF:** Yes. The procedures for the allocation of SF funds to projects differ depending on the relevant national or regional SF 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 envisaged. Project selection criteria are agreed by each programme's Monitoring Committee and are published (e.g. on Managing Authority websites).

*Please note the limits for state aid may vary according to company size, sector, and type of activity or geographic location. 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 has to 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)

## **Loans / guarantees / venture capital**

**FP7:** 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. See <http://www.eib.org/products/loans/special/rsff/index.htm>

**CIP:** Yes. Community Financial Instruments for SMEs, which are managed by the European Investment Fund (EIF) on behalf of the European Commission, include a High Growth and Innovative SME Facility, which provides risk capital for SMEs, and a SME Guarantee Facility, which provides loan guarantees to encourage banks to make more debt finance available to SMEs.

**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.

## **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).

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

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

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 advised 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:

[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)



## STEP 5

### Who else is involved in the project?

#### *Nobody*

**FP7:** Yes for FP7-Ideas (fundamental research) and fellowships (FP7–People) or parts of the FP7-Capacities (Research Potential). Also service/expert contracts could be relevant.

**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.

**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 each Member State or region for details.

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

**FP7:** No, except for FP7-Ideas and the emergence of research driven clusters in 'Regions of Knowledge' under **FP7-Capacities**

**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 call for proposals so allow.

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

## ***Partners in other EU Member States or from the European Economic Area (EEA)***

**FP7:** Yes. Transnational partnerships from at least 3 different EU/EEA Member States are the norm for FP7, except for FP7-Ideas and FP7-People. In the case of the development of existing research driven clusters under 'Regions of Knowledge', participants from 2 Member States are required.

**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.

For the first two objectives programmes, cover only a region or regions in one single Member State. You can cooperate with partners outside the area covered by the national or regional SF programme under which you apply for funding. However, only you will receive project financing from that Structural Fund programme, whereas your partners outside the programme area (in adjacent EU regions) will in general not receive co-financing from that SF programme, but could under the programme covering their area. It should be noted however that few programmes under the "Convergence" and "Regional competitiveness and Employment" objectives opted to specifically earmark part of the budget for actions for 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 other Member States is available through EU territorial co-operation programmes of the ERDF (European Regional Development Fund – see Annex 3)

in which public actors cooperate either on 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 programmes for cooperation networks and exchange of experience (INTERACT II and URBACT on integrated urban development issues). (See Regulation (EC) No 1080/2006 of 5 July 2006 on the European Regional Development Fund).

Concerning cross-border cooperation programmes, the 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.

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. In certain cases the contribution from ESF may be increased by 10% at the priority axis level (See Regulation (EC) 1083/2006 of 5 July 2006 on the European Social Fund).

Partners from the EEA but non EU Member States are not eligible for funding from the SF, but can participate in networks or cooperation projects on own expenses.

## **Partners from non-EU Member States**

**FP7:** 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. International actions are also possible under FP7-People. The 'INCO' activities under FP7-Capacities are specifically designed for international cooperation. See for details:  
[http://cordis.europa.eu/fp7/public\\_en.html](http://cordis.europa.eu/fp7/public_en.html)

**CIP:** Yes for certain countries  
(See: <http://ec.europa.eu/cip/thirdcountries.htm>).

**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.

**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.*



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)

PRO INNO Who is Who:

<http://www.proinno-europe.eu/index.cfm?fuseaction=page.display&topicID=91&parentID=0>

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)

**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)

See also IPR Helpdesk: [www.ipr-helpdesk.org](http://www.ipr-helpdesk.org)



## STEP 6

### Can I apply for funding in my location?

#### ***EU Member States***

**FP7:** Yes. Organisations from all EU regions can apply for FP7 funding.

The only exception for FP7 is the FP7-Capacities "Research Potential" action, which is only open to participants in the "Convergence regions" (see below for definition and list) and the Outermost Regions

List at

[http://europa.eu/scadplus/glossary/outermost\\_regions\\_en.htm](http://europa.eu/scadplus/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. support for major research infrastructures should normally be limited to 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 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).

In case you are in a region that is rural or depends on fisheries, you could also contact the Managing Authorities for the Funds specifically targeted at such regions as follows:

European Fisheries Fund

[http://ec.europa.eu/fisheries/cfp/structural\\_measures/addresses\\_en.pdf](http://ec.europa.eu/fisheries/cfp/structural_measures/addresses_en.pdf)

European Agricultural Fund for Rural Development

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

### ***Non-EU countries (EEA, candidate countries, ACP, etc.)***

**FP7:** Yes, applications are possible 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. International actions are also possible under FP7-People. The 'INCO' activities under FP7-Capacities are specifically designed for international cooperation. See for details: [http://cordis.europa.eu/fp7/public\\_en.html](http://cordis.europa.eu/fp7/public_en.html)

In addition, a number of non-EU countries are associated and thus fully participating in FP7 under the same conditions as EU countries. Therefore legal entities established in Switzerland, Israel, Norway,

Iceland, Liechtenstein, Turkey, Croatia, the Former Yugoslav Republic of Macedonia, Serbia, Albania or Montenegro are able to receive Community contributions for FP7 contracts/grant agreements (see: [http://cordis.europa.eu/fp7/who\\_en.html#countries](http://cordis.europa.eu/fp7/who_en.html#countries))

**CIP:** No for financial instruments. They are only open for EU/EEA countries. Possible for projects and networks in certain countries.  
(<http://ec.europa.eu/cip/thirdcountries.htm>).

**SF:** No. You cannot apply directly for SF funding 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.

**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.*

*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 there, 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/or all potential candidate countries (Albania and the rest of former Yugoslavia) 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 Directorate-General Regional Policy, programmes under the human resources development component are under the responsibility of Directorate-General Employment, Social Affairs and Equal Opportunities, whereas programmes under the cross-border cooperation component between the IPA beneficiary countries are under the responsibility of Directorate-General Enlargement.*

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/financial\\_assistance/ipa/index\\_en.htm](http://ec.europa.eu/enlargement/financial_assistance/ipa/index_en.htm)

Use the scorecard:

**SCORECARD**

Programme <sup>1</sup>	Strand / sub-programme	Step						Score / comment
		1	2	3	4	5	6	
FP7	Cooperation: trans-national research partnerships, ETP, JTI, Art 169, ERA-NET							
	Ideas: fundamental research (ERC)							
	People: fellowships (Marie Curie)							
	Capacities: Research infrastructures							
	Research potential							
	Regions of knowledge							
	Coherent development of research policies							
	SME							
	INCO: international cooperation							
	Euroatom: atomic energy research and training							
CIP	Financial instruments							
	Innovation: networking, analysis, pilot and market replication projects							
	ICT and Information society: networking, analysis, pilot and market replication projects							
Structural Funds	Renewable energy: networking, analysis, pilot and market replication projects							
	Regional programmes							
	National programmes							
	Cooperation programmes: Cross-border cooperation							
	Transnational cooperation							
INTERREG IV C – interregional cooperation								
INTERACT II – cooperation networks and exchange of experience								
URBACT II – cooperation networks and exchange of experience on urban issues								

<sup>1</sup> See Annex I (Practical guide) for detailed descriptions of the CIP and FP7 programmes

