



EUROPEAN  
COMMISSION

**DRAFT**

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

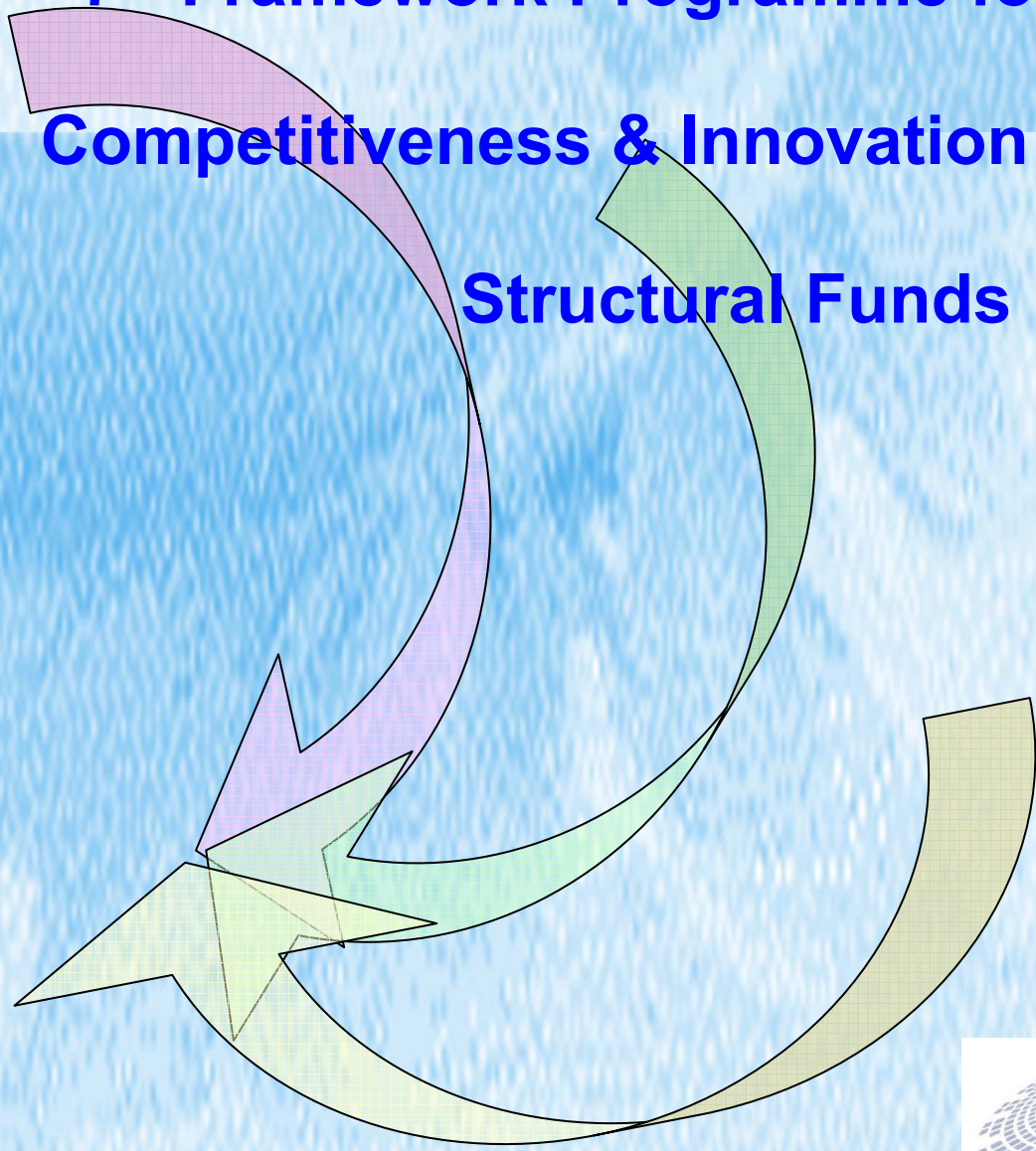
COMPETITIVE EUROPEAN REGION  
THROUGH RESEARCH AND INNOVATION  
*[COM (2007) 474 final]*

**SYNERGIES** in funding opportunities  
between:

**7<sup>th</sup> Framework Programme for Research**

**Competitiveness & Innovation Programme**

**Structural Funds**



## **Interested in European research?**

**RTD info** is our quarterly magazine keeping you in touch with main developments (results, programmes, events, etc.). It is available in English, French and German. A free sample copy or free subscription can be obtained from:

European Commission  
Directorate-General for Research  
Information and Communication Unit  
B-1049 Brussels  
Fax (32-2) 29-58220  
E-mail: [research@cec.eu.int](mailto:research@cec.eu.int)  
Internet: [http://europa.eu.int/comm/research/rtdinfo/index\\_en.html](http://europa.eu.int/comm/research/rtdinfo/index_en.html)

## **EUROPEAN COMMISSION**

Directorate-General for Research  
Directorate B — European Research Area: Research Programmes and Capacity  
Unit B.4— Regions of Knowledge and Research Potential

Contact: **Jean-David MALO**  
*European Commission*  
*Office SDME 1/52*  
*B-1049 Brussels*  
*E-mail: [Jean-David.Malo@ec.europa.eu](mailto:Jean-David.Malo@ec.europa.eu)*  
*Fax (32-2) 295.77.29*

**PRACTICAL GUIDE TO**

EU funding opportunities for research, development  
and innovation

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

**SYNERGIES** in **funding opportunities**  
between:

**7<sup>th</sup> Framework Programme for Research  
Competitiveness & Innovation Programme  
Structural Funds**

***Europe Direct is a service to help you find answers  
to your questions about the European Union***

**New freephone number:  
00 800 6 7 8 9 10 11**

**LEGAL NOTICE**

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

The views expressed in this publication are the sole responsibility of the author and do not necessarily reflect the views of the European Commission.

A great deal of additional information on the European Union is available on the Internet. It can be accessed through the Europa server (<http://europa.eu.int>).

Cataloguing data can be found at the end of this publication.

BELGIUM: EC 2008

© European Communities, 2008  
Reproduction is authorised provided the source is acknowledged.

*Printed in BELGIUM*

PRINTED ON WHITE CHLORINE-FREE PAPER

# TABLE OF CONTENTS

	page
1. INTRODUCTION	3
2. <b>FROM IDEA TO PROJECT:</b>	<b>5</b>
HOW DO I OBTAIN SUPPRT FOR MY RESEARCH, INNOVATION AND COMMERCIAL IDEAS?	
2.1. First, your ideas	5
2.2. Framework for developing your ideas	5
2.3. Instruments and Funding Options	6
3. A ROUTE THROUGH THE MAZE	8
3.1. The purpose of this guide	8
3.2. How to use the guide: the 6 steps	8
4. HOW TO COMBINE THE DIFFERENT INSTRUMENTS	11
4.1. Introduction	11
4.2. Mixing EU funding sources: the rules of the game	11
4.3. Scenarios for complementary financing	12
4.4. Practical actions to identify scope for complementary financing	15
5. THE ROLE OF NATIONAL AND REGIONAL AUTHORITIES	17
 <b>ANNEXES</b>	 <b>21</b>
 <b>ANNEX 1</b>	 <b>23</b>
<b>7<sup>th</sup> Research Framework Programme</b>	
<b>ANNEX 2</b>	<b>31</b>
<b>The Competitiveness and Innovation Framework programme</b>	
<b>ANNEX 3</b>	<b>37</b>
<b>The Structural Funds – Cohesion Policy</b>	
<b>ANNEX 4</b>	<b>41</b>
Useful sources of information	

**IMPORTANT**

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

*The purpose of the guide, and particularly the score board tool, is to simplify access to the relevant information on funding according to the needs of the potential beneficiary.*

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

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

*A more developed tool will be soon available taking the form of a web-based presentation of the practical guide.*

*The text of the guide is copyright and its content may not be incorporated in other documents or media without the permission of the Commission.*

# 1. INTRODUCTION





## 2. FROM IDEA TO PROJECT: How do I obtain support for my research, innovation and commercial ideas ?

Are you a researcher with an idea for a research or innovation project? Do you need to upgrade the skills or the capacity of your research organisation? Are you an entrepreneur who would like to undertake research and innovation activities? Are you already engaged in commercial activities whether or not arising from RTDI?

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

### 2.1. First, your ideas

Clearly, the first step is up to you. You need to think your ideas through and develop an outline of your proposal<sup>2</sup>. Remember, it is better that the process be driven by your idea rather than by the funding sources that happen to be available.

### 2.2. Framework for developing your ideas

In general, what you want to do will fall into three broad categories:

- (1) You wish to build up or enhance the research capacity of your institution, including training, or you intend to undertake research to generate new knowledge.
- (2) You are interested in innovation in the broad sense, such as technology transfer, access to venture capital or business and innovation support services.
- (3) You wish to engage in commercial activities.

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

---

<sup>2</sup>

*At this stage in your preparations, it may be worthwhile exploring within your organisation or more widely through the public authorities concerning the availability of small grants to assist in the practical development and presentation of your ideas.*

## **2.3. Instruments and Funding Options**

When you have a clear understanding of what you want to achieve, you can proceed to consider whether the Research Framework Programme, the Competitiveness and Innovation Framework Programme and the Structural Funds might offer possible solutions for your needs. Please note that, in addition to funding options, these instruments may offer other types of benefits, such as possibilities for networking or making use of information and other services provided. Depending on the research/innovation activity to which your idea relates, one or more of these instruments may be available to you.

### **Research: Framework Programme (FP7)**

The 7<sup>th</sup> Research Framework Programme (see Annex 1) with a total budget of over € 50 billion for the period 2007-2013 is the main instrument at EU level specifically targeted at supporting research and development. It provides funding to co-finance research, technological development and demonstration projects based on competitive calls and independent peer review of project proposals. Support is available for collaborative and individual research projects as well as for the development of research skills and capacity. The successive Research Framework Programmes have played a lead role in multidisciplinary research and cooperative activities in Europe and beyond.

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

The Competitiveness and Innovation Framework Programme (see Annex 2) aims to foster the competitiveness of European enterprises and has a total budget of over € 3.6 billion for the period 2007-2013. Specific CIP programmes will promote innovation (including eco-innovation), foster business support services in the regions and better access to finance, with small and medium-sized enterprises (SMEs) as the main target, encourage a better take-up and use of information and communications technologies (ICT), help to develop the information society and promote the increased use of renewable energies and energy efficiency.

### **Regional development: Structural Funds (SF)**

The purpose of the Structural Funds (see Annex 3) is to strengthen economic, social and territorial cohesion by reducing disparities in the level of development among regions and Member States. Among the many areas supported by the Structural Funds are R&D and innovation. The allocation of funds in a given Member State or region varies according to its level of development. However, most regions will have funding available from the Structural Funds in support of RTDI. EU investment

under the Structural Funds for innovation and research in the period 2007-2013 will be above € 99 billion. For the poorer regions the co-financing and the access to innovative experience facilitated by the governance system characteristic of cohesion policy is crucial for this purpose.

## 3. A ROUTE THROUGH THE MAZE

### 3.1. *The purpose of this guide*

The purpose of this guide is to help potential applicants for EU funding for research and innovation to identify the most suitable choices among the relevant programmes, i.e. the 7<sup>th</sup> Research Framework Programme (FP7), the Competitiveness and Innovation Framework Programme (CIP) and the national, regional or territorial cooperation programmes under the Structural Funds. Given the large number of programmes and sub-programmes that are available, this guide can only aim to give a broad overview. Also the details of the application procedures are not explained here, because they differ between Member States and regions and among the programmes and instruments. These details are provided in the programme specific guides and web-pages listed in Annex 4. In addition, a large number of information points across the EU offer more personalised advice.

**Important:** The planned on-line version of this guide is designed to evolve and be regularly up-dated. It will in particular be enriched and completed by direct links to the relevant programmes and contacts in the Member States and regions.

### 3.2. *How to use the guide: the 6 steps*

To determine which programme or funding source is the most relevant to support your idea for a research or innovation activity, **follow the 6 steps** in the checklist. The 6 simple questions that will guide you through the maze of EU research and innovation funding are:

- (1) Am I eligible for a given programme or funding source?
- (2) Is my type of research or innovation or commercial activity eligible?
- (3) What about my timeframe?
- (4) What type of financial support do I need?
- (5) Who else is involved in the project?
- (6) Can I apply for funding in my location?

As you answer the six questions, use the scorecard included and allocate a "+" for each positive response, a "?" for an intermediate response (Maybe, Limited, Sometimes) and a "-" for a negative response.

Here are some examples.

- Under Question 1, if you are a company, you allocate a "+" for every part of the 7<sup>th</sup> Research Framework Programme. However, unless it is a research organisation, and operates in a Convergence Region, your company cannot participate in the Research Potential action. You also allocate a "+" for every part of the CIP and the Structural Funds.
- Under Question 2, if you are involved in Collaborative (Applied) Research, you allocated a "+" for the Cooperation Chapter of FP7, a "-" for the CIP and a "+" for each Objective of the Structural Funds.

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

**To be taken into account:**

The scores you note in the scorecard will indicate how your project idea could fit under one or more programmes. However, this does not mean that you will automatically receive funding or that it is efficient to apply for funding under all programmes that achieve high scores. You need in particular to note the following broad restrictions.

- **In the case of FP7 and CIP** (except for the Community Financial Instruments for SMEs),  
The funding is normally allocated after the publication of "calls for proposals", meaning that project ideas have to be submitted by a certain deadline and have to comply with clearly defined themes and compositions of partnerships. In other words, it is not possible simply to spontaneously apply for assistance.

All proposals under a call will then be evaluated to check their eligibility and to compare their quality. Funding will be awarded only for the best project proposals within the limits of the total available budget. In addition, under FP7, your project proposal might have to be modified (e.g. regarding its budget structure, certain actions, composition of the consortium) in the course of negotiation of the grant agreement.

- **In the case of the Structural Funds,**  
The main point to note is that, although the Checklist will indicate that most types of applicant, research activities, etc. have a positive score, not every region will be covered by a Structural Funds programme that supports the particular research or innovation activity you have in mind.

Also, application procedures (e.g. ongoing application and project selection, calls for proposals on specific topics or competitions with fixed deadlines) are decided by the Managing Authority for the programme in question, depending on what is most appropriate for the activities envisaged (see annex 4 for the list of Managing Authorities). Project selection criteria are agreed by each programme's Monitoring Committee and are published (e.g. on Managing Authority websites). Projects will be evaluated according to these criteria.

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

Finally, if you wish to apply for funding to more than one Community instrument, please be aware of the rules and examples set out in Chapter 4.

## 4. How to combine the different instruments

### 4.1. Introduction

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

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

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

#### **Double financing – never!**

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

*The Financial Regulation (Council Regulation (EC, Euratom) No 1605/2002 states in its Article 111 the following concerning grants under the FP7 and the CIP: In no circumstance shall the same costs be financed twice by the budget.*

#### **Co-financing by different EU funding sources – seldom!**

Although the EU can in some circumstances provide the entire financing for a programme or project, the general rule is that the applicant, whether a public authority, SME or research entity, also contributes to the cost of the project. This is called co-financing. The Structural Funds, FP7 and CIP all have their specific rules on co-financing. The question arises whether the applicant's contribution to co-financing under one of the three instruments could be covered by funds it has received from one of the other instruments.

For the Structural Funds, the answer is no. Structural Funds must be co-financed by national and regional public and private funds. This means that another Community programme, like FP7 or CIP, cannot substitute for the national public counterpart in a Structural Funds programme and such action would be illegal. On the other hand funds from the European Investment Bank Group (EIB and EIF) can be used to finance the national or regional counterpart.

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

For FP7 and the CIP, using one of them to contribute to the applicant's co-financing of the other for grant-funded projects is in practical terms impossible, given the system of calls for proposals with specific subjects, eligibility and selection criteria.

In all cases, the maximum level of public support for a project is subject to the respect of the state aid rules and the maximum contribution rate for each of the funds.

### **Complementary financing – yes!**

As all double financing and most co-financing of the same project by different EU funds is prohibited, the correct approach is to combine the resources of the Structural Funds, FP7 and CIP. This means using funding schemes from the three different sources in a complementary way, i.e. for different actions (with separate cost statements / bills), which are carried out in a related or consecutive manner (see examples below).

### **4.3. Scenarios for complementary financing**

Opportunities for complementary financing may arise in a number of different circumstances. For example, separate but related activities or parts of a project can be funded by the Structural Funds, FP7 or the CIP. Also, an activity could first be supported by FP7 or the CIP, and its follow-up later by the Structural Funds, or the other way round.

Equally, the different funding sources may support different phases of the development of a technology over time, starting from basic research, to applied research, to demonstration or to pre-competitive market introduction.



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

1. A region is involved in the development of a major research infrastructure (e.g. a synchrotron). Under the Research Infrastructures action of the FP7 Capacities Specific Programme, it receives funding for the design phase and for certain preparatory work (legal, technical, etc). However, FP7 cannot finance the actual construction of the facility. This is where the Structural Funds can step in. If the region is eligible for the Convergence Objective, the Structural Funds can provide support for the construction and fitting out of the facility.
2. A university is engaged in upgrading the skills of its staff, with transnational actions (such as international fellowships) being covered by the People Programme of FP7 while the European Social Fund under the Structural Funds supports advanced training at the regional level.
3. An SME may be receiving support for an innovative business project in the form of a loan guaranteed by a financial intermediary approved under CIP's SME Guarantee Facility, while other related but distinct activities, for example training to up-grade the skills of the staff to be able to develop and implement the new business idea, can be in receipt of Structural Funds (European Social Fund).

### ***Structural Funds first, followed by FP7 or CIP***

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

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

1. A research organisation in the domain of biotechnology has received funding from a Research Operational Programme under the Structural Funds. This has allowed the development of a new research idea in which research organisations in other countries have expressed interest. The area of activity is covered by a forthcoming call for proposals under the Cooperation Specific Programme of FP7. The research organisation leads a consortium that successfully applies for funding under the call. The research and development results of the FP7 project lead to a business idea and trigger the creation of a company. This start-up company can benefit from the CIP through loan guarantees or grants for pilot and market replication projects. It can also benefit from the CIP by receiving business support services delivered by the Enterprise Europe Network.
2. An SME is in receipt of grant funding under the Business Support Priority of a Structural Funds programme in its region. It is interested in accessing other financial instruments such as venture capital for the further development of its activities. It applies for an investment by a Venture Capital Fund approved under CIP's High Growth and Innovative SME Facility and receives funding from this source.

### ***FP7 or CIP first, followed by Structural Funds***

It may be that, during the lifetime of an FP7 or CIP project, funding needs are identified in order to continue the activity. However, there is no guarantee that a further application for funding under FP7 or the CIP would be successful. If a Structural Funds Operational Programme in the region covers the research, technology or innovation in question, it may be able to provide the funding to sustain the activity.

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

1. A research organisation in the domain of road transport forms part of a transnational consortium that has implemented a project under FP7. The research organisation has further research ideas arising from the project that it wishes to pursue itself. The region in which it is located is eligible for an Operational Programme under the Structural Funds in the domain of transport that includes a measure for the promotion of transport research. The research organisation applies for and secures funding for the related project under the Operational Programme.
2. An SME forms part of a consortium that has received funding through the Research for SMEs action under the FP7 Capacities Specific Programme. This has provided it with support to outsource certain research needs, and receive training for its own staff. As a result, it is now ready to undertake future research activities itself. It successfully applied for funding for capital expenditure to build its research capacity under the Research and Business Priority of a Structural Funds Operational Programme in its region.

## ***4.4. Practical actions to identify scope for complementary funding***

You now understand the rules for combining the different funding sources in a complementary manner and the different circumstances in which complementary financing can arise. What next?

A fundamental difference between the Structural Funds, on the one hand, and FP7 and the CIP, on the other, is that the financial allocations and the priorities for funding under the Structural Funds are fixed in advance for the entire programming period, 2007-2013.

So, if you are at present in receipt of, or intending to apply for, funding under FP7 or the CIP and you wish to find out about opportunities for complementary funding in your region under the Structural Funds, you simply consult the Operational Programmes for which it is eligible. If those programmes contain the same type of activities, you can apply for support according to the programme rules.

If however you are at present in receipt of, or intending to apply for, funding under the Structural Funds and you wish to find out about opportunities for complementary funding in your region under the CIP or FP7, the situation is different. This is because there are no fixed FP7 or CIP allocations per region. The appropriate course of action then is to examine the funding opportunities under these instruments and apply according to the rules for participation. It needs to be recognised however that, even if the CIP or FP7 cover your activity, it will not always be the case that a funding opportunity will exist at a particular moment.

## 5. The role of national and regional authorities

National and regional policy makers have a central role in ensuring the effective exploitation of the potential for synergies between FP7, the CIP and the Structural Funds through the establishment of mechanisms to foster co-ordinated access to the different instruments. The responsibility for the implementation of the Structural Funds often lies with regional authorities, while participation in the programming and monitoring for FP7 and the CIP lies with the national/central/federal authorities. In addition to this multi-level governance structure, the responsibilities are often spread over different departments: for the Structural Funds and the CIP it is often the economics/enterprise/industry administrations that are in charge, while for FP7 it is normally the research/science administrations.

The Commission therefore strongly encourages Member States to improve the arrangements for cross-departmental and vertically co-ordinated preparation and use of Community instruments to support research, innovation and cohesion at national and regional level. The recommendations made in the Communication "Competitive Regions through Research and Innovation" mentioned in the Introduction to this Guide are essential to creating the necessary synergies on the ground.

Although it is always necessary, when discussing the three funding sources, to bear in mind their different policy objectives<sup>3</sup>, the conditions are at the moment very favourable for their complementary use due to the fact that:

- With the new 2007-2013 programming period the **time frame of the three funding schemes is the same**, although the budget, methods and timing for allocating the funds to concrete implementing measures differ substantially.
- **The Structural Funds are increasingly emphasising the role of research and innovation** as a crucial factor for regional development. With the Lisbon strategy and the strategic guidelines on cohesion<sup>4</sup> this emphasis has been reinforced.
- **FP7 and CIP have been increasingly taking the role of the national and regional levels into account.** In FP7, the regional dimension is

---

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

<sup>4</sup> Council decision of 6 October 2006 on Community Strategic Guidelines on cohesion (2006/702/EC)

becoming more important compared to FP6. Under the CIP, key actors from all EU regions are now involved the new Enterprise Europe Network, which provides business and innovation support services to enterprises.

- In comparison to the previous programming period, the **new Structural Fund Operational Programmes are more strategic documents** that make it possible to undertake new initiatives – within the approved programme priorities – according to emerging policy needs.
- **Economic exploitation of research results.** Activities supported by FP7 and its predecessors lead to the production of knowledge and successful projects offer potential for commercial exploitation. There is an obvious possibility for using the Structural Funds, as well as some CIP instruments, for financing the development phase of successful research projects.
- **International cooperation.** While transnational cooperation is one of the core ideas in CIP and FP7, the bulk of Structural Funds is spent within specific Member States and regions. Nevertheless, cohesion policy also provides opportunities to contribute to international cooperation, and notably through the European Territorial Cooperation Objective (previously known as INTERREG). A particular area where international cooperation can be developed jointly by the different instruments is through networking. One of the innovations in the 2007-2013 programming period is the creation of a new legal entity. The 'European Grouping of Territorial Cooperation' (EGTC) facilitates cooperation between regions and enhances their capabilities to develop and implement common projects focusing on growth and competitiveness.

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

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

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





# **ANNEXES**



# ANNEX 1

## 7<sup>th</sup> Research Framework Programme

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

Research Framework Programmes are the main instrument at EU level for supporting research and development. They have two main strategic objectives: strengthening the scientific and technological base of European industry and encouraging its international competitiveness, through research that supports EU policies.

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

In order to complement national research programmes, activities funded from FP7 must have a “European added value”. One key aspect of the European added value is the trans-national nature of many actions: research projects are carried out by consortia which include participants from different European (and other) countries while fellowships in FP7 require mobility over national borders. Indeed, many research challenges (e.g. major research infrastructures), are so complex that they can only be addressed at European level.

However, there are also opportunities for “individual teams” with no obligation for trans-national cooperation. In this case, the “European added value” lies in raising the competition between scientists in “frontier” research from the national to the European level.

## 2. How is it structured?

The major building blocks of FP7 are the Specific Programmes: Cooperation, Ideas, People and Capacities<sup>5</sup>.

<b>Cooperation</b>	Fostering collaboration between industry and academia to gain leadership in key technology areas.
<b>Ideas</b>	Supporting basic research at the scientific frontiers (implemented by the European Research Council).
<b>People</b>	Supporting mobility and career development for researchers both within and outside Europe.
<b>Capacities</b>	helping develop the capacities that Europe needs to be a thriving knowledge-based economy.

A detailed description of the structure and coverage of FP7 is contained in the following Box:

### **Box - The structure and coverage of FP7**

#### Cooperation programme – the core of FP7

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

This programme also includes the new *Joint Technology Initiatives*, which are industry driven, large-scale multi-financed actions, supported in certain cases by a mix of public and private funding. Other highlights of this programme include Coordination of non-community research programmes, which aims to bring European national and regional research programmes closer together (e.g. ERA-NET), and the Risk-sharing finance facility.

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

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

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

---

<sup>5</sup> The European Commission also supports nuclear research under the Euratom programme, to develop Europe's nuclear fission and fusion capabilities. As it does not normally provide scope for synergies with other EU funding sources, the Euratom programme is not covered in this annex. Further information on Euratom can be found at: [http://cordis.europa.eu/fp7/euratom/home\\_en.html](http://cordis.europa.eu/fp7/euratom/home_en.html)

recognition of the value of frontier research to society's economic and social welfare.

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

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

#### People programme – boosting European research careers

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

The programme includes activities such as initial researcher training, support for lifelong training and development via trans-national European fellowships and other actions, and industry/academia partnerships. An international dimension with partners outside the EU is to further develop the careers of EU researchers, by creating international outgoing and incoming fellowships to foster collaboration with research groups outside Europe.

#### Capacities programme – building the knowledge economy

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

The programme embraces six specific knowledge areas, including Research Infrastructures, Research for the benefit of SMEs, Regions of Knowledge, Research Potential, Science in Society and International Cooperation activities.

### **3. Funding schemes**

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

#### **Collaborative projects**

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

### **Networks of excellence**

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

### **Coordination and support actions**

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

- coordination and networking activities, dissemination and use of knowledge
- studies or expert groups assisting the implementation of the FP
- support for transnational access to major research infrastructures
- actions to stimulate the participation of SMEs, civil society and their networks

### **Individual projects**

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

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

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

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

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

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

The programme has a total budget of over € 50 billion for the period 2007-2013. The largest part is earmarked for cooperation research projects (€ 32 billion). Fundamental research will receive € 7.5 billion, the research fellowships are supported with € 4.75 billion, the Capacities programme has € 4 billion and Euratom € 2.7 billion.

Concerning individual projects, the basic principle of funding in FP7 is co-financing. This means that, in general, the Commission does not "purchase" research services by placing contracts and paying a price. Rather, it gives grants to projects, thus contributing a certain percentage to the overall costs.

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

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

## 5. Who can apply?

Participation in the Seventh Framework Programme is open to a wide range of organisations and individuals. Universities, research centres, multinational corporations, SMEs (small to medium-sized enterprises), public administrations, even individuals – all have the opportunity to participate in FP7.

As a general principle, FP7 is open to participation from any country in the world. However, the procedures for participation and funding possibilities vary for different groups of countries. The EU Member States enjoy the broadest rights and access to funding. However, the same conditions as apply to Member States apply also to countries associated to FP7 through a variety of legal instruments (S&T agreement, EEA agreement and Memoranda of Understanding)<sup>6</sup>

Another important group are the International Cooperation Partner Countries (e.g. Russia and other Eastern European and Central Asian states, developing countries, Mediterranean partner countries, Western Balkans countries). Participants from these countries are entitled to funding under the same conditions as EU Member States. The only restriction for them is that consortia must first have the required minimum number of participants from Member States or associated countries. Participation from industrialised high-income countries is also possible on a self-financing basis, with EU funding granted only in exceptional cases.

Cooperation with “third countries” is explicitly encouraged in FP7 with the key objectives of supporting European competitiveness in selected fields through strategic partnerships with third countries; encouraging the best third-country scientists to work in and with Europe and addressing specific problems that either have a global character or are commonly faced by third countries, on the

---

<sup>6</sup> From 1 January 2007, FP7 agreements with Switzerland, Israel, Norway, Iceland, Liechtenstein, Turkey, Croatia, Former Yugoslav Republic of Macedonia and Serbia are in force. From 1 January 2008, agreements with Albania and Montenegro are in force).

basis of mutual interest and mutual benefit. Finally, FP7 also provides for international outgoing and incoming fellowships for third countries in order to foster collaboration with research groups outside Europe.

For a very large part of FP7, grants are not provided to individual researchers or firms but rather to transnational partnerships. Specifically, transnational partnerships are the norm for the **Cooperation** and **Capacities** Specific Programmes while individual researchers and research organisations are eligible to apply under the **Ideas** and **People** programmes as well as **parts of the Capacities programme**.

### **FP7 funding for companies**

It is important to underline that FP7 is not just for researchers in research entities or the education sector. Across the range of activities supported by FP7, companies may also participate.

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

In the case of the Cooperation Programme, themes that would be of particular interest to researchers in companies would include ICT, Industrial technologies (NMP), Food, agriculture and biotechnology, Transport (including aeronautics) and Energy. In the case of frontier research under the Ideas Programme, projects will be funded on the basis of the excellence of the research, irrespective of whether from the public or private sectors while, under the People Programme, the participation of industry and SMEs is foreseen through all Marie Curie actions.

In addition, FP7 contains a range of actions that are specifically aimed at addressing the needs of companies.

#### **SMEs**

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

It is implemented through two dedicated measures:

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

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

#### **Regions of Knowledge**

FP7 is establishing new Regions of Knowledge that bring together the various research partners within a region to develop research-driven clusters. An obligatory element of a research driven cluster is an enterprise (including SMEs), along with a research entity and a regional or local authority. The aim of support under Regions of Knowledge is to allow the elements of the cluster link up and strengthen their research abilities and potential (more information can be found on the box in Chapter 5).



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

Improving access to loans for RTD actions requires public support to overcome market deficiencies for the financing riskier actions. In order to address this problem, a new Risk-sharing Finance Facility (RSFF) aims to enhance backing for private investors in research projects, improving access to loans from the European Investment Bank (EIB) for large European research actions. Progressively RSFF will be offered in each of the Members States and FP7 Associated Countries in order to allow access for smaller projects and beneficiaries (like SMEs).

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

Unfortunately, it is not simply a case of writing in and saying you would like a grant. There are a number of steps that must be followed.

### **Eligible activities**

Clearly, the activity for which you require funding must fall within the range of activities funded by under FP7. Normally, this is not such a serious hurdle. As indicated above, the range of activities across the Specific Programmes is very wide. However, different participation rules apply depending on the research initiative in question.

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

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

### **Publication of Calls**

All Calls are announced in the EU's Official Journal (which is the official source of EU documents). The annual work programmes and the full texts of the Calls are published on the FP7 section of CORDIS, the web site dedicated to EU-supported research. CORDIS is continuously updated with the latest information on Calls for proposals, as well as other information and services related to Community research.

### **Submitting a proposal**

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

### **Evaluation of proposals**

After the deadline for the Call, all the proposals submitted are evaluated by a panel of independent evaluators, who are recognized specialists in the relevant fields. The panel will check the proposals against a published set of criteria to see if the quality of research proposed is worthy of funding. The key criteria used for this evaluation are explained in the Guide for Applicants.<sup>7</sup>

### **Negotiation and approval**

For successful proposals, the European Commission enters into financial and scientific/technical negotiations with you and/or your consortium on the details of the project. Finally, a grant agreement between each participant and the Commission is drawn up. This sets out the rights and obligations of the beneficiaries and the European Community, including the EU's financial contribution to your research costs. For additional information on all issues related to Calls (including step-by-step advice on how to submit a proposal, eligibility criteria, evaluations, Intellectual Property issues, etc.), please refer to the Guide for Applicants.

---

<sup>7</sup>

*You can also apply to become an evaluator yourself, although you will never be invited to evaluate a proposal in which you have a conflict of interest.*  
Go to [www.cordis.europa.eu/emmf7](http://www.cordis.europa.eu/emmf7) for more details.

## **ANNEX 2**

# **The Competitiveness and Innovation Framework programme**

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

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

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

In order to complement national programmes, activities funded from CIP must have a “European added value”. This European added value is the trans-national nature of many actions, which are to be carried out by consortia including participants from different European (and other) countries. However, there are also opportunities for individual applicants with no obligation for trans-national cooperation, to facilitate the emergence of innovative solutions of interest for the whole of Europe.

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

The CIP is structured in the following three specific programmes:

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

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

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

- better access to finance for SMEs through "CIP financial instruments", particularly venture capital investments and loan guarantee schemes;
- the Enterprise Europe Network, a network of regional centres delivering business and innovation support services to RTDI actors, particularly SMEs;
- support to encourage trans-national networking of innovative companies and all other actors in the innovation process, including benchmarking initiatives and the exchange of best practice;
- support to eco-innovation, thus making sustainable development become a business reality;
- and support for policy-making that encourages entrepreneurship and innovation.

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

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

The ICT-PSP aims to foster innovation and competitiveness through the wider uptake and best use of ICT by citizens, governments and businesses and in particular SMEs. To this end, it will support best practice exchange, networking and policy analysis.

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

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

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

### ***3. Main funding schemes***

The main funding schemes under the CIP are the following:

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

The financial instruments aim to cover market gaps in the supply of debt and equity finance to SMEs. These instruments are managed by the European Investment Fund (EIF) on behalf of the European Commission and implemented via financial intermediaries or specialised funds.

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

- a) High Growth and Innovative SME Facility (GIF) which provides risk capital for innovative SMEs in their early stages (GIF1) and in their expansion phase (GIF2)
- b) SME Guarantee Facility which provides loan guarantees to encourage banks to make more debt finance available to SMEs, including micro-credit and mezzanine finance, by reducing the banks' exposure to risk
- c) Capacity Building Scheme which helps reinforce the capacity of financial intermediaries to support SMEs.

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

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

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

- a) Studies, data collection, surveys and publications;
- b) Twinning and meetings of experts, including experts from public institutions, experts sent by SMEs and other interested parties, conferences and other events;
- c) Awareness raising, networking and other relevant activities;
- d) Benchmarking of national and regional performances, and work on good practices, including their dissemination and implementation; and

- e) Best practice actions to spread knowledge and share experience across Europe, which will be linked to thematic networks bringing together a variety of stakeholders around a given objective so as to facilitate coordination activities and the transfer of knowledge.

The basic principle of funding in CIP funding schemes 3.2 and 3.3 is co-financing. This means that the Commission gives grants to projects, thus contributing a certain percentage (which is defined for each specific call) to the overall costs. The maximum reimbursement rates to the costs of a project depend on the funding scheme, the legal status of the participants and the type of activity. In some cases the Commission may choose to purchase services under the CIP by placing contracts and paying a price.

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

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

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

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

Participation in the CIP is open to a wide range of organisations and individuals. However, eligibility criteria differ from one funding scheme to the other.

All Member States of the European Union participate in the CIP. The CIP is also open to:

- a) EFTA countries which are members of the EEA, in accordance with the conditions laid down in the EEA Agreement (Norway, Iceland, Liechtenstein);
- b) candidate countries (Croatia, Turkey, FYROM);
- c) countries of the Western Balkans (Serbia, Montenegro, Albania); and
- d) other non-member countries, when agreements so allow.

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

Regarding the CIP Financial Instruments, it is important to stress that the Commission does not provide direct financial support. SMEs looking for funding under this scheme should consult the EIF list of financial intermediaries.

With regard to grants for projects and other implementing measures, the activity must first fall within the range of activities funded by under CIP. Then it has to be covered by a Call for Proposals opened at that particular moment. Proposals may be submitted at any time after a Call opens, until the deadline. After the deadline, all proposals submitted are evaluated by a panel of evaluators. Finally, successful proposals are eligible for grants.





# ANNEX 3

## The Structural Funds – Cohesion Policy

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

Cohesion policy contributes to raising the EU's long-term research and innovation performance, both through its focus on investments which promote economic development and through the policy-making, implementation and evaluation methods which it promotes. Cohesion policy enables public authorities to implement medium and long-term programmes, based on a strategic approach, partnership with key stakeholders, organised learning from one another, and coherent actions in line with the Lisbon reform agenda. This approach allows providing integrated support for different aspects of economic and social modernisation.

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

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

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

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

- **Cohesion Fund:** for the least-developed Member States and regions, i.e. Member States whose GNI (Gross National Income) is lower than 90% of the EU average can benefit from Cohesion Fund. Assistance from the Cohesion Fund shall be given to actions in the areas of trans-European transport networks and the environment within the priorities assigned to the Community environmental protection policy under the policy and action programme on the environment (including energy efficiency and renewable energy, rail, river and sea transport, intermodal transport systems and their interoperability, management of road, sea and air traffic, clean urban transport and public transport).

- **European Regional Development Fund (ERDF):** for strengthening competitiveness through helping regions to anticipate and promote economic change through innovation and the promotion of the knowledge society, entrepreneurship, the protection of the environment, and the improvement of their accessibility. It also supports cross-border co-operation through joint local and regional initiatives, trans-national co-operation aiming at integrated territorial development, and interregional co-operation and exchange of experience.
- **European Social Fund (ESF):** strengthening competitiveness and employment by helping Member States and regions to adapt the workforce, their enterprises and entrepreneurs with a view to improving the anticipation and positive management of economic change, in particular by promoting lifelong learning and increased investment in human resources, the development of qualifications and competences, the dissemination of information and communication technologies, e-learning, eco-friendly technologies as well as the promotion of innovation and business start-ups.

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

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

Equal are integrated into the Convergence and Regional Competitiveness and Employment objectives.

- The **European Territorial Co-operation objective** will strengthen cross-border co-operation through joint local and regional initiatives, transnational co-operation aiming at integrated territorial development, and interregional co-operation and exchange of experience. The population living in cross-border areas amounts to 181.7 million (37.5 % of the total EU population), whereas all EU regions and citizens are covered by one of the existing 13 transnational co-operation areas. € 8.7 billion (2.5 % of the total) available for this objective. This objective is based on the experience drawn from the former Community initiative - INTERREG.

### 3. *How much funding?*

Based on the information provided by the Managing Authorities of the Member States and regions during the planning phase of the programming period 2007-2013 the EU investment for innovation and research in 2007-2013 will be above €99 billion<sup>8</sup>, which corresponds to almost 29% of the total new envelope for the 27 Member States. Of this amount around €49.9 billion are foreseen for core research, technological development innovation, €22 billion for entrepreneurship and €13.1 billion for innovative ICT.

In addition, the European Social Fund (ESF) will invest €14.5 billion *in developing human capital potential in the field of research and innovation*, in particular through post-graduate studies and training of teachers and networking activities between universities, research centres and businesses. An additional € 1.9 billion will go to "*design and dissemination of innovative and more productive ways of organising work*".

More than €2 billion or 27% of the total available budget are set aside for territorial cooperation in the field of research and innovation.

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

---

<sup>8</sup> *The spending categories for R&D and innovation under the Structural Funds is explained in the Commission Staff Working Document "Regions delivering Innovation through Cohesion Policy" (SEC(2007)1547*

( [http://ec.europa.eu/regional\\_policy/sources/docoffic/working/doc/SEC-2007-1547.pdf](http://ec.europa.eu/regional_policy/sources/docoffic/working/doc/SEC-2007-1547.pdf)).

*The amounts mentioned above may shift slightly depending on the finalisation of the operational programmes and on the actual implementation over the programming period.*

small enterprises<sup>9</sup>. This could lead to the doubling of national/regional financing available.

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

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

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

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

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

The way in which Structural Funds are spent is through a system of shared responsibility between the European Commission and Member States. The Commission negotiates and approves the operational programmes proposed by the Member States and allocates resources. The Member States and their regions manage the programmes, implement them by selecting projects, control and assess them. For each operational programme, the Member State appoints a Managing Authority (a national, regional or local public authority or public/private body). Links to operational programme summaries and to lists of managing authorities can be found in the Structural Funds section of Annex 4.

---

<sup>9</sup> *Point 5.5 of the Community Framework for State Aid for Research and Development and Innovation (2006/C 323/01), OJ C 323 of 30.12.2006*

## ANNEX 4

### Useful sources for information

#### FP7 activities

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

Research Executive Agency (REA) will manage FP7-People, FP7-Capacities for SME-targeted projects and the FP7-Cooperation strands for “Space” and “Security”:

<http://ec.europa.eu/research/rea/>

European Research Council (ERC) manages FP7-Ideas:

<http://erc.europa.eu>

FP7 National Contact Points:

[www.cordis.europa.eu/fp7/ncp.en.html/](http://www.cordis.europa.eu/fp7/ncp.en.html/)

FP7 Helpdesk:

[www.eu.europa.eu/research/enquiries](http://www.eu.europa.eu/research/enquiries)

Enterprise Europe Network:

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

SME service:

[http://ec.europa.eu/research/sme-techweb/index\\_en.cfm](http://ec.europa.eu/research/sme-techweb/index_en.cfm)

Risk-sharing Finance Facility (RSFF):

[http://ec.europa.eu/invest-in-research/funding/funding02\\_en.htm](http://ec.europa.eu/invest-in-research/funding/funding02_en.htm)

#### CIP activities

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

Financial instruments & access to

finance: [http://ec.europa.eu/enterprise/entrepreneurship/financing/index\\_en.htm](http://ec.europa.eu/enterprise/entrepreneurship/financing/index_en.htm)

European Investment Fund (EIF):

<http://www.eif.org>

see also list of financial institutions in your own country:

<http://www.eif.org/portfolio/pinter/index.htm>

Enterprise Europe Network:

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

Executive Agency for Competitive and Innovation (EACI) manages parts of the CIP:

[http://europa.eu/agencies/executive\\_agencies/eaci/index\\_en.htm](http://europa.eu/agencies/executive_agencies/eaci/index_en.htm)

National contacts for the IEE programme:

[http://ec.europa.eu/energy/intelligent/contact/national\\_en.htm](http://ec.europa.eu/energy/intelligent/contact/national_en.htm)

National contacts for the ICT PSP programme:

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

## **Structural Funds**

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

Summaries of operational programmes and financial allocations:

[http://ec.europa.eu/regional\\_policy/atlas2007/fiche\\_index\\_en.htm](http://ec.europa.eu/regional_policy/atlas2007/fiche_index_en.htm)

European Regional Development Fund (ERDF) - Managing authorities:

[http://ec.europa.eu/regional\\_policy/manage/authority/authority\\_en.cfm](http://ec.europa.eu/regional_policy/manage/authority/authority_en.cfm)

European Social Fund (ESF) - Managing authorities:

[http://ec.europa.eu/employment\\_social/esf/index\\_en.htm](http://ec.europa.eu/employment_social/esf/index_en.htm)

**Regional Policy** web-site:

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

Individual links to the some 50 different cross-border and 13 transnational cooperation programmes under the "European territorial cooperation" objectives):

[http://ec.europa.eu/regional\\_policy/atlas2007/crossborder/index\\_en.htm](http://ec.europa.eu/regional_policy/atlas2007/crossborder/index_en.htm)

And

[http://ec.europa.eu/regional\\_policy/atlas2007/transnat/index\\_en.htm](http://ec.europa.eu/regional_policy/atlas2007/transnat/index_en.htm)

INTERACT II Programme to reduce the gap between development levels and living standards among the regions and the extent to which least-favoured regions are lagging behind):

[www.interact-eu.net](http://www.interact-eu.net)

INTERREG IV C (for multi-lateral interregional cooperation of public actors on innovation, knowledge economy, environment and risk prevention issues, including "fast track" networks):

[www.interreg4c.net](http://www.interreg4c.net)

URBACT (exchanges of experience between European cities and the actors, in order to find the most efficient solutions to common problems):  
<http://urbact.eu>

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

Information on Structural Funds' actions in the field of research and innovation: [http://ec.europa.eu/regional\\_policy/themes/research\\_en.htm](http://ec.europa.eu/regional_policy/themes/research_en.htm)

Innovative Actions Programme (2000-2006):  
[http://ec.europa.eu/regional\\_policy/innovation/index\\_en.htm](http://ec.europa.eu/regional_policy/innovation/index_en.htm)

ERIK (European Regions Knowledge-based Innovation Network) for technological innovation, which is led by Toscana and Emilia-Romagna:  
[www.eriknetwork.net](http://www.eriknetwork.net)

IANIS + (Innovative Actions Network for the Information Society) for Information society at the service of regional development:  
[www.ianis.net](http://www.ianis.net)

#### **European Social Fund website:**

[http://ec.europa.eu/employment\\_social/esf/index\\_en.htm](http://ec.europa.eu/employment_social/esf/index_en.htm)

Transnational projects and networks:  
[http://ec.europa.eu/employment\\_social/esf/fields/transnational\\_en.htm](http://ec.europa.eu/employment_social/esf/fields/transnational_en.htm)

EQUAL website:  
[http://ec.europa.eu/employment\\_social/equal/index\\_en.cfm](http://ec.europa.eu/employment_social/equal/index_en.cfm)

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

ERAWATCH provides information on national research policies, structures, programmes and organisations:

<http://cordis.europa.eu/erawatch/>

INNO Policy TrendChart describes and analyses major innovation policy trends at national and regional levels across Europe, including information on programmes:

<http://www.proinno-europe.eu/index.cfm?fuseaction=page.display&topicID=52&parentID=52>

Links to official web-sites of the Member States and regions:

[http://ec.europa.eu/regional\\_policy/country/gateway/index\\_en.cfm](http://ec.europa.eu/regional_policy/country/gateway/index_en.cfm)









European Commission

**PRACTICAL GUIDE TO EU funding opportunities for research, development and innovation**  
**SYNERGIES in funding opportunities between: 7<sup>th</sup> Framework Programme for Research, Competitiveness & Innovation Programme, Structural Funds**

Belgium: EC

2008 — 52 pp. — 21.0 x 29.7 cm

- Are you a researcher with an idea or a vision for a research project?
- Do you need to upgrade the skills or the capacity of your research organisation?
- Are you an entrepreneur who would like to undertake research and innovation activities?
- Are you already engaged in commercial activities arising from R&D and innovation?

There are funding sources available at EU level that can help you realise your plans.

The objective of this guide is to explain them.

