**Horizon 2020 Work-Programme 2018-2020**

Preparatory phase of a  
European

Innovation

Council[[1]](#footnote-2) (EIC)

DRAFT

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**About this document**

This is the first draft of the work-programme part for the three-year preparatory phase of a European Innovation Council (EIC) under Horizon 2020, the EU's Framework Programme for Research and Innovation.

**To apply to an EIC call, please go to the ['EIC Web Page']. This contains all the information you need as well as details of your National Contact Point, who can give you support in your own language:**

<http://ec.europa.eu/eic-participants-portal>

If you are thinking of applying or would like to find out more about the EIC, its funding and support schemes and details of funded projects, please go to <http://ec.europa.eu/eic>

**Summary**

The preparatory phase of a European Innovation Council (EIC) supports innovators developing breakthrough innovations with the potential to create new markets and boost jobs, growth and prosperity in Europe.

**SME Instrument** *Close-to-market and scale-up projects of a single SME or a consortium of SMEs* established in EU Member States or Horizon 2020 associated countries.

**Fast Track to** *Close-to-market projects of consortia* with three to five

**Innovation (FTI)** entities from at least three different EU Member States or Horizon 2020 associated countries. Industry must participate. Interdisciplinary approaches encouraged.

**FET Open** *Early-stage, science and technology research by consortia exploring novel ideas for radically new future technologies that challenge current paradigms and venture into the unknown*. Open to research into any area of technology. Aims to attract new, high-potential research and innovation players.

**Prizes** *Prizes boost breakthrough innovation* by fostering solutions to challenges which bring major benefits to society *and can recognise achievements* in the innovation ecosystem.

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| **Main Calls** | **SME Instrument** | | **FTI** | **FET Open** |
| **Call Identifier** | H2020-EIC-SMEInst- 2018-2020 | | H2020-EIC-FTI- 2018-2020 | H2020-EIC-FETOpen- 2018-2020 |
| **Cut-off dates**  *You can submit your proposal at any time.*  *There are no set topics.* | —Phase 1—  *2018*  14/02, 02/05, 5/09, 07/11.  *2019*  13/02, 08/05, 04/09, 06/11.  *2020*  12/02, 06/05, 02/09, 04/11. | —Phase 2—  *2018*  10/01, 14/03, 23/05, 10/10.  *2019*  09/01, 03/04, 05/06, 9/10.  *2020*  08/01, 18/03, 20/05, 07/10. | *2018*  21/02, 01/06, 23/10  *2019*  21/02, 23/05, 22/10  *2020*  19/02, 08/06, 26/10 | FETOPEN-01-2018-2019-2020: 'Challenging Current Thinking'  *2018* xx/05  *2019* xx/01, xx/09  *2020* xx/05 |
| **Budget (€ millions)** *Each year's is equally divided between cut-offs* | —Phase 1—  *2018* 48.62  *2019* 53.66  *2020* 57.77 | —Phase 2—  *2018* 423.00  *2019* 466.83  *2020* 502.63 | *2018* 100  *2019* 100  *2020* 100 | *2018* 184.5  *2019* 161.5  *2020* 361.5 |
| **Time to grant**  *Max. after cut-off date* | Phase 1: 3 months  Phase 2: 6 months | | 6 months | 8 months |

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Introduction

The last decade has seen the emergence of major new markets based on ICT, biotechnology, consumer internet applications, and more recently the collaborative economy. Today's successful, high-growth innovative enterprises often rely on new business models and technologies emerging at the intersection between sectors and disciplines.

But despite early technology leads, the EU has supported the creation of few companies that shape and capture these new markets. While Europe compares relatively well internationally in terms of numbers of start-ups, too few of these succeed in scaling up and generating the new, high-skilled jobs on which Europe's future depends.

***The EU needs to help improve the conditions enabling the emergence and rapid scale-up of highly innovative enterprises.***

This new part of the Horizon 2020 work-programme aims to do just that. It contains a package of actions making up the preparatory phase of a European Innovation Council (EIC). These actions provide support with no thematic restrictions to innovative firms and entrepreneurs with the potential to scale up rapidly at European and global levels. The objective is to strengthen the pipeline of breakthrough innovations and boost the number of high-growth companies.

***The preparatory phase brings together several innovation support schemes: the SME Instrument, the Fast Track to Innovation, FET Open, and Prizes. Each addresses the needs of a particular community in the innovation ecosystem.***

The **SME Instrument** addresses SMEs with a radically new idea underpinned by a business plan for rolling out marketable innovation solutions and with ambitions to scale-up. **FTI** targets industry-driven consortia seeking a quick market uptake of new solutions, and brings together actors with complementary backgrounds, knowledge and skills. **FET Open** uses interdisciplinary collaboration to tap into Europe's excellent science base for exploring radically new technologies, which may become the game-changers of the future. **Prizes** boost breakthrough innovation by fostering solutions to challenges which bring major benefits to society, or recognise achievements either in support of innovation in specific parts of the innovation ecosystem or in view of creating role-models.

***These schemes have been adapted to support market-creating innovation more effectively.***

Market-creating innovations are radically new, breakthrough products, services, processes or business models that open up new markets with the potential for rapid growth at European (and global) levels. Market-creating innovations take shape at the intersection between different technologies, industry sectors and scientific disciplines. The removal of pre-defined topics in the SME Instrument (now fully bottom-up) and the absence of such topics in FTI and FET-Open is designed to foster this process.

Independent, expert evaluations of project proposals ensure that the quality of proposals and the teams behind them are rigorously assessed, with interviews now included in a second step of the SME Instrument evaluation process.

Steps are underway to help firms receiving grants access other forms and sources of finance appropriate to their scale-up and innovation development needs, such as crowdfunding, business angel investments, venture capital and loans via [InnovFin](http://www.eib.org/products/blending/innovfin/products/index.htm).

Systematic monitoring of each project's potential impact in the market will be upgraded. The EIC will use the Innovation Radar, a new data-driven tool for Horizon 2020 that keeps track of the market potential of innovations developed in EU projects and the market readiness of EU-funded innovators. The Innovation Radar will be used to also support innovators as they pursue market opportunities and actively guide them to essential partners who can help them fulfil their market potential.

Applicants may wish to look at other European support networks (such as the [Enterprise Europe Network](http://een.ec.europa.eu/)) as well as facilities funded by Horizon 2020 for [testing and demonstrating physical technologies](http://ec.europa.eu/research/industrial_technologies/help-and-advice_en.cfm).

The actions in this preparatory phase will connect with activities undertaken by the Eurostars-2 Programme, the European Institute of Innovation & Technology (EIT), Startup Europe, InvestHorizon and, through the Seal of Excellence scheme, European Structural & Investment Funds.

With the exception of the SME Instrument phase 1, grant beneficiaries must share research data by default, as stipulated in Article 29.3 of the Horizon 2020 Model Grant Agreement (including the creation of a Data Management Plan). Participants may opt out of these arrangements, both before and after the signature of the grant agreement. For more information, see General Annex L of the work-programme.

SME Instrument

Call EIC - SME Instrument  
H2020-EIC-SMEInst-2018-2020

**Who should apply to the SME Instrument?**

***Are you an innovative, high-flying small or medium-sized business with European and global ambitions?***

Have you got an idea for an innovation that targets new markets and could boost the growth of your company?

Are you looking for substantial funding to develop and scale up your idea?

And could you make use of business development resources and coaching to take your company forward? Then the SME Instrument is for you.

The SME Instrument supports high-risk, high-potential small and medium-sized enterprises to develop and bring to market new products, services and business models that could drive economic growth.

The SME Instrument is for innovators with ground-breaking concepts that could shape new markets or disrupt existing ones in Europe and worldwide.

***Competition for SME Instrument support is tough.***

The SME Instrument is very selective.

Only the most convincing and excellent proposals can be funded after a thorough evaluation by multinational panels of technology, business and finance experts.

Selected companies receive funding and are offered business coaching to scale up their innovation idea and can also receive mentoring services. They are helped in networking with other SME Instrument clients, with other companies of all sizes, and with potential co-investors and follow-up investors across Europe. As an SME Instrument client, you will gain visibility and boost your chances of success in European and international markets.

***Europe needs more radical, market-creating innovations to improve productivity and international competitiveness and generate new jobs and higher standards of living.***

These innovations must meet user and customer needs and tackle societal, technological and business challenges in a sustainable way.

***Have you got what it takes? Then apply now!***

**Principles and funding of the SME Instrument**

***Who can apply?***

For-profit SMEs, including young companies and start-ups, from any sector. You must be established in an EU Member State or a [Horizon 2020 associated country](http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/3cpart/h2020-hi-list-ac_en.pdf).

***What topics are covered?***

There are no set topics. Negative impacts on climate and the environment should be minimised.

***How does it work?***

The SME Instrument provides full-cycle business innovation support. It has three phases, including a coaching and mentoring service.

***🡺 Feasibility study: Phase 1***

**Phase 1** helps you explore the scientific or technical feasibility and commercial potential of a ground-breaking, innovative idea and develop it into a credible business plan for scaling it up.

Activities can include, for example, risk assessment, market research, user involvement, analysis of regulatory constraints or standards regimes, intellectual property management, partner search, or feasibility assessment.

Your goal in Phase 1 is to formulate a solid, high-potential innovation project with a European or global growth-oriented strategy

Your proposal must be based on an initial business plan and outline the specifications of a more elaborate one, which will be the outcome of the project.

***Phase 1 funding is a lump sum of €50 000. Projects should last around 6 months.***

***🡺 From concept to market: Phase 2***

**Phase 2** helps you develop your business concept further into a market-ready product, service or process aligned with your company's growth strategy. Activities could, for example, include trials, prototyping, validation, demonstration and testing in real-world conditions, and market replication. If the activity concerns a primarily technological innovation, a Technology Readiness Level (TRL) of 6 or above is envisaged [link to part G of the General Annexes]. You can subcontract work essential for your innovation project.

***You can apply to Phase 1 as a means of preparing for Phase 2, or you can apply directly to Phase 2.***

Your proposal must be based on a strategic business plan that was either developed in Phase 1 or by another means. Your proposal must specify the expected outcome of the project and criteria for success as well as the expected impacts on your company in both qualitative and quantitative terms (e.g. on turnover, employment, market size, IP management, sales, return on investment, profitability).

You must pay particular attention to IP protection and ownership, and present convincing evidence or measures to ensure the possibility of commercial exploitation (often known as 'freedom to operate'). You should also address regulatory and standardisation issues.

Grant funding is provided (funding rate 70%) of between €0.5 million and €2.5 million. You can request a higher or lower amount, duly justified, when applying. Your project should normally take 12 to 24 months to complete, but could be longer in exceptional and well-justified cases.

**🡺 *Commercialisation: Phase 3***

**Phase 3** helps you take advantage of additional EU support extended via the [EIC Community Platform](#Community). This support can take the form of training ('EIC Academy'), links to investors, partnering and networking with other EIC SME clients and larger firms and services to help you access international markets, e.g. via participation to overseas trade fairs. Phase 3 is not necessarily subsequent to Phase 1 or Phase 2; it provides specific support to EIC SME clients, mainly to help them access new markets or customers. It does not provide direct funding. In the 2018-2020 period, Phase 3 is open to SMEs receiving grants under the FTI and FET-Open schemes, in addition to SMEs receiving grants from the SME instrument call budget.

All Phase 3 support services are accessible through a single, dedicated entry point *[link]*, which serves as an information portal and a networking space. *[See* [*'EIC Support Actions'*](#Support)*]*

***Coaching***

If you are an SME benefiting from grant funding from the SME Instrument, FTI or FET-Open, we offer business coaching to help your business scale up and grow.

***Coaching covers business development, organisational development, cooperation, and financing.***

For SME Instrument clients, up to 3 coaching-days are available in Phase 1, and up to 12 coaching-days in Phase 2.

SMEs taking part in FTI or FET-Open are offered up to 12 coaching-days.

The free-of-charge [coaching service](https://ec.europa.eu/easme/en/coaching-under-sme-instrument) is facilitated by the [Enterprise Europe Network](http://een.ec.europa.eu/about/branches) (EEN). Coaching is delivered by one or more qualified, experienced business coaches recruited from a central database managed by the European Commission. All coaches meet stringent criteria regarding business experience and coaching skills.

Throughout your project, the EEN will complement the coaching support. EEN offers a service package covering an assessment of your firm's innovation management capacities and the identification of a suitable coach or consulting package to address the gaps, EEN also provides access to its innovation and internationalisation services.

***Mentoring***

If you are an SME benefiting from grant funding from the SME Instrument, FTI or FET-Open, we will offer mentoring to individual founders, CEOs and leaders.

***Mentoring aims to develop leadership skills such as resilience, tenacity and strategic insight.***

The mentoring scheme will involve one-to-one meetings with an experienced entrepreneur who will share their expertise and provide impartial guidance and support.

Mentors will be CEOs of firms that have moved beyond the start-up stage. To begin with, mentors will be drawn from a pool of SME Instrument Phase 2 current and former clients willing to act as mentors on a *pro bono* basis.

Mentors and mentees will be matched up via the [EIC Community Platform](#Community) and during [EIC Events](#Innovator_Summits) and other suitable events.

We will introduce the mentoring scheme during 2018, and announce more details nearer the launch-date.

**Call conditions for the SME Instrument**

**Type of funding: SME instrument Phase 1 / Phase 2**

***Opening date and deadlines of the SME Instrument call***

|  |  |
| --- | --- |
| **Opening date:** envisaged WP adoption is [30 October 2017] | **Deadline of cut-off** ***All deadlines are at 17.00 Brussels local time*** |
| *phase* 1 | **14 February 2018**  **02 May 2018**  **05 September 2018**  **07 November 2018**  **-------------------------**  **13 February 2019**  **08 May 2019**  **04 September 2019**  **06 November 2019**  **-------------------------**  **12 February 2020**  **06 May 2020**  **02 September 2020**  **04 November 2020** |
| *phase* 2 | **10 January 2018**  **14 March 2018**  **23 May 2018**  **10 October 2018**  **-------------------------**  **09 January 2019**  **03 April 2019**  **05 June 2019**  **09 October 2019**  **-------------------------**  **08 January 2020**  **18 March 2020**  **20 May 2020**  **07 October 2020** |
| **The Director-General responsible for the SME Instrument call may decide to open the call up to one month before the planned opening date, and/or may delay the deadline of a cut-off by up to two months.** | |

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| ***Budget of the SME Instrument*** | *€ millions* | | |
| **2018** | **2019** | **2020** |
| **Overall indicative budget** | 486.21 | 536.59 | 577.74 |
| **Phase 1**  *divided equally between cut-off dates in each year* | 10% | 10% | 10% |
| **Phase 2**  *divided equally between cut-off dates in each year* | 87% | 87% | 87% |
| **Phase 3** | 1% | 1% | 1% |
| **Coaching and mentoring** | 1% | 1% | 1% |
| **Evaluation** | 1% | 1% | 1% |

***Who can benefit from SME Instrument funding?***

A proposal will be considered **eligible** if:

* Its content corresponds, wholly or in part, to the description of the SME Instrument call. Proposals should be connected in one way or another to one or several of the 'Societal Challenges' and/or the 'Enabling and Industrial Technologies' targeted under Horizon 2020.
* The single beneficiary, or every beneficiary of a consortium, is a for-profit SME[[2]](#footnote-3) located in an EU Member State or a Horizon 2020 associated country.
* There is no concurrent submission or implementation with another SME Instrument Phase 1 or Phase 2 project. If an applicant is involved in two proposals that were formally submitted but not yet reviewed under phase 1 and/or 2, only the proposal that was submitted first will be considered eligible.

***What are the requirements for an SME Instrument proposal to be admissible?***

A proposal will be considered **admissible** if the following two conditions are both met:

* it was submitted in the electronic submission system before the deadline given in the call conditions or rules of contest;
* it is readable, accessible and printable.

Incomplete proposals may be considered inadmissible. Completeness checks cover the administrative data requested, the proposal description, and the proposal description, which needs to include a mandatory first commercialisation plan for any phase 2 proposal.

***How long can an SME Instrument proposal be?***

In **Phase 1**, the maximum length of a proposal (proposal description, sections 1 to 3) is **10 pages**, excluding annexes.

In **Phase 2**, the maximum length of a proposal (proposal description, sections 1 to 3) is **30 pages**, excluding annexes.

The limits and the formatting applicable are shown in the ‘proposal templates’ in the Participant Portal electronic submission system.

***Evaluation rules for the SME Instrument***

**Selection criteria**

* ***Financial capacity:***Applicants for mono-beneficiary grants (single SME applicants) are not subject to an automatic financial viability check. Coordinators of consortia of several SMEs will be invited, at proposal stage, to complete a self-assessment using an online tool.
* ***Operational capacity***: During the evaluation of the award criterion ‘Quality and efficiency of implementation’, experts will judge whether the participant or participants have sufficient operational capacity to carry out the proposed work, based on the competence and experience of each participant.

The operational capacity of an applicant is determined on the basis of the following supporting documents required when submitting a proposal:

* A CV or description of the profile of the persons who will be primarily responsible for carrying out the proposed activities.
* A description of relevant products, services (including widely used datasets or software), or other achievements.
* A list of up to five relevant previous projects or activities connected to the subject of the proposal.
* A description of any significant infrastructure and/or any major items of technical equipment relevant to the proposed work.
* A description of any third parties that are not represented as project partners but who will nonetheless be contributing towards the work, for example by providing facilities or computing resources.

**Award criteria**

* Proposals are evaluated by experts on the basis of **three** **award criteria:** 'impact', 'excellence', and 'quality and efficiency of implementation'.
* The aspects examined under each criterion are described in the table below.

|  |
| --- |
| ***Impact*** |
| ***50% WEIGHTING*** |
| Convincing specification of **substantial demand** (including willingness to pay) for the innovation.  Total **market size** envisaged. |
| Convincing description of **targeted users or customers** of the innovation, how their needs have been addressed, why the users or customers identified will want to use or buy the product, application or service, including compared to what is currently available. |
| *Phase 1 (only)*: Good understanding of need for a realistic and relevant analysis of **market conditions**, total potential market size and growth-rate, competitors and competitive offerings, key stakeholders, clear identification of opportunities for market introduction (or a plan for obtaining this information).  *Phase 2 (only):* Realistic and relevant analysis of **market conditions** **and growth-rate,** competitors and competitive offerings, key stakeholders, clear identification of opportunities for market introduction (such as potential new value-chains, or new markets). |
| Realistic and relevant description of how the innovation has the **potential to scale-up the applicant company or companies.** This should be underpinned by a convincing business plan with a clear timeline, and complemented, where possible, by a track-record that includes financial data. |
| **Alignment of proposal with overall strategy of applicant SME or SMEs** and commitment of the **team** behind them. Demonstration of need for commercial and management experience, including understanding of the financial and organisational requirements for commercial exploitation and scaling up (and - *Phase 2 only (if applicable):*) as well as key third parties needed. |
| *Phase1 (only)*: Outline of **initial commercialisation plan** and how this will be developed further (in-house development, licensing strategy, etc.).  *Phase 2 (only)*: Realistic and relevant **strategic plan for commercialisation**, including approximate time-to-market or deployment. Activities to be undertaken after the project.  ***The 'commercial strategy' aspect is particularly examined in Step 2 of the evaluation of Phase 2 proposals.*** |
| **European/international dimension** of innovation with respect to both commercialisation and assessment of competitors and competitive offerings. |
| *Phase 1 (only)*: Realistic and relevant description of **knowledge protection** status and strategy**,** need of **'freedom to operate'** (i.e., possibility of commercial exploitation), and current IPR situation or a plan for obtaining this information. Where relevant, description of potential regulatory requirements.  *Phase 2 (only):* Evidence of or realistic measures to ensure **'freedom to operate'** (i.e., possibility of commercial exploitation), convincing **knowledge-protection strategy**, including current IPR filing status, IPR ownership and licensing issues. **Regulatory and/or standards requirements** well addressed. |
| Taken as whole, to what extent are the above elements **coherent and plausible.** |
| ***Excellence*** |
| ***25% WEIGHTING*** |
| **High-risk/high-potential innovation** **idea that has something that nobody else does.** It is potentially much better than any alternatives and/or could create new markets or new value-chains.  **Its high degree of novelty comes with a high chance of either success or failure.** |
| Realistic description of **current** **stage of development** (*Phase 2 only:* TRL 6, or something analogous for non-technological innovations), and clear outline of **steps planned to take this innovation to market**. |
| **Solution goes beyond the state of the art** in comparison with existing or competing solutions, including on the basis of costs, ease of use and other relevant features as well as issues related to climate change or the environment, the gender dimension, any other benefits for society, (*Phase 1 only*) or includes plans for obtaining this information. |
| **Very good understanding of both risks and opportunities** related to successful market introduction of the innovation from both technical and commercial points of view (*Phase 1* *only*) or includes convincing plans for obtaining this information.  *Phase 2 only*: Documentation on the **technological, practical and economic feasability of the innovation**.  ***The 'feasibility' aspect is particularly examined in Step 2 of the evaluation of Phase 2 proposals.*** |
| *Phase 1 (only):* **Objectives** **for the feasibility study** and the **approach and activities** to be developed are consistent with the expected impact of the project.  *Phase 2 (only)*: **Objectives** **for the project** as well as the **approach and activities** to be developed are **consistent with the expected impact** (i.e. commercialisation or deployment resulting in company growth). Appropriate definition provided of specifications for outcome of project and criteria for success. |
| Taken as whole, to what extent are the above elements **coherent and plausible.** |
| ***Quality and efficiency of implementation*** |
| ***25% WEIGHTING*** |
| **Technical/business experience of the team,** including management capacity to lead a growing team  *Only Phase 1:* If relevant, the proposal includes a plan to acquire missing competences.  *Only Phase 2*: If relevant, the proposal includes a plan to acquire missing competences, namely through partnerships and/or subcontracting**\***, and explains why and how they are selected (*subcontractors must be selected using 'best value-for-money' principles*).  ***The 'team' aspect is particularly examined in Step 2 of the evaluation of Phase 2 proposals.*** |
| **Availability of resources** **required** (personnel, facilities, networks, etc.) to develop project activities in the most suitable conditions.  Where relevant, complementarity of partners in a consortium.  *Only Phase 2:*  Where relevant, realistic description of how key stakeholders / partners / subcontractors could be involved**\*** (*subcontractors must be selected using 'best value-for-money' principles*).  Where relevant, the estimated budget and the procedure planned for selecting the subcontractors are appropriate**\***.  Where relevant, complementarity of partners in a consortium. |
| **Realistic timeframe and comprehensive description of implementation** (work-packages, major deliverables and milestones, risk management) taking the project's ambitions and objectives into account. |
| **\****Subcontracting is acceptable to the extent required for the implementation of the proposed activities. Subcontracting may be an essential part of the implementation of the project, but should not be a disproportionate part of the total estimated eligible costs. Subcontractors must be selected using 'best value-for-money' principles.* |
| Taken as whole, to what extent are the above elements **coherent and plausible.** |

**Evaluation procedure**

**After each Phase 1 cut-off**

* Proposals are evaluated in one step.
* A proposal is evaluated remotely by a number of evaluators with a mixture of technology, industry sector, business and finance expertise.
* Each evaluator scores each of the three award criteria from 0 to 5. Scores with a resolution of one decimal place may be given.
* The quality threshold of each criterion is 4. The overall quality threshold, applying to the sum of the three individual scores, is 13.
* The final score of a proposal at the level of the three evaluation criteria is the median of the separate scores given by each evaluator. The overall final score is the weighted sum of these separate scores. Proposals that have passed all thresholds are ranked in the order of their final score.
* If necessary, a panel review is organised remotely.

**After each Phase 2 cut-off**

Applications are evaluated in two steps.

*Step 1: remote evaluation*

* A proposal is evaluated remotely by evaluators with a mixture of technology, industry sector, business and finance expertise.
* Each evaluator scores each of the three award criteria from 0 to 5. Scores with a resolution of one decimal place may be given.
* The quality threshold of each criterion is 4. The overall quality threshold, applying to the sum of the three individual scores, is 13.
* The consensus score of a proposal at the level of the three evaluation criteria is the median of the separate scores given by each evaluator. The overall consensus score is the weighted sum of these separate scores.
* Proposals that pass all quality thresholds will be considered for step 2.

*Step 2: face-to-face interview*

* Starting with the highest-scoring proposal and in descending, sequential order, proposals are passed to Step 2 until, as a batch, either the total amount of EU funding requested is a close as possible to twice the budget available or all proposals eligible for funding have been accounted for. The actual threshold to pass to step 2 will therefore depend on the volume of proposals received that pass all quality thresholds.
* Each applicant whose proposal has passed to Step 2 is invited to a face-to-face interview in Brussels.
* Only staff of applicants can represent them. Representation by third parties is forbidden.
* The interview is conducted by evaluators with a mixture of technology, industry sector, business and finance expertise.
* During the interview, the applicant receives questions designed to clarify aspects of the proposal evaluated in Step 1, in particular those indicated above under 'award criteria'.
* In step 2 proposals will receive, in addition to the score in step 1, an 'A' mark or a 'B' mark by the final panel review.
* Only proposals that have passed all quality thresholds and receive an 'A' mark are proposed for funding.

**For both Phase 1 and Phase 2**

* During the electronic proposal submission process, you can provide up to three names of persons that should not act as an evaluator of your proposal, for commercial or other reasons.
* To set a priority order for proposals given the same consensus score in Phase 1, the following method is used:
* Proposals are first prioritised according to scores given for the award criterion 'impact'.
* Where those scores are equal, priority is then determined using scores for the award criterion 'excellence'.
* If necessary, a further prioritisation is based on the degree of gender balance among the personnel named in the proposal as primarily responsible for carrying out the project.

**Communication to applicants after evaluation procedure**

**Phase 1**

For each proposal, applicants receive an **evaluation summary report** with the scores obtained and a qualitative assessment with respect to each of the aspects considered under each of the three award criteria.

**Phase 2**

Each applicant invited to an interview in Step 2 receives an invitation at the end of Step 1.

For each proposal, applicants receive an **evaluation summary report** with the scores obtained and a qualitative assessment with respect to each of the aspects considered under each of the three award criteria (step 1 of the evaluation). For proposals that have passed to step 2, the report will contain an A/B mark and an additional qualitative assessment.

**Consortium agreement**

If two or more SMEs submit a proposal, the members of the consortium must conclude a consortium agreement before the signature of the grant agreement.

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

* Information about the outcome of the evaluation: maximum 2 months after the corresponding cut-off date set out above for Phase 1, and maximum 4 months after the corresponding cut-off date set out above for Phase 2.
* Indicative date for the signing of grant agreements: maximum 3 months from the final date for submission for Phase 1 and maximum 6 months from the final date for submission for Phase 2.

**Fast Track  
to Innovation  
(FTI)**

Call EIC - Fast Track to Innovation  
H2020-EIC-FTI-2018-2020

**Who should apply to FTI, the Fast Track to Innovation?**

***Are you looking for partners that can help you with a fast go-to-market of an industry-driven, innovative concept that has strong potential to make your company grow and scale-up?***

Do you see co-creation and open innovation as ways to advance your innovation cycle and enter the market within three years?

Are you looking for substantial funding to test, demonstrate and validate your innovation with users before full commercial roll-out, potentially via a spin-off company or a joint venture?

***Then FTI is the scheme for you.***

Innovation is fostered when new ideas can emerge and easily translate into socio-economic value, shaping new markets and laying the foundations of a stronger, high-tech industrial base for Europe.

Working together, partners with complementary backgrounds, knowledge and skills, in both new and established value-chains, can turn ideas into world-beating products, processes and services that tackle societal challenges.

***FTI accelerates the market uptake of ground-breaking innovations by providing funding in an open, accessible scheme that nurtures ideas from consortia of innovators of all types and sizes from across Europe.***

Participation by industry — defined as private-for-profit organisations — is mandatory; industry is best-placed to ensure the due commercial exploitation of the innovation developed; in addition, company growth and development in order to strengthen Europe's industrial leadership are explicitly pursued with FTI support.

**Principles and funding of FTI**

FTI supports projects undertaking innovation from the demonstration stage through to market uptake, including activities such as piloting, test-beds, systems validation in real-world working conditions, validation of business models, pre-normative research, and standard-setting.

The maximum EU contribution per project is €3 million (funding rate: 70% for private-for-profit entities; 100% for public, not-for-profit entities). The indicative EU contribution per project is expected to be between €1 million and €2 million.

***FTI targets relatively mature, ground-breaking new technologies, concepts, processes and business models that need final development to be able to shape a new market and achieve wider deployment.***

If your proposal involves technological innovation, your consortium must declare that the technology or the technologies concerned are at least at Technology Readiness Level (TRL) 6. The intention will be to bring the TRL up to 8 for technological innovations and to an analogous level of maturity for non-technological innovations during the lifetime of the FTI action. TRLs are described in part G of the General Annexes to the Horizon 2020 Work-Programme *[link]*.

FTI projects are encouraged to be interdisciplinary, cutting across different sector and technologies. Projects supporting innovative concepts that have the potential to disrupt or to create new markets are particularly welcome.

In your project proposal, you should:

* specify the intended outcome of the project and describe its key performance indicators and success criteria.
* make reference to and incorporate a business plan clearly describing the market potential, business opportunities for project participants, measures to enhance the probability of eventual commercial take-up, and a credible commercialisation strategy that identifies next steps and specifies other actors to be involved.
* pay particular attention to IP protection and ownership and to the possibility of commercial exploitation (often known as 'freedom to operate').
* specify the expected impact in terms of competitiveness and growth of the business partners in the consortium, measured in terms of turnover and job creation.
* clearly describe the expected impact in both qualitative and quantitative terms, with factors such as time sensitivity and international competitiveness considered in the light of the technology field, innovation area and industry sectors concerned.

***The time to initial market take-up should be no more than 3 years from the start of your FTI project.***

In very well-justified cases linked to the specific characteristics of a particular innovation field or industry sector, the time to initial market take-up could be longer.

Possible impacts on sustainability or climate change, in particular, or on other cross-cutting objectives of Horizon 2020, must be highlighted.

Participation from industry in your consortium is mandatory. Universities and research and technology organisations can also participate. Actors with an important role in commercialisation are encouraged to take part, such as cluster organisations, end-users, industry associations, incubators, investors, and the public sector. Including start-ups with ground-breaking ideas that could create new markets is encouraged.

**Call conditions for FTI**

**Type of funding: Innovation Action**

***Opening date and deadlines of FTI call***

|  |  |
| --- | --- |
| **Opening date:** envisaged WP adoption is [30 October 2017] | **Deadline of cut-offs** ***All deadlines are at 17:00 Brussels local time*** |
| FTI | **21 February 2018**  **01 June 2018**  **23 October 2018**  **-------------------------**  **21 February 2019**  **23 May 2019**  **22 October 2019**  **-------------------------**  **19 February 2020**  **08 June 2020**  **26 October 2020** |
| **The Director-General responsible for the FTI call may decide to open the call up to one month before the planned opening date, and/or may delay the deadline of a cut-off by up to two months** | |

|  |  |  |  |
| --- | --- | --- | --- |
| ***Budget of FTI*** | *€ millions* | | |
| **2018** | **2019** | **2020** |
| **Overall indicative budget** | 100.00 | 100.00 | 100.00 |
|  | *divided equally between cut-off dates in each year* | | |

***Who can benefit from FTI funding?***

The **eligibility conditions** described in part C of the General Annexes to the Horizon 2020 Work-Programme [*link*] apply, with the following exceptions:

* Participation of no more than five different legal entities, independent of each other, in a consortium.
* Allocation of at least 60% of the overall budget to consortium partner(s) from industry; *or* a minimum of 2 industry partners out of a consortium of 3 or 4; *or* a minimum of 3 industry partners out of a consortium of 5.
* Requested EU contribution not more than €3 million.
* All consortium members established in EU Member States or in [countries associated to Horizon 2020](http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/3cpart/h2020-hi-list-ac_en.pdf).
* Proposals must relate to any field under the specific Horizon 2020 objective "[Leadership in enabling and industrial technologies](https://ec.europa.eu/programmes/horizon2020/en/h2020-section/leadership-enabling-and-industrial-technologies)" and/or to any of the specific objectives under the priority "[Societal challenges](https://ec.europa.eu/programmes/horizon2020/en/h2020-section/societal-challenges)".

***What are the requirements for an FTI proposal to be admissible?***

The **admissibility conditions** described in part B of the General Annexes to the Horizon 2020 Work-Programme [*link*] apply.

***How long should an FTI proposal be?***

The maximum length of a proposal is **30 pages**, excluding annexes.

***Evaluation rules for the FTI***

**Award criteria, scoring and threshold**

The criteria, scoring and threshold described in part H of the General Annexes of the Horizon 2020 Work-Programme [*link*] apply, with the following exceptions:

* Evaluation scores are awarded for each criterion. Each criterion is scored from 0 to 5. Scores with a resolution of one decimal place may be awarded.
* The threshold for the criteria 'Impact' and 'Excellence' is 4. The threshold for the criterion 'Quality and efficiency of the implementation' is 3. The overall threshold, meaning the sum of the three individual scores, is 13.
* The consensus score of a proposal at the level of the three evaluation criteria is the mean (average) of the separate scores given by each evaluator. The overall consensus score is the weighted sum of these separate scores.
* The consensus report comprises the individual reports or key extracts from them, and will provide a summary of the main weaknesses of your proposal.
* The aspects to be considered for each evaluation criterion are set out in the table below.

|  |
| --- |
| ***Impact*** |
| The objectives of the proposed action are in line with the expected impacts of the FTI, notably **fast development, commercial take-up and/or wide deployment of sustainable innovative solutions, time to initial market take-up, leveraging of private investment in research and/or innovation**. |
| The proposed innovation will lead to **enhanced innovation capacity of the consortium partners, and in particular of the industry partners**. |
| The proposed innovation/solution has a clear European dimension, in the sense that it is set to create **new and substantial demand from European and global markets**, which is well documented and supported with evidence on customer/user/market needs that can be translated into sales. The proposal provides a realistic and convincing analysis of the targeted market(s)°and client/user base and how the innovation will meet their needs. |
| The way the project will strengthen the **growth/ scale-up and competitiveness of the industry partners** involved is well documented. |
| Framework conditions such as **regulation and standards, market size, prospects for growth, competitive edge and intended positioning of the solution towards possible others (competitor analysis)** are documented, and the outlook can be described as positive for market launch within 3 years' of time. |
| The **commercialisation plan is realistic and convincing** – containing a clear description of the new business opportunity and the way to capitalise on it. The plan includes effective measures to **exploit and disseminate the action's results** (including with respect to IPR management). There is a broader strategy for knowledge management and protection with regards to the proposed innovation/solution, ensuring **"freedom to operate"**. Key stakeholders that can help with market introduction are identified, and a convincing strategy to get them on board exists. Communication, marketing and sales efforts are planned in a coordinated way, on the basis of a realistic timetable, and fit into a solid commercial strategy. |
| Based on the provided market analysis and the projected commercialisation strategy, the likely **return on investment** of the proposed solution/innovation (for instance in the form of job creation and/or company growth) is sufficiently attractive to justify EU funding under FTI. |
| The proposed solution/innovation is expected to generate a positive **impact at the European level other than economic** (societal, environmental, scientific…). Wherever appropriate, the minimisation of impacts on climate and the environment is pursued. |
| The proposed **financing plan** for further roll-out of the innovation/solution is realistic and convincing and offers a sufficient guarantee and coverage to allow for further scale-up of the project and companies involved. |
| ***Excellence*** |
| The **objectives** of the proposed action are defined **in a clear and pertinent way**, and are in support of Horizon 2020 objectives, and directed towards fast , wide market uptake. |
| The proposed activities to be executed will contribute to a **credible, realistic and optimal development of the innovation** to the level of market uptake. |
| The underlying, jointly developed business innovation concept of the proposed innovation/solution is sound, and has already been tested in an operational/production environment. It has a potential to **revolutionise an existing industrial sector or market, or create a wholly new market.** |
| The proposed innovation project isambitious; the output of the project will be **something new that can add substantial value to Europe (i.e. considerably contribute to Europe's industrial leadership or the solution of Horizon 2020 societal challenges)**, and this is well identified and elaborated in the proposal.  **Its high degree of novelty comes with a high chance of either success or failure.** |
| The proposed innovation has successfully been tested in an operational or production environment (stage of development at TRL 6 or similar for non-technological innovations) and **can move to market take-up (B2B or B2C) within maximum 36 months.** |
| The proposal demonstrates that the intrinsic quality of the proposed innovation will be higher than the current state-of-the-art solutions, in terms of value for money, problems solved, new applications, sustainability, etc. |
| ***Quality and efficiency of implementation*** |
| The **work plan is coherent and effective**. It takes into account the project's ambition and objectives, includes a realistic and relevant time-frame, and refers to a sound and comprehensive implementation description, in particular in relation to major deliverables and milestones listed. Tasks and resources are allocated in an appropriate and cost-effective way. |
| The proposal demonstrates that the **partners** of the consortium are **complementary**, and **together have what it takes** (personnel, facilities, skills, networks, access to markets…) **to deliver on groundbreaking innovation and fast, wide market uptake**. Implementation risks and threats are well identified; the proposal contains a **risk mitigation plan**, with detailed actions. |
| Both the **organisational framework/governance structure** underpinning the action and the **decision-making processes** are established in a **clear and efficient** way; innovation management is well taken care of. |

**Consortium agreement**

Members of a consortium must conclude a consortium agreement before the signature of the grant agreement.

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

* Information on the outcome of the evaluation: maximum 3 months after the corresponding cut-off date set out above.
* Indicative date for the signing of grant agreements: maximum 6 months from the final date for submission.

**FET-Open  
*Novel ideas for  
radically new technologies***

Call EIC - FET-Open  
FETOPEN-01-2018-2019-2020: FET-Open 'Challenging Current Thinking'  
FETOPEN-02-2018: FET-Open 'Coordination and Support Actions'  
FETOPEN-03-2018-2020: FET Innovation Launchpad

The call 'EIC – FET–Open' is reflected in this WP section for the reasons outlined in the Introduction. Only the text of this call, as included in the Work Programme section on Future and Emerging Technologies (FET), has legal value.

**Principles and characteristics of FET-Open,  
and who should apply**

**FET Open** supports interdisciplinary collaborations to tap into Europe's excellent science base for exploring radically new technologies that may become the game-changers of the future.

**FET Open** combines high scientific ambition with concrete technological implications. It aims to attract interdisciplinary consortia that do not shy away from exploring connections between hitherto remote disciplines, thereby opening up new areas of research and technology development. In spite of the initially high risk, the long-term impact can be very high. If properly nurtured, these new technologies can become the core for future high-growth companies, for new industries, or for radically new approaches to tackle societal problems.

**The FET-Open** **call** is a part of the European Innovation Council (EIC) preparatory phase. FET-Open projects challenge current thinking and are a constant source of game-changing ideas. Even those that are far from today's markets will inspire the entrepreneurial minds that EIC attracts. This allows new opportunities to be detected and picked up early on. FET-Open offers an Innovation Launchpad to propel promising results forward and to concretise their market-creation potential. Other parts of the EIC provide further tools to achieve high-impact on society and/or the economy.

By being part of the EIC preparatory phase, FET-Open participants have access to the assistance, networking and financing possibilities offered by EIC, thus further increasing the leverage and increased impact from the initial high-risk investment in FET projects.

Proposals are invited against the following topics:

**FET-Open 'Open Challenging Current Thinking'**FETOPEN-01-2018-2019-2020

***Specific Challenge***

To lay the foundations for **radically new future technologies** of any kind. New visionary thinking will come from highly interdisciplinary collaborations that dissolve the traditional boundaries between sciences and disciplines, including the social sciences and humanities. This topic also encourages the driving role of new and promising actors in research and innovation, including excellent young researchers, ambitious high-tech SMEs and first-time participants to FET under Horizon 2020 from across Europe.

***Scope***

Proposals are sought for cutting-edge **high-risk / high-impact interdisciplinary research with all of the following essential characteristics** ('FET gatekeepers'):

* **Radical vision**: the project must address a radical and unproven vision, enabled by a new technology concept that challenges current paradigms. In particular, research to advance on the roadmap of a well-established technological paradigm, even if high-risk, will not be funded.
* **Breakthrough technological target**: the project must target an ambitious science-to-technology breakthrough as a first proof of concept for its technological vision. In particular, blue-sky exploratory research without a clear technological objective will not be funded.
* **Novelty**: achieving the breakthrough shall require ambitious interdisciplinary research that opens up new areas of investigation. In particular, projects with only low-risk incremental research, even if interdisciplinary, will not be funded.

The inherently high risks of the research proposed must be mitigated by a flexible methodology to deal with the considerable science-and-technology uncertainties and for choosing alternative directions and options.

The Commission considers that proposals requesting a contribution from the EU of up to €3 million would allow this specific challenge to be addressed appropriately. Nonetheless, this does not preclude submission and selection of proposals requesting other amounts.

***Expected impact***

This call topic expects high impacts on the following:

* Scientific and technological contributions to the foundation of a new future technology.
* Potential for future social or economic innovation or market creation.
* Spreading excellence and building leading research and innovation capacity across Europe by key involvement of promising actors that can make a difference in the future, including excellent young researchers, ambitious high-tech SMEs or first-time participants to FET under Horizon 2020[[3]](#footnote-4).

***Type of action***

Research and Innovation action.

***Indicative Budget***

The budget is split over four cut-off dates:

1. May 2018 (127 M€ ) [[4]](#footnote-5)
2. January 2019 (160 M€)
3. September 2019 (160 M€, of which 158.5 M€ from 2020 budget)
4. May 2020 (203 M€).

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

**FET-Open 'Coordination and Support Actions'**FETOPEN-02-2018

***Specific Challenge***

The challenge is to promote excellent collaborative research and innovation on future and emerging technologies to secure and renew the basis for future European competitiveness and growth, and that will make a difference for society in the decades to come.

***Scope***

Proposals for Coordination and Support Actions (CSA) should be driven by relevant actors in the research field and address only one of the following subtopics:

1. **FET Communication and Outreach** [2018]

Support communication activities on FET achievements and outreach actions targeting a wide range of audiences including the general public, and reaching well beyond the world of research. They shall use a diversity of media channels and interventions (for example news items, interviews, workshops, competitions, code camps and participatory actions). A clear focus on the specific nature of FET is a must.

1. **FET Innovation** [2018]

Stimulate the innovation from FET research, for example by providing a kind of “market place” for FET technologies, by connecting the world of research with that of investors, entrepreneurs and alternative financing channels for improving the innovation readiness levels of FET results. Specificity to the nature of FET is a must.

1. **FET Observatory** [2018][[5]](#footnote-6)

Ongoing horizon scanning to identify new and emerging technologies from portfolio analysis, trends analysis and broader horizon scanning, including also consideration of ethical implications and long-term impacts on society and humankind.

The Commission considers that proposals requesting a contribution from the EU of up to €0.6 million would allow this specific challenge to be addressed appropriately. Nonetheless, this does not preclude submission and selection of proposals requesting other amounts.

***Expected impact***

* Strengthening globally recognised European leadership in the early exploration of visionary, new and emerging technologies and with a strong engagement of scientists, citizens, innovators and policy makers.
* Improved long-term innovation potential in Europe both from the abundance of novel ideas and the range of actors ready to take them forward.
* Improved readiness across Europe to engage in inter-disciplinary research collaboration and to take up new and more open research and innovation practices.

***Type of action***

Coordination and support action

***Indicative budget***

€2 million from the 2018 budget.

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

**FET Innovation Launchpad**FETOPEN-03-2018-2019-2020

***Specific Challenge***

This topic aims at turning results from FET-funded projects into genuine societal or economic innovations.

***Scope***

Short and focused individual or collaborative actions to turn promising results from a FET-funded project into innovations and improving their investment readiness level. The focus is on the early innovation stages from results of an ongoing or recently finished project funded through FET under FP7 or Horizon 2020[[6]](#footnote-7).

The precise link with the relevant FET project, and the specific result for which a FET Innovation Launchpad proposal is intended, are to be explicitly described in the proposal. This topic does not fund research or activities that are/were already foreseen in the original FET project. Activities should fit the level of maturity of the result to be taken up. They can include the definition of a commercialisation process, market and competitiveness analysis, technology assessment, verification of innovation potential, consolidation of intellectual property rights, business case development.

Proposals can include activities with, for instance, partners for technology transfer, licence-takers, investors and other sources of financing, societal organisations or potential end-users. Limited low-risk technology development (for instance for demonstration, testing or minor adjustment to specific requirements) can be supported as long as it has a clear and necessary role in the broader proposed innovation strategy and plan.

The Commission considers that proposals for actions no longer than 18 months and requesting a contribution from the EU of up to €0.1 million would allow this specific challenge to be addressed appropriately.

***Expected impact***

* Increased value creation from FET projects by picking up innovation opportunities.
* Improved societal and market acceptance of concrete high-potential innovations from FET projects.
* Stimulating, supporting and rewarding an open and proactive mind-set towards exploitation beyond the research world.
* Contributing to the competitiveness of European industry/economy by seeding future growth and the creation of jobs from FET research.

***Type of action***

Coordination and support action.

***Indicative budget***

€2.4 million from the 2018 budget, €2.7 million from the 2019 budget and €3.5 million from the 2020 budget.

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

**Conditions for the call EIC - FET-Open**

***Opening dates, deadlines and budgets***[[7]](#footnote-8)

The total budget for this call is €707.50 million.[[8]](#footnote-9) The budget figures for the FET Open RIA topic in WP 2018-2020 are as follows:

1. May 2018 (127 M€ )
2. January 2019 (160 M€)
3. September 2019 (160 M€, of which 158.5 M€ from 2020 budget)
4. May 2020 (203 M€).

€57.5 million is transferred from the 2018 budget to the last cut-off of the Horizon 2020-FETOPEN-2016-2017 call under the FET work programme 2016-2017.

FETOPEN-03-2018-2019-2020 will have three cut-off dates in September of each year.

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

For single stage procedure:

1. Information on the outcome of the evaluation: Maximum 5 months from the final date for submission; and
2. Indicative date for the signing of grant agreements: Maximum 8 months from the final date for submission.

Eligibility and admissibility conditions The conditions are described in General Annexes B and C of the work programme. The following exceptions apply:

|  |  |
| --- | --- |
| **FETOPEN-03-2018-2019-2020** | Proposals must build on results from an ongoing or recently finished project, funded as a result of call in any FET topic under FP7 or Horizon 2020 and clearly identified in the proposal. For a project to be considered "recently finished" in the context of this call topic its actual end date must be at most one year before the deadline for proposal submission to this topic. For a project to be considered "ongoing" in the context of this call topic the deadline for proposal submission to this topic must be within the period limited by the contractual start date and end date of the project.  Proposals must include a declaration by the coordinator of the necessary rights and ownership of results to be exploited, as described in the proposal. Applicants that are not the owner of the result to be taken up in the proposal must provide a letter from the relevant beneficiary or beneficiaries of the previous FET project that own(s) the result that confirms the existence of the necessary agreements with the coordinator of the current proposal, including on IPR. |

Evaluation criteria, scoring and threshold: The criteria, scoring and threshold are described in General Annex H of the work programme. The following exceptions apply:

|  |  |
| --- | --- |
| **FETOPEN-01-2018-2019-2020** | **Excellence**   * Clarity of the vision of a science-enabled technology and its differentiation from current paradigms. * Concreteness and ambition of the proposed science-to-technology breakthrough that addresses this vision * Range of and added value from interdisciplinarity and non-incrementality of the research proposed. * High-risk of the research proposed and plausibility and flexibility of the approach   **Threshold: 4/5, Weight: 60%**  **Impact**   * The extent to which the outputs of the project would contribute to the expected impacts listed in the work programme under the relevant FET topic. * Effectiveness of measures and plans to disseminate and use the results (including management of IPR) and to communicate about the project to different target audiences.   **Threshold: 3.5/5, Weight: 20%**  **Quality and efficiency of the implementation**  The following aspects are taken into account:   * Coherence and effectiveness of the research methodology and work plan to achieve project objectives and impacts, including adequate allocation of resources to tasks and partners. * Role and complementarity of the participants and extent to which the consortium as a whole brings together the necessary expertise.   **Threshold: 3/5, Weight: 20%Threshold: 3/5, Weight: 20%** |
| **FETOPEN-03-2018-2019-2020** | **Excellence**  The following aspects are taken into account:   1. Clarity and quality of the innovation idea and its link with the previous or ongoing FET project indicated in the proposal. 2. Concreteness of objectives and their pertinence for moving the output of FET research through the initial steps of a process leading to a commercial or social innovation. 3. Suitability and necessity of the proposed activities to reach the stated objectives, including their complementarity to actions already foreseen or expected from the previous or ongoing FET project.   **Threshold: 3/5, Weight: 40%**  **Impact**  Contributions to the impacts listed under this topic in the work programme:   1. Added innovation potential with respect to the FET project from which this innovation originates. 2. Extent of economic and/or societal benefits resulting from this innovation as identified in the proposal. 3. Suitability of measures for taking the innovation beyond the research world, including through engagement with prospective exploitation partners, other stakeholders, users or society.   **Threshold: 3.5/5, Weight: 40%**  **Quality and efficiency of the implementation**  The following aspects are taken into account:   1. Quality of workplan and management. 2. Relevance of expertise in the consortium. 3. Appropriate allocation of resources (person-months).   **Threshold: 3/5, Weight: 20%** |

Evaluation Procedure: The procedure for setting a priority order for proposals with the same score is given in General Annex H of the work programme. The following exceptions apply:

|  |  |
| --- | --- |
| **FETOPEN-01-2018-2019-2020** | The following specific page limits apply. Part B of the proposal should consist of a maximum of 16 A4 pages. The limits will be clearly shown in the "proposal templates" in the Participant Portal electronic submission system. Sections that are not subject to limits will be indicated.  A proposal that, supported by the evaluator's assessments, does not convincingly satisfy any of the FET gatekeepers as described under this topic will be declared out of scope.  At consensus stage, the consensus score for each evaluation criteria will be the median of the corresponding scores attributed by the individual evaluators and consensus report will comprise a collation of the comments from individual reports, or extracts from them. Final scores and any additional comments, possibly including advice not to resubmit the proposal, are decided by the final panel review. |
| **FETOPEN-02-2018** | Under subtopics a) and c) at most one proposal will be funded. |
| **FETOPEN-03-2018-2019-2020** | The following specific page limits apply. Part B of the proposal should consist of a maximum of 8 A4 pages. The limits will be clearly shown in the "proposal templates" in the Participant Portal electronic submission system. Sections that are not subject to limits will be indicated.  At consensus stage, the consensus score for each evaluation criteria will be the median of the corresponding scores attributed by the individual evaluators and consensus report will comprise a collation of the comments from individual reports, or extracts from them. Final scores and any additional comments, possibly including advise not to resubmit the proposal, are decided by the final panel review.  For deciding the priority order for proposals with the same score, the procedure for Innovation actions will apply. |

Consortium agreement: Members of a consortium are required to conclude a consortium agreement, in principle prior to the signature of the grant agreement.

**Prizes**

**EIC Prizes  
Who should apply**

***EIC Prizes aim at boosting breakthrough innovation across sectors by fostering cutting-edge solutions to challenges which bring major benefits to citizens and society.***

Are you an innovator, an academic, a start-up, an entrepreneur, a business willing to think out of the box, across sectors and disciplines?

Do you want to use your creativity and expertise to bring breakthrough solutions faster to the market or to develop cutting-edge solutions to address the problem?

Are you ready to engage with other innovators from the solver community to develop close-to-market solutions which will answer major societal problems?

***Have a go!***

**Principles of EIC Prizes**

***EIC Prizes set an ambitious goal, without saying how that goal should be achieved or specifically who should achieve it. The prize is awarded to whoever can most effectively meet a defined challenge.***

EIC Prizes are particularly ambitious with regards to the societal problems to be addressed.

EIC Prizes call for breakthrough solutions from the solver community. They will demonstrate the feasibility or potential of particular technologies and promote uptake. Prize awards reflect the level of ambition, with amounts typically around € 5 million.

The objectives of the contests are to solve a problem, without prescribing a specific solution to be implemented. The contests are built on simple, clear, comprehensive and objective targets that must be reached to win the contest. They address challenges to be solved at the latest by 2021 (see specific conditions for each contest).

Specific characteristics for each Prize are defined in their individual rules of contest, which lay down conditions for submission and participation, eligibility criteria, award criteria, and the amount of the prize.

Prizes are awarded to whoever can most effectively meet the defined challenge as set out in the rules of contest. The amount of the prize is not linked to the costs of the activities incurred by the winner; the principles of eligible costs, co-financing, non-retroactive award and no-profit do not apply.

An EIC Prize can be awarded to Horizon 2020 grantees. However, prizes cannot be awarded if a Horizon 2020 grantee has already received another EU or Euratom prize.

For more information, please see the [Horizon 2020 [Model of Rules of Contest](http://ec.europa.eu/research/participants/data/ref/h2020/prizes_manual/h2020-prizes-roc_en.pdf) for Prizes](http://ec.europa.eu/research/participants/data/ref/h2020/prizes_manual/h2020-prizes-roc_en.pdf) and the General Annexes [link] of the Horizon 2020 Work-Programme.

**1. EIC Prize for 'Innovative Batteries'**

***Challenge***

The challenge is to develop a battery for e-vehicles that enables the same or better performance than current gasoline or diesel powered vehicles with internal combustion engines and is based on abundant, sustainable and cheap raw materials.

The solution should also solve the problem of long charging times.

***The specific rules of the contest will be published on xx Xxxxx 20xx by the European Commission, which will directly launch and manage the contest and award the prize based on the judgement of independent experts. The indicative budget for this prize is € 5 million from the 20xx budget.***

***Expected results***

* […]
* […]
* […]

***Eligibility criteria***

The contest is open to […]

***Award criteria***

The prize will be awarded, after closure of the contest, to the contestant(s) who in the opinion of the jury demonstrates a solution that best meets the following cumulative criteria:

* […]
* […]
* […]

|  |  |
| --- | --- |
| **Indicative timetable** | |
| **Opening of contest** | **4th quarter 2017** |
| **Deadline to submit applications** | **xx/xx/20xx** |
| **Award of prize** | **xxx quarter 20xx** |

***Type of action***

Inducement prize.

For the common Rules of Contest for Prizes, please see part [X] of the General Annexes of the Horizon 2020 Work-Programme. [link]

**2. EIC Prize 'Fuel from the Sun:  
Artificial Photosynthesis'**

***Challenge***

The challenge is to build a working bench-scale prototype artificial photosynthesis device that is able to produce a synthetic liquid fuel.

***The specific rules of the contest will be published on xx Xxxxx 20xx by the European Commission, which will directly launch and manage the contest and award the prize based on the judgement of independent experts. The indicative budget for this prize is € 5 million from the 20xx budget.***

***Expected results***

* […]
* […]
* […]

***Eligibility criteria***

The contest is open to […]

***Award criteria***

The prize will be awarded, after closure of the contest, to the contestant(s) who in the opinion of the jury demonstrates a solution that best meets the following cumulative criteria:

* […]
* […]
* […]

|  |  |
| --- | --- |
| **Indicative timetable** | |
| **Opening of contest** | **fourth quarter 2017** |
| **Deadline to submit applications** | **Xx/xx/ 20xx** |
| **Award of prize** | **xxx quarter 20xx** |

***Type of action***

Inducement prize.

For the common Rules of Contest for Prizes, please see part [X] of the General Annexes of the Horizon 2020 Work-Programme. [link]

1. **EIC Prize 'GEO Early Warning for Epidemics'**

***Challenge***

The challenge is to develop a scalable, reliable and cost-effective early warning system to help mitigate the effects of new outbreaks of diseases. This system could integrate data from different sources and harness the potential of Earth observation data including citizen science, while at the same time taking into account any relevant societal factors in the chosen area.

***The specific rules of the contest will be published on xx Xxxxx 20xx by the European Commission, which will directly launch and manage the contest and award the prize based on the judgement of independent experts. The indicative budget for this prize is € 5 million from the 20xx budget.***

***Expected results***

* […]
* […]
* […]

***Eligibility criteria***

The contest is open to […]

***Award criteria***

The prize will be awarded, after closure of the contest, to the contestant(s) who in the opinion of the jury demonstrates a solution that best meets the following cumulative criteria:

* […]
* […]
* […]

|  |  |
| --- | --- |
| **Indicative timetable** | |
| **Opening of contest** | **fourth quarter 2017** |
| **Deadline to submit applications** | **xxx quarter 20xx** |
| **Award of prize** | **xxx quarter 20xx** |

***Type of action***

Inducement prize.

For the common Rules of Contest for Prizes, please see part [X] of the General Annexes of the Horizon 2020 Work-Programme. [link]

**4. EIC Prize '** **Blockchain for Social Good'**

***Challenge***

The goal is to stimulate the emergence of new and resilient applications of Distributed Ledger Technology (such as that of Blockchain) that can deliver benefits to society, for example by delivering novel solutions that address major global challenges society is facing. This action is targeted at a wide range of actors: technological actors, civil society organisations, social entrepreneurs, social scientists, creative developers and SMEs.

***The specific rules of the contest will be published on xx Xxxxx 20xx by the European Commission, which will directly launch and manage the contest and award the prize based on the judgement of independent experts. The indicative budget for this prize is € 5 million from the 20xx budget.***

***Expected results***

* […]
* […]
* […]

***Eligibility criteria***

The contest is open to [...]

***Award criteria***

The prize will be awarded, after closure of the contest, to the contestant(s) who in the opinion of the jury demonstrates a solution that best meets the following cumulative criteria:

* […]
* […]
* […]

|  |  |
| --- | --- |
| **Indicative timetable** | |
| **Opening of contest** | **fourth quarter 2017** |
| **Deadline to submit applications** | **Xx/xx/20xx** |
| **Award of prize** | **xxx quarter 20xx** |

***Type of action***

Inducement prize.

For the common Rules of Contest for Prizes, please see part [X] of the General Annexes of the Horizon 2020 Work-Programme. [link]

**5. EIC Prize 'Low-Cost Space Launch'**

***Challenge***

The challenge is to provide innovative, implementable, affordable and financially sustainable European solutions for launching nano- and micro-satellites into Low-Earth Orbit (LEO).

The prize aims to overcome the existing constraints and the limited opportunities in access to space for this type of satellites.

***The specific rules of the contest will be published on xx Xxxxx 20xx by the European Commission, which will directly launch and manage the contest and award the prize based on the judgement of independent experts. The indicative budget for this prize is € 5 million from the 20xx budget.***

***Expected results***

* […]
* […]
* […]

***Eligibility criteria***

* The contest is open to […]

***Award criteria***

The prize will be awarded, after closure of the contest, to the contestant(s) who in the opinion of the jury demonstrates a solution that best meets the following cumulative criteria:

* […]
* […]
* […]

|  |  |
| --- | --- |
| **Indicative timetable** | |
| **Opening of contest** | **fourth quarter 2017** |
| **Deadline to submit applications** | **xxx quarter 20xx** |
| **Award of prize** | **xxx quarter 20xx** |

***Type of action***

Inducement prize.

For the common Rules of Contest for Prizes, please see part [X] of the General Annexes of the Horizon 2020 Work-Programme. [link]

**The European Capital of Innovation Award (iCapital)**

With their capacity to connect people, places, public and private actors, cities can substantially enhance innovation in Europe and improve the quality of citizens’ lives.

***New approaches to undertake and deploy innovative practices are gaining support, marking the shift from traditional top-down schemes to stronger bottom-up practices, where citizens are increasingly co-shaping public policies in an open, transparent way.***

***Scope***

The traditional city innovation ecosystem is opening up to new models of innovation engaging citizens.

An increasing number of cities are acting as test-beds for innovation and run citizens-driven initiatives to find solutions for their relevant societal challenges.

The public domain is particularly challenged with finding effective ways to ensure the mainstreaming of these practices into the ordinary urban development process. Successful practices are particularly crucial to enhance the city's capacity to attract new resources, funds and talents, and become role models for other cities.

***Expected impact***

A European prize to the most innovative city ecosystem builds on past successful competitions and on the relevant impact.

The award will raise the profile of the city teams that have developed and implemented innovative policies; enhance citizens' role in finding local solutions and participating in the decision-making process; facilitate the city attractiveness towards investors, industry, top class talents and entrepreneurial individuals; help the city open up connections with others and cooperate with them, thus inspiring and helping identify best practices to be replicated across Europe.

***Eligibility criteria***

1. The candidate cities must be established in an EU Member State or in Associated Country and have a population above 100,000 inhabitants.
2. The submission consists of a complete application
3. Winners of former European Capital of Innovation contests are not eligible. This does not apply to runners-up. Exclusion criteria foreseen in the provisions of articles 106(1), 107, 108 and 109 of the Financial Regulation (regulation 966/2012) will apply. Contestants that have already received an EU or Euratom prize cannot receive a second prize for the same activities.

***Essential award criteria***

The prize will be awarded, after closure of the contest, to the contestant(s) who in the opinion of the jury best addresses the following cumulative criteria:

1. Experimenting – innovative concepts, processes, tools, and governance models proving the city's commitment to act as a test-bed for innovative practices, and ensuring the mainstreaming of these practices into the ordinary urban development process.
2. Engaging – increasing opportunities for a broader range of citizens and ensuring a seamless uptake of their ideas.
3. Expanding – outlining the city's potential to attract new talent, resources, funding, investments, and to become a role model for other cities.
4. Empowering – concrete and measurable added value directly connected to the implementation of innovative practices.

***Indicative timeline***

Yearly competitions awarding up to four cities per year, to be launched and concluded within the same year.

***Type of action***

Recognition prize.

***Indicative budget***

[€1.2 million from the 2018 budget, €1.2 million from the 2019 budget, and €1.2 million from the 2020 budget.]

**EU Prize for Women Innovators**

There are still too few women in leading positions in the innovation ecosystem as entrepreneurs. Many women do not consider entrepreneurship as an option for various reasons, including lack of awareness.

***This represents an untapped potential for Europe, which needs to optimise all available resources to remain competitive and find solutions to our societal challenges.***

***Scope***

This award scheme recognises the role of women in bringing about game-changing innovations to market. The prize aims to honour the outstanding achievements of women running innovative companies, as well as give a platform to the unsung women innovators behind innovative businesses. The "EU Prize for Women Innovators" will be awarded to up to four women in total (three women and one young woman innovator, so-called 'rising innovator') who have become leaders in the innovation ecosystem, as entrepreneurs.

***The prizes are targeted at women who have founded or co-founded a company across any sector that creates outstanding value for the innovation ecosystem.***

***Expected impact***

The prizes will boost public awareness of the potential, importance and contribution of women to the innovation ecosystem and inspire other women to become innovators themselves.

***Eligibility criteria***

1. The contestant must be a woman. For the Rising Innovator Award the following applies: the contestant must be a woman aged 30 years or under.
2. The contestant must ordinarily be a resident of an EU Member State or of a country associated to Horizon 2020.
3. The contestant must be the founder or co-founder of an existing and active company which was registered before 1 January *year-1[[9]](#footnote-10)*].
4. […] .

The contestants will have to provide proof of eligibility and a written presentation of their achievements. All contestants will have to support their applications with a link to a video of maximum 90 seconds. Exclusion criteria foreseen in the provisions of articles 106(1), 107, 108 and 109 of the Financial Regulation (Regulation 966/2012) will apply. Contestants that have already received an EU or Euratom prize cannot receive a second prize for the same activities.

***Award criteria***

All eligible applications will be evaluated by a High-Level Jury. The High-Level Jury will consist of a group of independent experts from business, finance and academia appointed by the Commission. They will appraise the quality of the entries and submit to the Commission the final list of women to be awarded.

The prize will be awarded, after closure of the contest, to the contestants who in the opinion of the jury best address the following cumulative criteria:

1. Originality and marketability. […]
2. Societal and economic impact and value for the innovation-ecosystem. […]
3. Active leadership role. […]

|  |  |
| --- | --- |
| ***Indicative timetable*** | |
| **Opening of contest** | **Third quarters of 2018, 2019, 2020** |
| **Deadline to submit applications** | **Fourth quarters of 2018, 2019, 2020** |
| **Award of prize** | **First quarters of 2019, 2020, 2021** |

***Type of action***

Recognition prize.

***Indicative budget***

Three prizes of €100 000 each and one prize of €50 000 in the 'rising innovator' category.

[€0.35 million from the 2018 budget, €0.35 million from the 2019 budget, and €0.35 million from the 2020 budget.]

**OTHER ACTIONS**

**EIC Pilot Actions**

**EIC Pilot Actions**

**EIC Pilot Actions explore new possibilities for supporting breakthrough, market-creating innovations at EU level. They pave the way for novel, full-scale initiatives that may be rolled out after the EIC's preparatory phase.**

1. **'Blended finance' pilot**

Building on a the findings of a recent study[[10]](#footnote-11), this pilot EU-level financial instrument will support the scale-up of fast-growing, highly innovative SMEs and small midcaps by blending grants with loans and/or equity finance. It will operate in conjunction with one or more of the financial instruments described in the Horizon 2020 Work Programme 2018-2020 part *[link]* covering 'Access to Risk Finance'.

Expected impact: faster scale-up of a higher volume of highly innovative SMEs and small midcaps.

Type of Action: financial instrument.

Indicative timetable: [first] quarter of 2019.

Selection procedure: to be decided during 2018 using an entrusted entity to be determined.

Indicative budget: €[x] million from the 2019 budget and €[x] million from the 2020 budget.

1. **'Crowdfunding for R&I' pilot**

Building on the findings of a recent study[[11]](#footnote-12), one to be undertaken in 2018[[12]](#footnote-13) and the first outcomes of a support action for SMEs[[13]](#footnote-14), this pilot action will explore the potential of one or more forms of crowdfunding to foster and fund breakthrough, market-creating innovations.

Expected impact: faster scale-up of a higher volume of highly innovative SMEs and small midcaps.

Type of action: Financial Instrument.

Indicative timetable: [first] quarter of 2019.

Selection procedure: to be decided during 2018 using an entrusted entity to be determined.

Indicative budget: to be determined in the course of 2018.

**OTHER ACTIONS**

**EIC Support Actions**

**EIC Support Actions  
What's on offer, and how you can benefit**

**EIC Support Actions build on initiatives started under the SME Instrument and will evolve during the preparatory phase in the light of needs and demands.**

1. **EIC Evaluators’ Community**

A reliable and trusted evaluation system is crucial for the success of the preparatory phase of an EIC, and a community of expert evaluators is one of its most important assets. The pool of evaluators supporting the evaluations contains around 2500 experts. The Evaluators' Community will be created through a gathering of these experts in early 2018 focused on explaining and clarifying the objectives of the EIC preparatory phase. Briefing materials, presentations and webinars will also be created and delivered.

Subject-matter of the contracts envisaged: preparation, execution and follow-up of events; design, delivery and evolution of media and information dissemination products and services.

Type of action: Public Procurement — use of an existing framework contract — 1 or more specific service contracts.

Indicative timetable: fourth quarter of 2017.

Indicative budget: €0.95 million from the 2018 budget.

1. **EIC Community Platform**

An interactive platform for SME Instrument beneficiaries was created under the [Horizon 2020 Work Programme](http://ec.europa.eu/research/participants/data/ref/h2020/wp/2016_2017/main/h2020-wp1617-sme_en.pdf) 2016-2017. The duration, functionalities and services provided through this platform will be extended to encompass all SMEs that are EIC grant beneficiaries.

The platform will be linked to platforms offering services provided by [InvestHorizon](http://investhorizon.eu), such as investment-readiness training and introductions to investors, and by [Startup Europe](http://startupeuropeclub.eu/), such as the Web Investors Forum, the Accelerator Assembly, and the Crowdfunding Network. It will be supported till at least the end of 2020.

The action will support the extended community platform and its underlying activities, i.e.:

* *Promotion* through online and live interaction with potential investors, large enterprises, and public and private procurers, who will be able to create a profile on the platform for information-sharing and matchmaking.
* [*Mentoring*](#Mentoring) through the creation of matchmaking profiles for mentors and mentees.
* *Participation in events* such as trade-fairs and major innovation or business conferences in Europe.
* *Access to existing services* offered by the [Enterprise Europe Network](http://een.ec.europa.eu/about/branches) (EEN), the [EU Single Access to Finance Portal](http://europa.eu/youreurope/business/funding-grants/access-to-finance/), the [EU IPR Helpdesk](https://www.iprhelpdesk.eu/), the [European Observatory against Infringements of IPR](https://euipo.europa.eu/ohimportal/en/web/observatory/home), the [Procurement of Innovation Platform](https://www.innovation-procurement.org/), and other offerings at EU, national and regional levels that could be of interest to participants in the EIC preparatory phase.
* *Integration of data and insights from the* [*Innovation Radar*](https://ec.europa.eu/digital-single-market/en/innovation-radar) *initiative* about EU–funded innovators and innovations, and acquisition of other financial, investment, patents and altmetrics data and analytics. This data will be leveraged to improve links between innovators with specific financing (or other 'go to market') needs and investors.
* *Procurement marketplace* to help SMEs to commercialise their innovations as first clients of public-sector innovation procurers, take advantage of public procurement opportunities, and better understand how the procurement market works and how to bid for procurements. There will also be activities to encourage public procurers to organise open-market consultations before procuring in order to give SMEs enough time to prepare bids and team-up with larger companies when bidding.
* Connection to [*Lean LaunchPad*](https://ec.europa.eu/digital-single-market/news/lean-launchpad-llp-pilot-european-innovation-researchers-and-start-entrepreneurs-ict-domain)online and face-to-face training courses (Lean LaunchPad® is a widely taught entrepreneurship methodology for testing and developing business models based on querying and learning from potential users and customers).

This is not necessarily an exhaustive list.

Subject-matter of the contracts envisaged: design, evolution and maintenance of online interactive platform; design, implementation and evolution of products and services delivered or deployed via the platform.

Type of action: Public Procurement — several service contracts or extension of existing service contract(s).

Indicative timetable: first quarter of 2018 and first quarter of 2019.

Indicative budget: € 1.50 million from the 2018 budget and € 1.50 million from the 2019 budget.

**3. EIC Events**

EIC Events support international cooperation between highly innovative European SMEs and other entities both within Europe and in other parts of the world. They are designed to catalyse breakthrough innovations and speed up commercialisation.

A typical Event features investor pitching and a series of networking sessions and matchmaking socials to help you find potential collaborators, mentors, lenders and investors, corporate partners and public procurement opportunities. Local universities and other public research organisations looking to commercialise research results are invited.

Each Event addresses innovation in the large, though some sessions may focus on particular sectors or geographies according to local circumstances and demand. To help SMEs get the most from participating in a Summit, follow-up support is available to facilitate business cooperation with other entities based either in or outside Europe.

Subject-matter of the contract envisaged: preparation, execution and follow-up of events.

Type of action: Public Procurement – 1 service contract.

Indicative timetable: fourth quarter of 2017 [and …?].

Indicative budget: [x] million during the period 2018-2020.

## Expert Group to advise on the design of a European Innovation Council

The High Level Group (HLG) of Innovators ('expert group'), which was established in January 2017 with an initial duration of two years, will be renewed for the period 2019-20 in order to complete its work in advising the Commission on the possible design of a European Innovation Council (working title).

The work of the expert group will build on early experience gained with the implementation of preparatory measures for the 2017-2010 period under Horizon 2020. Advice provided by the HLG will ensure future EU-level support for innovation takes advantage of existing best practices for innovation support in Europe and that it responds to the needs of entrepreneurs/innovators. The experts have in-depth knowledge in the field of market-creating innovation and related financial instruments, national innovation programmes, and start-up/scaling up of innovative companies. They act in their personal capacity and in the public interest.

A special allowance of EUR 450/day may be paid to each expert.

Type of Action: Expert Contracts

Indicative timetable: 2019 and 2020

Indicative budget:  €0.45 million from the 2018 budget

## Using crowdfunding, artificial intelligence and other novel ways of evaluating proposals for breakthrough and market-creating innovations

In fields as diverse as scientific research, entrepreneurship and the arts, crowds of interested stakeholders are increasingly responsible for deciding which innovations to fund, a task largely performed at present by business angels and venture capitalists, lenders or experts hired by grant‐making bodies. Little is known about how much the crowd differs from investors, lenders or experts in judging which proposals to support, how rational the crowd is in making funding decisions, and what tools might best assist the crowd in this process. Artificial intelligence (AI) is also being tested in many areas as a complement to human judgment in making funding and investment decisions. This study will examine the potential of using crowdfunding, AI and other novel ways of evaluating close-to-market innovation-driven proposals, especially those submitted in response to the SME Instrument call.

Type of action: Public Procurement – use of an existing framework contract – one direct service contract.

Indicative timetable: [first] quarter of 2018.

Indicative budget: €0.15 million.

**Budget  
for preparatory phase of a  
European Innovation Council**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  |  | Budget in € millions | | |
| Budget line(s) | 2018 | 2019 | 2020 |
| **Calls** | | | | |
| H2020-SMEInst-2018-2020 |  | 486.21 | 536.59 | 577.74 |
| H2020-FTI-2018-2020 | x | 100.00 | 100.00 | 100.00 |
| H2020-FETOpen-2018-2020 |  | 184.50 | 161.50 | 361.50 |
| **Other actions** | | | | |
| Prizes |  |  |  |  |
| Public procurement |  |  |  |  |
| Expert contracts |  |  |  |  |
| Financial instrument |  |  |  |  |
| **Estimated total budget** | | x | x | x |

1. Working title [↑](#footnote-ref-2)
2. ‘For-profit SMEs’ means micro-, small- and medium-sized enterprises, as defined in Commission Recommendation 2003/361/EC, that are not 'non-profit legal entities' as defined in the Horizon 2020 Rules for Participation (Regulation No 1290/2013): i.e., a ‘legal entity which by its legal form is non-profit-making or which has a legal or statutory obligation not to distribute profits to its shareholders or individual members’. [↑](#footnote-ref-3)
3. First-time participation here refers to the individuals involved, not their institution or organisation. [↑](#footnote-ref-4)
4. An additional €57.5 million is transferred from the 2018 budget to the last cut-off of FET-Open under the FET work programme 2016-2017. [↑](#footnote-ref-5)
5. This activity, directly aimed at supporting the development and implementation of the evidence-base for R&I policies, is excluded from the delegation to REA and will be implemented by the Commission services. [↑](#footnote-ref-6)
6. The following topics are intended: [add a list of all eligible WP topic identifiers] [↑](#footnote-ref-7)
7. The Director-General responsible for the call may decide to open the call up to one month prior to or after the envisaged date(s) of opening. All deadlines are at 17.00 Brussels local time. The Director-General responsible may delay the deadline(s) by up to two months. [↑](#footnote-ref-8)
8. Total budget for FET Open in Horizon 2020 (incl. CSAs) is around 1070 M€, i.e., 40.6% of total FET budget of Horizon 2020. [↑](#footnote-ref-9)
9. For the contest opening in 2018: 1 January 2017;

   for the contest opening in 2019: 1 January 2018; for the contest opening in 2020: 1 January 2019. [↑](#footnote-ref-10)
10. *Blended Finance for R&I*, Open Evidence, [summer] 2017, [insert link when e-published]. [↑](#footnote-ref-11)
11. *Assessing the Potential for Crowdfunding and Other Forms of Alternative Finance to Support R&I*, Open Evidence, [spring] 2017, [insert link when e-published]. [↑](#footnote-ref-12)
12. *Using Crowdfunding, Artificial Intelligence and Other Novel Ways of Evaluating Proposals for Breakthrough and Market-Creating Innovations* —see under ['EIC Support Actions'](#Support) in this Work Programme part. [↑](#footnote-ref-13)
13. See call ALTFI-01-2017 in the [Horizon 2020 Work Programme 2016-2017 part on 'Access to Risk Finance'](https://ec.europa.eu/research/participants/data/ref/h2020/wp/2016_2017/main/h2020-wp1617-finance_en.pdf): Improving access by innovative SMEs to alternative forms of finance. [↑](#footnote-ref-14)