

Opportunities in the European Innovation Council (EIC) Transition Scheme

Innovate UK KTN in collaboration with the UK Research Office (UKRO) and UK National Contact Point from the European Innovation Council, Innovate UK

8th June 2022

Welcome and Housekeeping

Welcome to our EIC Transition Webinar



- Due to the large number of people registered all participants will be muted.
- After testing your speakers, please do remember to connect your audio by using the “Join Audio” icon at the bottom left of the screen or dial in via phone using the number provided in the joining instructions.
- If you have any technical problems, please use the chat to seek advice from the host (Jess Dobbyne).
- Questions and Answers there is a separate Q&A box, any questions please use this function
- Please use the chat function to introduce yourself, please note due to GDPR we cannot share the chat. Capture what you need

PLEASE NOTE – THE WEBINAR IS BEING RECORDED

The recording and slides will be made available via the KTN website



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Agenda

- 10:00** Welcome and Introduction, Aims of the Day,
Dr Jane Watkins, Regional Lead – Europe, Innovate UK KTN
- 10:10** Overview of Horizon Europe
Dr Phil Holliday, UK National Contact Point for European Research Council, UKRO
- 10:20** Introduction to EIC and the EIC Transition
Claire Griffin, UK National Contact Point for European Innovation Council, Innovate UK
- 10:40** Hints and tips on how to make a good proposal
Madalina Nazare, Director of Collaborative Research and Development at Digital Catapult - EIC Jury Member
- 11.00** Case Study: Professor Anna Hine, Aston University
- 11:10** Q&A
- 11:30** Close



UK Research Office
Brussels

Overview of Horizon Europe

Dr Phil Holliday

European Advisor, UK Research Office

phil.holliday@ukro.ac.uk

8 June 2022



About us

We support UK research intensive organisations

- Unique partnership between UKRI and subscribing organisations
- Provide a service to more than 140 subscribing organisations
- A Brussels-based team of advisors
- Part of UKRI's wider International team
- UK National Contact Point for European Research Council and Marie Skłodowska-Curie Actions programmes



UKRO Portal

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- Tailored news articles on EU funding and policy
- Search engine with refiners and tags
- Personalised daily or weekly alerts to your inbox.
- **Factsheets** on Horizon Europe and other funding streams
- **Webinars** on lots of topics about Horizon Europe, how to apply, how to run a project and more.
- **[Click here to find out more](#)**

Have a look at our recently added:

- [Article series on Horizon Europe Novelities](#)
- [ERC webinars](#)
- [MSCA webinars](#)

It's easy to [create your account](#) and set up email updates.



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UK-EU Trade and Cooperation Agreement

UK Participation in Horizon Europe



UK participation in Horizon Europe

On 24 December 2020, the negotiations on the UK-EU Trade and Cooperation Agreement concluded

The [announcement](#) sets out the UK's intention to **associate to Horizon Europe**

This includes **full participation in the programme** (with the exception of the EIC Fund)

UK entities can participate in/coordinate projects and receive funding from Horizon Europe, incl. ERC grants

[European Commission's Q&A](#) confirms **UK eligibility to apply**.

UKRO [website](#) provides latest information on UK participation



UK Research Office
Brussels

UK-EU TRADE AND COOPERATION AGREEMENT

Summary

December 2020

Funding in case of delay

“We welcome the Government’s decision to provide funding to those who have successfully applied to Horizon Europe and will be finalising the processes needed to distribute the funds in the coming weeks.

“We are also working with the Government to prepare for all possible outcomes to ensure the UK’s thriving research and innovation sector has the support it needs to continue collaborating and delivering world-class R&D.

“In the meantime we encourage researchers and innovators across the UK to continue to apply to open Horizon Europe calls.”

- UKRI International Champion Professor Christopher Smith

[UKRI Guidance on Horizon Europe Guarantee](#)



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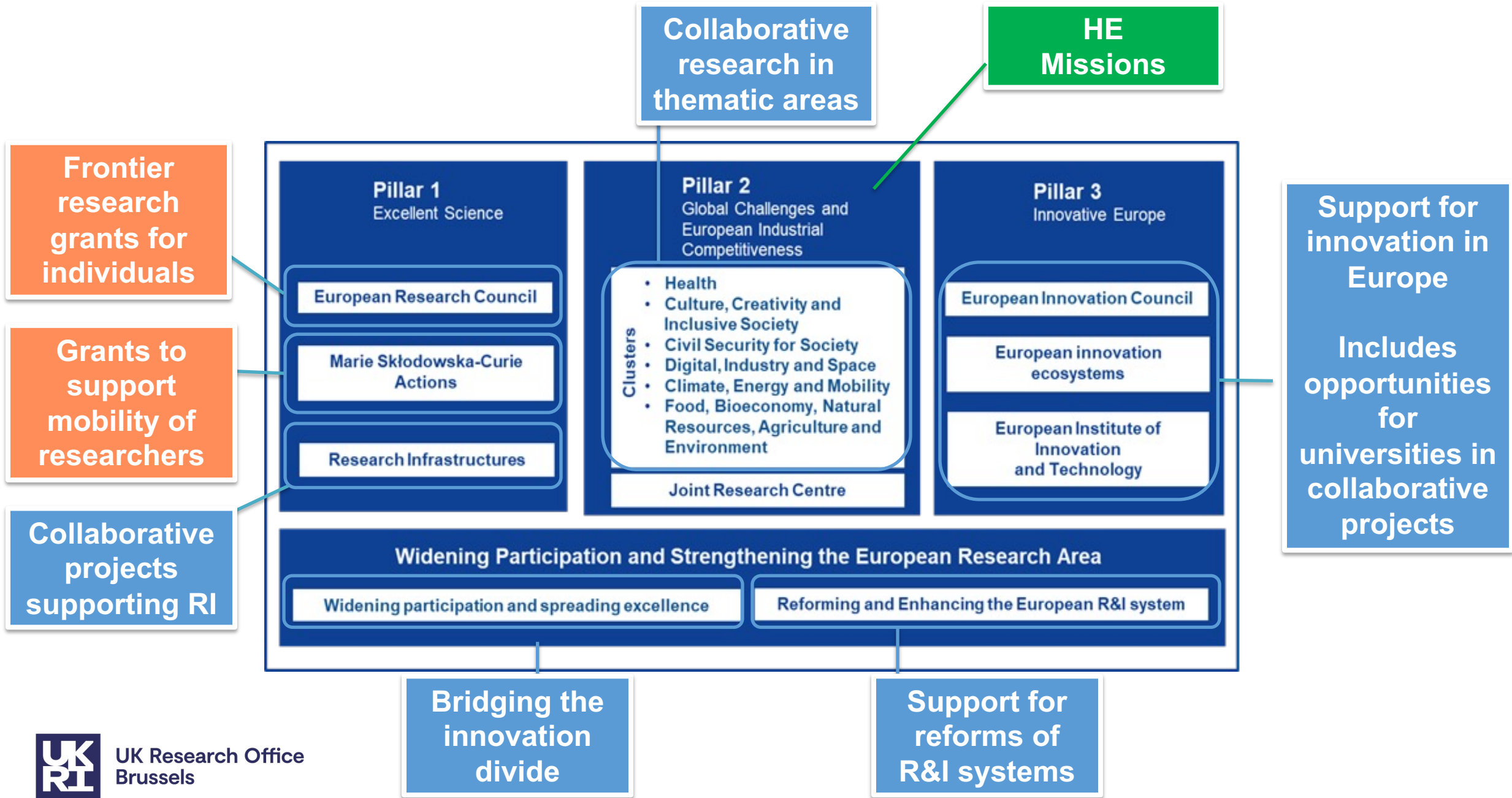
Guarantee Fund
for successful
Horizon Europe
UK applicants to
the first calls

Horizon Europe

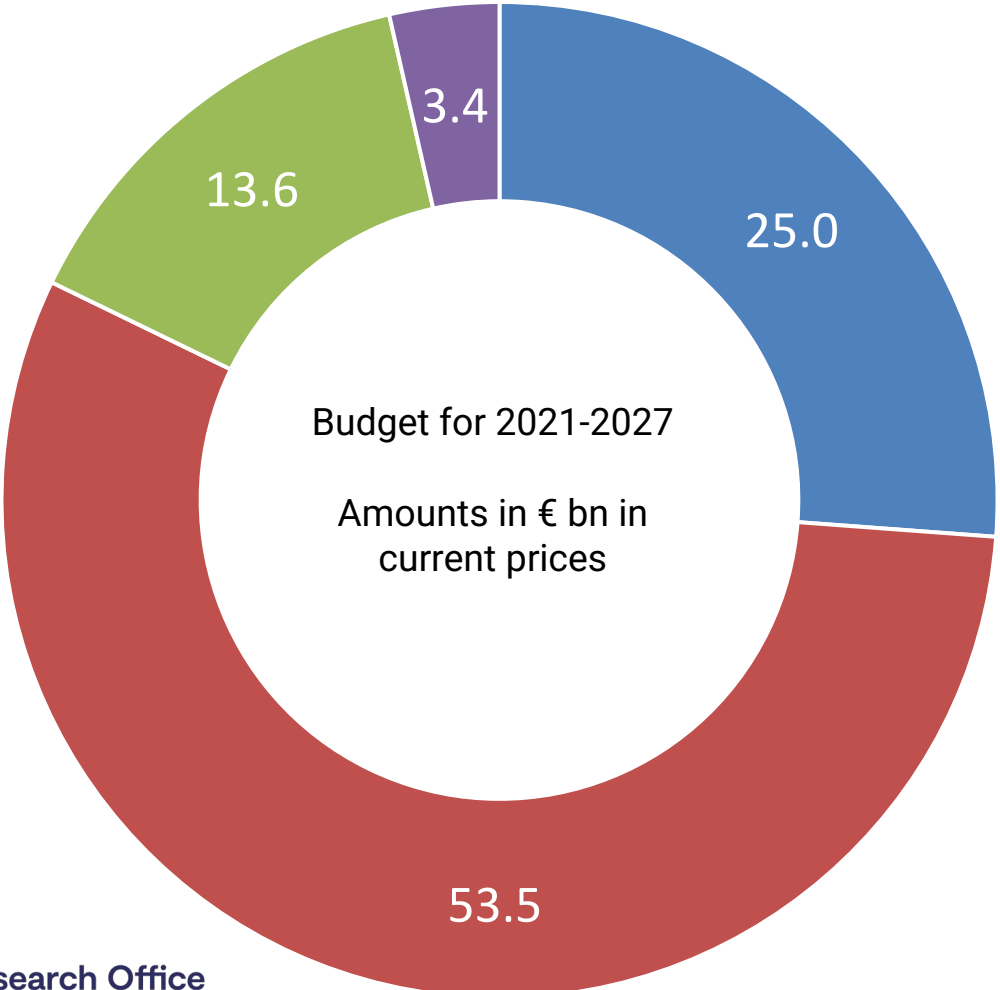
The EU's flagship programme
for research and innovation
running from 2021-2027

Overall budget of €95.5 billion





Horizon Europe – Total budget - €95.5 billion



* Total amount will rise with contributions of Associated Countries

- Pillar I 'Excellent Science'
- Pillar II 'Global Challenges and European Industrial Competitiveness'
- Pillar III 'Innovative Europe'
- Widening Participation & Strengthening the ERA'



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Brussels

Any Questions?



@_UKRO_



UK Research Office (UKRO)





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European Innovation Council Transition

Claire Griffin
UK NCP for EIC

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THE EU RESEARCH & INNOVATION
PROGRAMME 2021 - 2027

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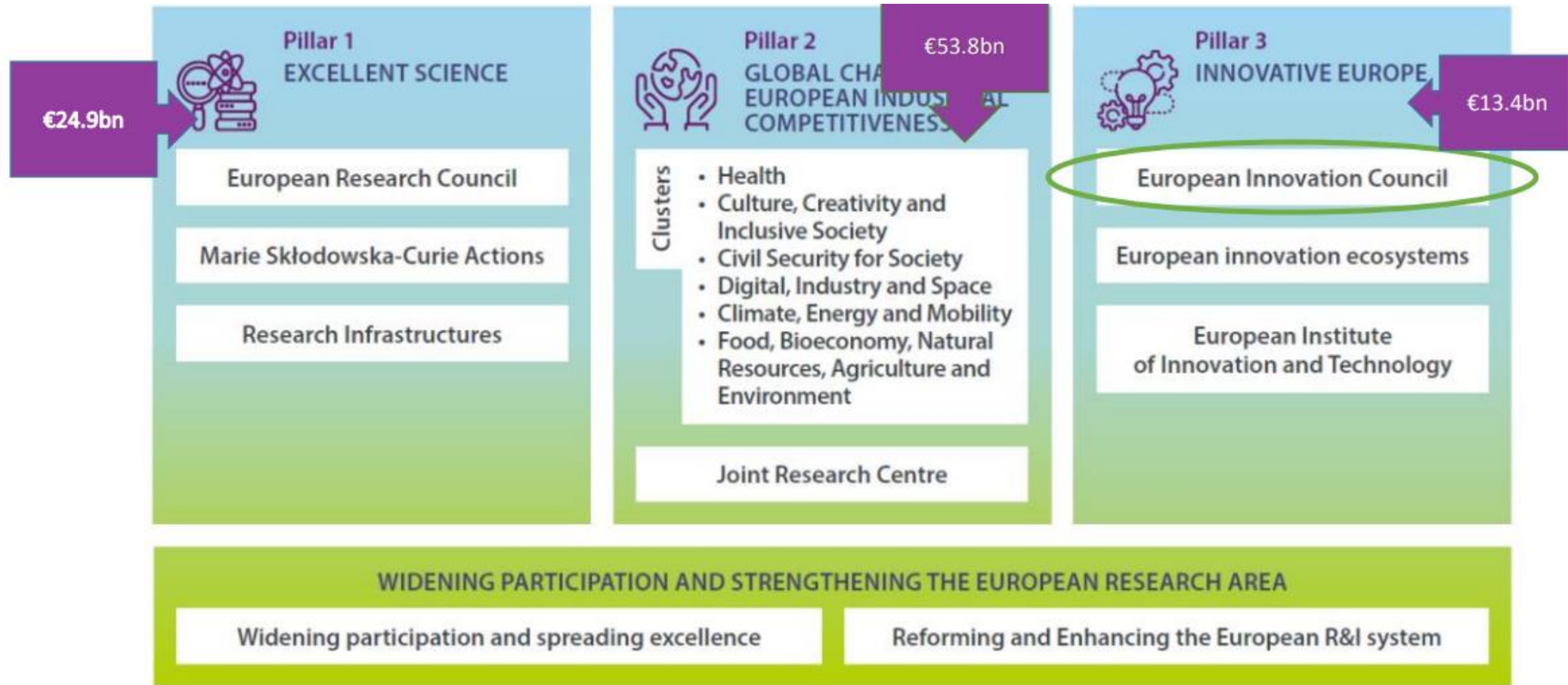
Can UK Participate

- **Yes**
- [EU response](#) – The UK is expected to become an associated country to Horizon Europe. The UK will have the same rights and obligations as other countries associated to the Programme
- [UK response](#) – UK-based applicants can apply – no need to wait until Association is formalised.
- [Guarantee Notice](#) and Guidance

Policy Content - Strategic Plan

- Priorities of the [Horizon Europe Strategic Plan](#) (2021 to 2024) have to be taken into consideration
 1. Promoting an open strategic autonomy by leading the development of key digital, enabling and emerging technologies, sectors and value chains
 2. Restoring Europe's ecosystems and biodiversity, and managing sustainably natural resources
 3. Making Europe the first digitally enabled circular, climate neutral and sustainable economy
 4. Creating a more resilient, inclusive and democratic European Society

Horizon Europe Structure



European Innovation Council (EIC)	European Innovation Ecosystems	European Institute of Innovation and Technology (EIT)
Support to innovations with breakthrough and market creating potential	Connecting with regional national actors	Bringing key actors (research, education and business) together around a common goal for nurturing innovation
€10.1 billion	€520 million	€2.9 billion

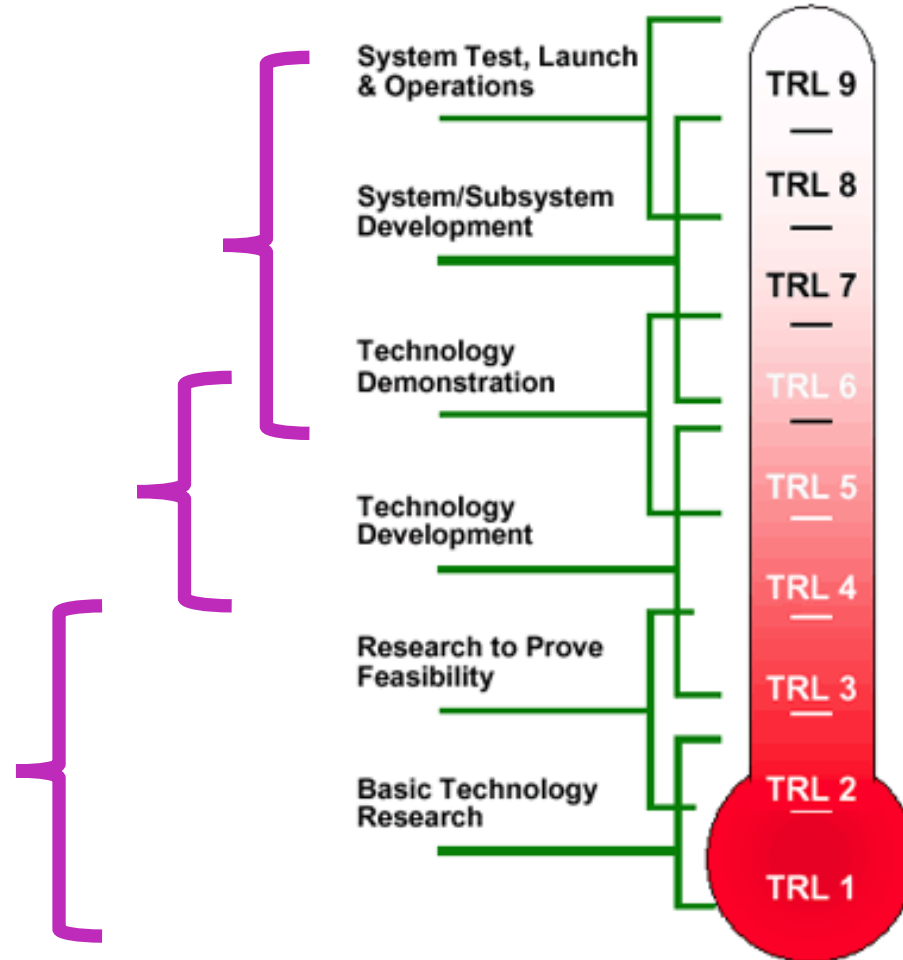
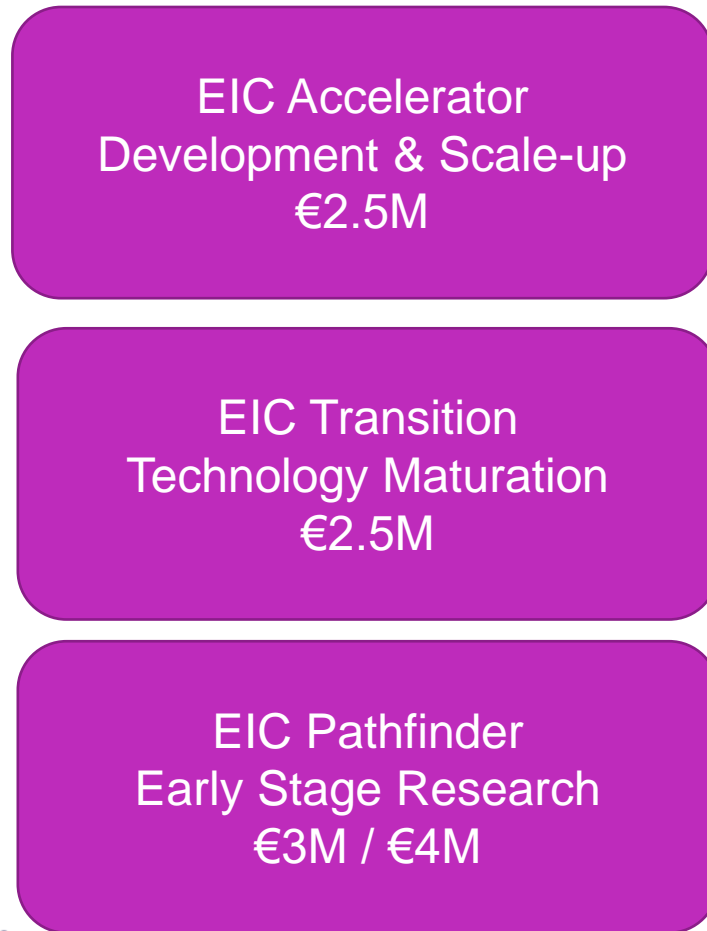
European Innovation Council (EIC)

- Europe's flagship innovation programme to identify, develop and scale-up breakthrough technologies and game changing innovations.
- Annual Work Programme (2021, 2022)
- €1.7 Billion in 2022
- Unique feature – provides funding for individual companies (Start-ups and SMEs)

EIC Main characteristics

- Identify, develop and deploy high risk innovations of all kinds
- From Idea to Market
- Focus on breakthrough, market-creating, deep-tech
- Steered by EIC Board of leading innovators (entrepreneurs, investors, researchers, ecosystems)
- Business Acceleration Services (coaches/mentors, corporates, investors, ecosystem)
- Pro-active management (roadmaps, reviews, reorientations, etc) with EIC Programme Managers
- Follow-up funding for results from Horizon (e.g. ERC, EIT)

Main funding instruments



EIC - Open or Challenges

Open

- Bottom-up.
- Any field of science, technology or application without predefined thematic priorities

Challenges

- Top-down, challenge driven, portfolios of project approach.
- To support proposals within a predefined thematic area and addressing specific objectives



HORIZON EUROPE

THE EU RESEARCH &
INNOVATION PROGRAMME
2021 - 2027

#HorizonEU



EUROPEAN UNION

EIC Transition

EIC Transition – need for activities

- Europe is good at generating ideas and visions of breakthrough tech
- Not successful at pushing these ideas into concrete innovations
- EIC here to help- with this paradox
- Transition fills gap between Pathfinder and Accelerator
- Open and Challenges

What is EIC Transition

- Funds innovation activities that go beyond the experimental proof of principle in laboratory to support both:
 - The maturation and validation of your novel technology in the lab and in relevant application environments
 - The development of a business case and business model towards the innovations future commercialisation
- EIC Transition project should address both technology and market/business development
 - Maybe include customer feedback

Expected outcomes

- A technology that is demonstrated to be effective for its intended application (TRL 5/6)
- A business model, its initial validation and a business plan for its development to market
- This can be an application to the EIC Accelerator

- Grants of up to 2.5M€ are available

European Innovation Council Transition Challenges & Open

Successful proposals | Deadline 22 September 2021



29

PROJECTS CHOSEN FOR OPEN CALL



13

PROJECTS CHOSEN FOR CHALLENGES CALL

9 Medical Technology and Devices;
4 Energy harvesting and storage
technologies

European
Innovation
Council



292

TOTAL PROPOSALS SUBMITTED



€99M

TOTAL EU CONTRIBUTION



24

COUNTRIES



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EIC Transition

Right call for you?

- Is this novel technology ready for the next steps
- Have you performed early market/ competition explorations
- Diverse and motivated team for commercialisation

If yes,

Transition may be right call

Plus - TRL3/5



EIC Transition and Challenges

Why EIC transition?

Supports the maturation and validation of novel technologies beyond proof of principle (TRL 5-6) and business activities towards commercialisation

The Open funding supports all technologies and innovations

Challenges: predefined thematic priorities aiming to establish portfolios of projects

Who can apply ?

H2020 FET schemes and EIC pilot

ERA NET call - FET (CHISTERA, QUANTERA, FLAGERA)

ERC PoC projects

Financial contribution

Max EUR 2.5 m €

Booster grants up to EUR 50k to undertake portfolio activities

Who can apply?

- Single applicants (**SMEs, spin-offs, start-ups**, research organisations, universities) or
- Small consortia – larger companies (Max 5 partners)
- Restricted to results generated by the following [eligible projects](#)*
 - EIC Pathfinder Projects (EIC Pilot Pathfinder, Horizon 2020 FET-Open, FET-Proactive, FET Flagships)
 - ERANETs under FET Programme (ChistERA, quantERA and FLAG-ERA)
 - European Research Council (ERC) Proof of Concept Projects
- **Need to demonstrate that are owner of IPR**
 - Or have necessary rights to commercialise results from eligible project

• MONOBENEFICIARIES

- SMEs – **no larger companies**
- Research Organisations (universities, research or technology organisation, teams, individual PI and inventors)

• MULTIBENEFICIARIES

- Small consortia 2 to max. 5 legal entities: universities, research organisations, SMEs or **larger companies**, user/customer organisations (public authorities, industry)

EIC Transition Call 2022 cut-offs

- **Total budget: 130M€**
 - Open: 70M€
 - Challenge 1: 30M€
 - Challenge 2 & 3: 15M€ + 15M€
- **1st cut-off Open and Challenges: 4th May**
 - Interviews planned for 2nd week of July
 - Results: last week of July
- **2nd cut-off Open and Challenges: 28th September**
 - Interview: planned for 1st week of December
 - Results : be end of 2022
- Part B, sections 1 to 3 max 20 A4 pages including cover

Pay attention to consortium composition

- 2 Beneficiaries
- 2 **different** countries

- 2 independent legal entities from two different Member States or Associated Countries

- 3 Beneficiaries
- 3 **different** countries

- 3 independent legal entities from three different Member States or Associated Countries (of which at least 1 Member state)

- 4 or 5 Beneficiaries
- Min 3 **different** countries

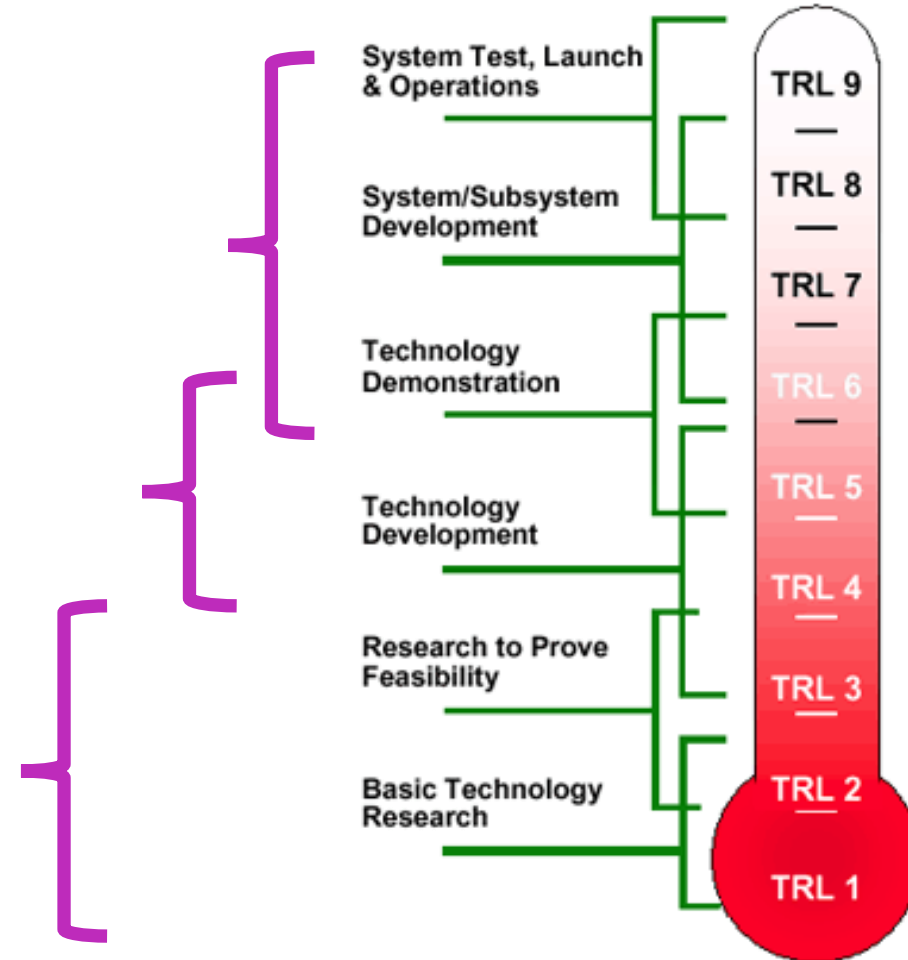
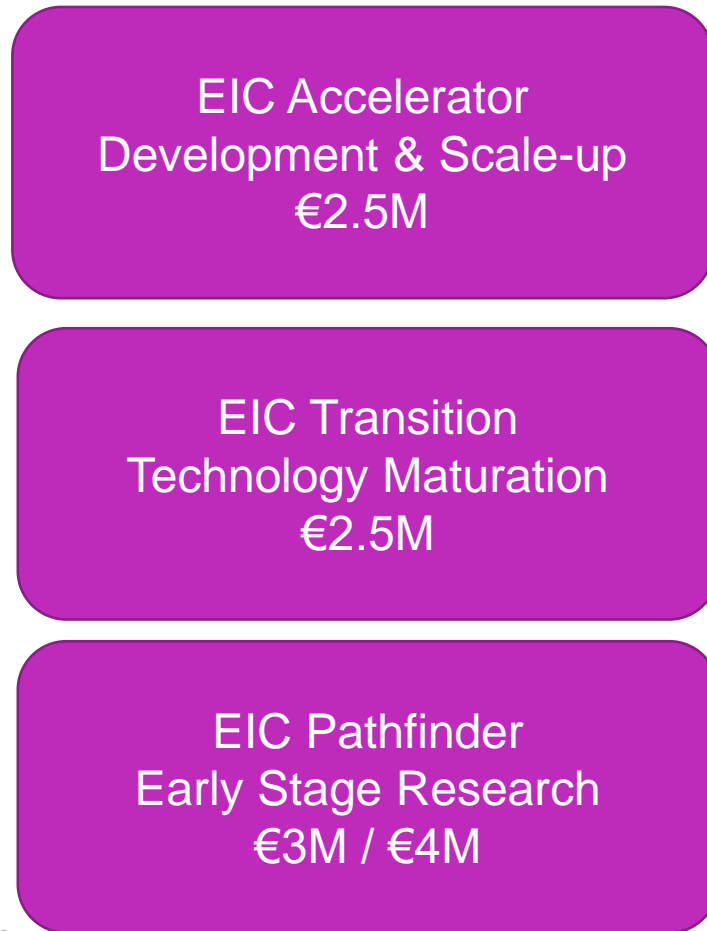
- minimum 3 independent legal entities from minimum 3 different Member States or Associated Countries (of which at least 1 Member State)

EIC Transition supports different pathways

- Transition to technology
 - To advance research up to TRL 5/6
 - Mainly strategic technologies that need more time to mature while improving market readiness levels
- Transition to Market
 - Project led by an SME/ Start-up with interest in the results as a single partner or in a small collaboration.
 - Goal to mature both technology and market readiness
- Transition to Entrepreneurship
 - 'Side results' with higher TRL
 - Quickly commercialised with right seed funding



Main funding instruments



EIC Transition Open

- Projects in any field of science or technology
- Majority of budget will be awarded through open calls with no predefined thematic priorities
- Designed to enable support for any technologies and innovations that cut across different scientific, technological, sectoral and application fields or represent novel combinations.

EIC Transition Challenges 2022

- 3 challenges in 2022
- Green digital devices for the future
- Process and system integration of clean energy technologies
- RNA-based therapies and diagnostics for complex or rare genetic diseases

Green digital devices for the Future

- Focus on novel digital devices or/and architectures aiming at solving issues related to energy efficiency, use of non-critical and non-toxic raw materials. Proposals should ensure a circular approach and/or a high degree of recyclability, while maintaining or even improving on performance and miniaturisation

Process and system integration of clean energy technologies

- developing energy system technologies,
- integrating a combination of at least one technology resulting from an eligible project in a system or complex process comprising the elements of energy production or conversion, storage, including renewable fuels, and / or final use.

RNA-based therapies and diagnostics for complex or rare genetic diseases

- target RNA-based technologies enabling safe and effective delivery methods for accurate diagnostics and therapies of complex or rare genetic diseases.

2022 focus

- Stronger focus on maturity, preliminary business analysis and team creation
- Applicants must provide convincing answer to:
 - Is this novel technology (TRL $\frac{3}{4}$) ready for the next steps towards its maturation and validation in some specific applications
 - Have you performed early exploration of potential markets for your innovation as well as potential competitors
 - Do you envisage building a motivated and diverse team to develop the idea towards commercialisation.

Deviations need to be justified

- Budget: 2.5M€ standard maximum budget
- Duration: 36 months standard max duration
- Early Start of the project after grant signature (if successful)

• higher amounts and longer durations should be an **exception** and very convincingly justified

Evaluation of proposals – part 1

- First remote evaluation by experts
 - Minimum of 3 evaluators
 - Average of individual scores per criteria
 - Overall score – sum of the three averages

Evaluation of proposals – part 2

- **Invited to face-2-face interview**
 - 2x available budget
 - Only bring people mentioned in proposal
 - Jury max 6 members (plus programme manager / observer)
 - Pitch proposal and clarifying questions
 - Recommends Go/No Go – feedback 17 weeks after call deadline
 - Grant agreement 6 months from call closing
- If you are invited to interview – please reach out
 - Claire.griffin@iuk.ukri.org
 - InnovateUKEDGE - [Innovate UK EDGE \(ukri.org\)](https://ukri.org)

Evaluation Criteria

- Thresholds out of 5
 - Excellence - 4
 - Impact - 4
 - Quality and efficiency of the implementation - 3

Transition Interviews

- 11-15 July (May cut-off)
- 5-9 December (September cut-off)
- Priority for interview phase for women-led projects
 - Women-led companies or 50% work package leaders
- Results
 - 4th May – last week of July
 - 28th September – last week of year

Funded in Transition – can also....

- Booster Grant up to 50K to undertake portfolio activities
 - Max 1 ad hoc grant per project
- Submit EIC Accelerator via Fast-track Scheme
- Apply to Tech2Market Acceleration and Business Acceleration Services (BAS)

Seal of Excellence

- Individual SME* applicant invited to the interview and **not selected** for funding will be awarded 'Seal of Excellence'
- Applicants awarded the 'Seal of Excellence' will have access to **EIC Business Accelerator Services** and support to other sources of funding.
- Only awarded to those applicants who give consent to sharing the data about their application with other eligible funding bodies.



EIC Business Acceleration Services

- Accelerate EIC innovations and growth of EIC companies
- Tailor-made service to meet needs of our clients
- All EIC Beneficiaries: including Seal of Excellence
- Activate partners all around Europe



UK Association to Horizon Europe

- [R&D Roadmap](#) p43
 - Ambition to fully Associate
- Preference to Associate
- Priority to support UK's research and development sector

Guarantee notice and guidance

- [Horizon Europe guarantee notice and guidance – UKRI](#)
- Short term measure to address delays in UK's association to Horizon Europe
- Can't sign Grant Agreement if Association is not formalised by this time
- Different requirements for multi-beneficiary and mono-beneficiary – please read the text
- Lifetime of the grant – Subject to UKRI T&C
- List of calls in Annex
- EUgrantsFunding@ukri.org



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Thank you

Claire Griffin

Claire.griffin@iuk.ukri.org

[@UK_EIC_NCP](https://twitter.com/UK_EIC_NCP)



Twitter: @InnovateUK

Facebook: Innovate UK

YouTube: Innovate UK



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Hints and Tips for a Good Proposal

Claire Griffin
UK NCP for EIC

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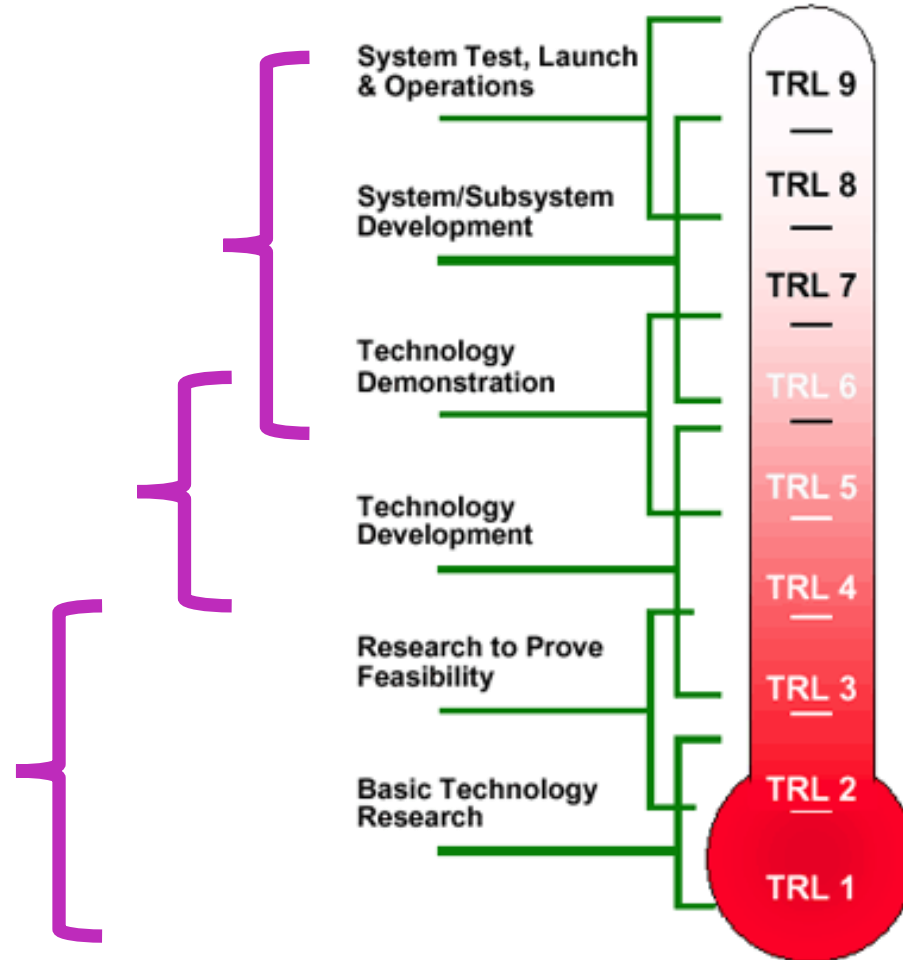
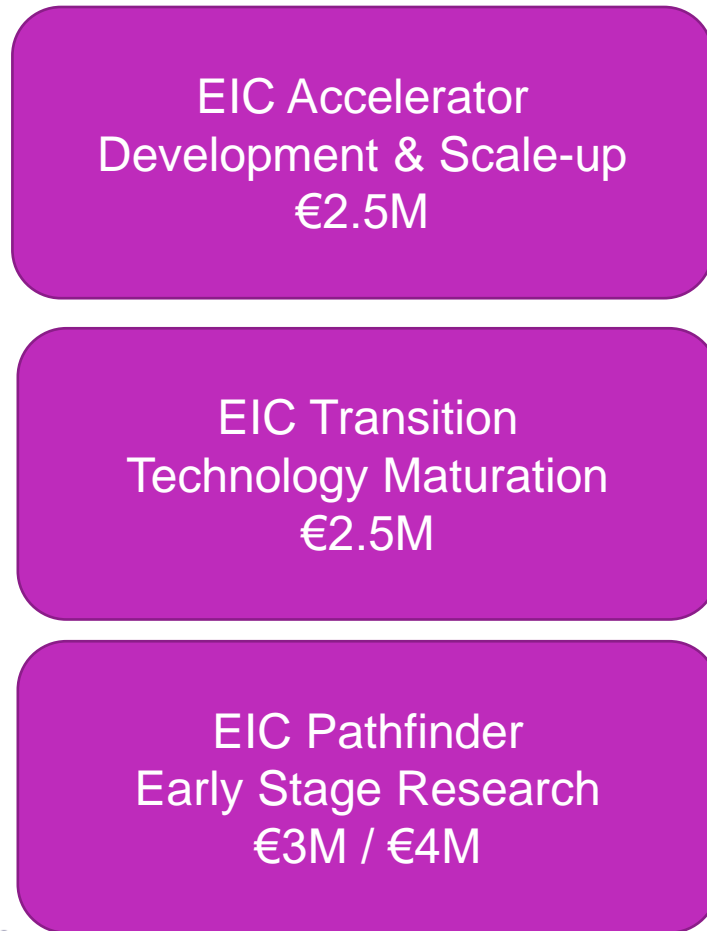


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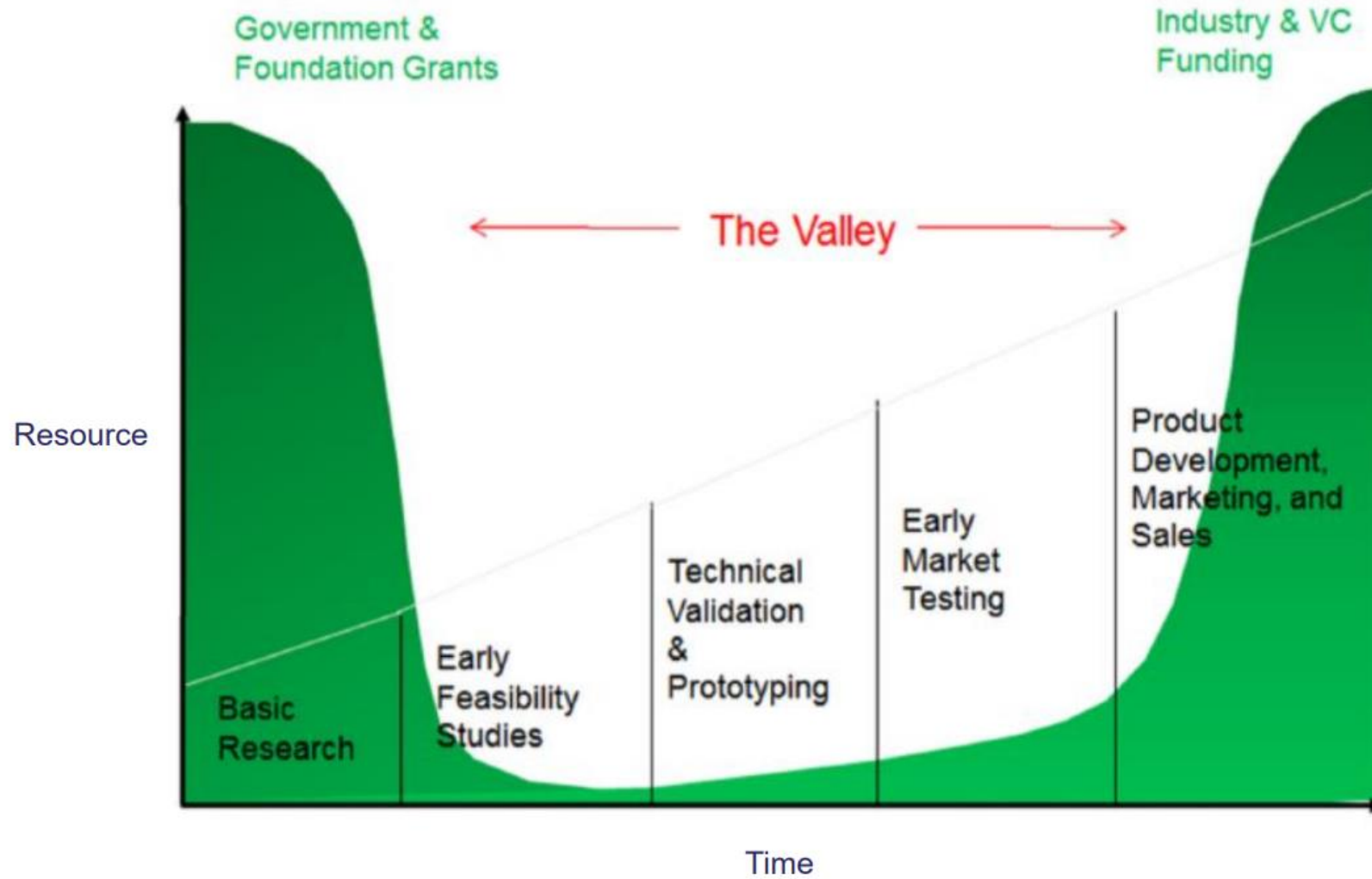
Main funding instruments



Why commercialise research?

- Raises profile of the research
- Builds networks
- Flow of productive knowledge
- Ensure societal benefit
- Stimulates the economy

The valley of death



Lessons from previous applicants

- TRL
 - Not lower than 3
 - 4 is preferred as to avoid surprise technological risks
- Business Validation
 - Preliminary and Business market exploration must be integral part of the proposal
 - Business model validation and planning next steps is equally important to the technology development and can't be delegated

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Weakness and Strength

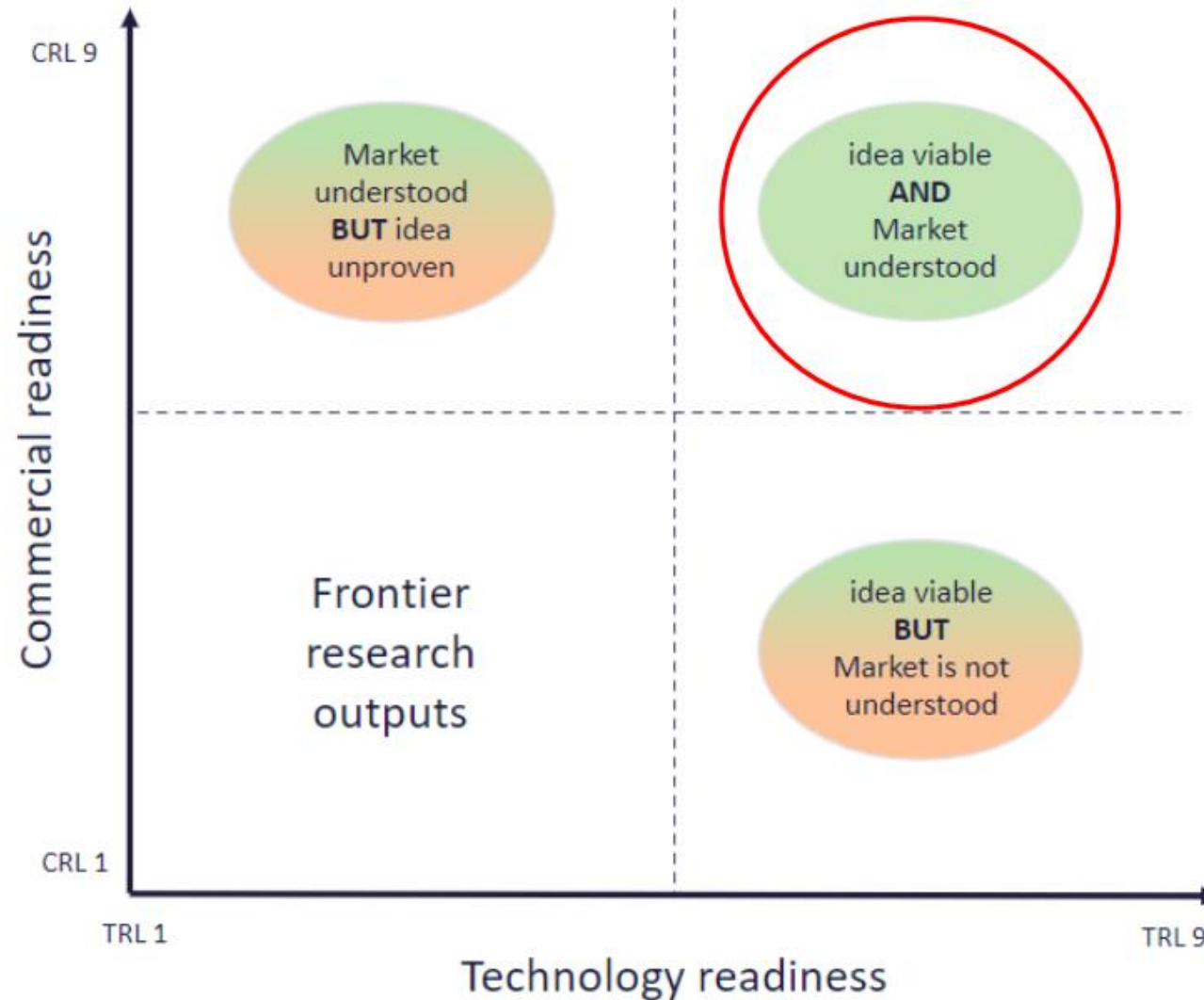
Weakness

- The lack of understanding of the market / competition
- 74% of the NoGo

Strengths

- Novelty / disruptiveness of the innovation
- The team

Commercial Readiness



Excellence (Threshold: 4/5)

Technological breakthrough: Does the technology have a high degree of novelty compared to other technologies available or in development? Does the technology indicate the potential for novel application?

Objectives: How credible and feasible are the objectives (and KPIs) for the planned technology development? How credible and feasible are the objective (and KPIs) for the planned business development process?

Methodology: Is the proposed methodology appropriate and sound, including consideration of the gender dimension in the envisaged application? To what extent will potential users, customers or other stakeholders be involved to test potential demand and acceptability? Is the technology developed in a safe, secure and reliable manner?

Excellence

- Describe technological breakthrough compared to ‘State of the Art’
 - High degree of novelty compared to other technologies available
 - Detail how this novelty creates the potential for new applications and functionalities
- Illustrate technology feasibility
 - Discuss your starting TRL and how the results of the technology demonstration and/or validation so far indicate the potential for application
- Describe the objectives in detail
 - Discuss potential applications being identified and clarify why they are plausible
 - Describe the appropriateness of the objectives for the planned technology development and validation of the innovation in relevant application environments.

Impact (Threshold: 4/5)

Credibility of the impacts: To what extent the expected outcomes and impacts described are credible and realistic within the project and beyond? For EIC Transition Challenges ONLY: To what extent the proposed application has the potential to impact on the specific objectives set out in the Challenge?

Economic and/or societal benefits: To what extent does the proposed innovation creates substantial demand and new European or global markets? To what extent is the proposed innovation expected to generate other positive impacts (employment, societal, environmental, scientific, etc.)?

Investment readiness: To what extent the proposed measures contribute to make the project outcomes investment ready (including through IP protection, partnership or market validation)?

Impact

- Describe the different types of impact
 - Develop business model and product features
 - Address IPR, regulation, certification and standardisation
- Business and market fit dimensions
- Discuss economic and societal benefits
- Do not forget the future team
- Entrepreneurship is the key
- Partnerships and Investment readiness

What is written evidence of IPR?

- Proposals must include confirmation are the IPR owner or holder, or have the necessary rights to commercialise the results of the project as described in the proposal
- Applicants that are not the owner of the results to be further developed must provide a commitment letter from the relevant owners of the result(s) to negotiate with you a fair, reasonable and non-discriminatory access to such results, for the purposes of future commercial exploitation

Quality and efficiency of the implementation (Threshold 3/5)

Quality and motivation of the team: To what extent do the applicant(s) bring the necessary high-quality expertise, capabilities and motivation to move decisively towards innovation, create a unique commercial value from the emerging technology and develop an attractive business and investment proposition?

Milestones and Work plan: Are milestones adequately and clearly defined (measurable, timed, etc.) to track progress along the pathway towards objectives? How coherent and effective are the work plan (work packages, tasks, deliverables, timeline, etc.), the innovation methods and the risk mitigation methods, in order to reach the milestones and to achieve the project objectives?

Allocation of resources: How appropriate and effective is the allocation of resources (person-months and equipment) to tasks and partners?

Implementation

- Quality of the team is an asset
 - Expertise they bring
 - Develop an attractive business and investment proposition
- Build a clear timeline, milestones and work plan
 - Describe the pathway towards deployment
 - Define milestones
 - Resource allocation

Consortia

- Composition needs to reflect different challenges in the activities e.g.
 - By including a SME in a driving role
 - Tech transfer offices,
 - business expertise
 - Clients or users

Interview preparation

- Reach out to your NCP or InnovateUKEDGE who can help you prepare
 - Mock interview with typical questions
 - Claire.griffin@iuk.ukri.org
 - [Innovate UK EDGE \(ukri.org\)](https://ukri.org)

Feedback from the Jury Members

- Applicants must provide clarity on aspects related to:
 - Technical milestones
 - IPR ownership
 - Budget and allocation of resources
 - Technical and business risks
 - Actual and expected TRLs
 - Interdependence of work packages and tasks
 - The future exploiting team
 - The credibility of the business objectives.

Conclusions

- Understand the market!
- Honestly answer all of the **3 guiding questions**
- Pay attention to you motivation
- Pay attention to the minimum maturity of your technology (TRL 3 but TRL 4 is better)
- Work in parallel to both technological and business maturation
- Winning team with dual competences
- Be ready to start project immediately
- If successful make use of the Business Acceleration Services



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Thank you

Claire Griffin

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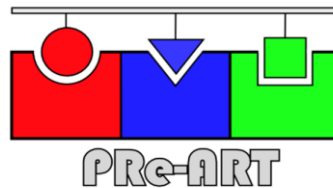
EIC Transition Case Study **PRe-ART-2T**

Anna Hine

Associate Dean, Knowledge Exchange & Impact
Aston University

To Apply for an EIC Transition award.....

- You need to have been awarded under the previous stage of funding
e.g. H2020 FET-OPEN
Horizon Europe EIC Pathfinder
- I was part of a previous FET-OPEN consortium, PRe-ART
Predictive **R**eagent **A**ntibody **R**eplacement **T**echnology
Led by the University of Zurich



University of
Zurich^{UZH}



Aston University



UNIVERSITÄT
BAYREUTH

Stage of Application

- We had approximately 8 months left to run (Sept 2021) in our FET-OPEN project
- We had achieved / completed all of our milestones
- Aside from those delayed by COVID19 (involving external face-to-face meetings) we had reported on all deliverables on time and had already scheduled any such delayed events.
- We had received very good feedback from a recent expert review panel

Application content

- The same 3 partners



University of
Zurich ^{UZH}

Aston University



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BAYREUTH

- Aston lead (owing to Switzerland's 3rd country status)
- 3 main objectives:
 - Technology completion (WPs 1&2)
 - Prototype Assembly and testing (WP3)
 - Develop a convincing case for VC investment (WPs 4&5)
- Plus 2 required WPs of dissemination/exploitation & management

In other words.....

WP1 }
WP2 } **Science**

WP3 Prototype assembly and }
testing with end users } **50 / 50**
Science / Business

WP4 Business analysis }
WP5 Business strategy development } **Business**
planning

Plus.....

- Engagement of two named business end users
 - to test prototypes in industrial environments
- A business development manager (0.1 FTE, costed into the grant)
- A USA venture capitalist advisor (pro-bono)
- A firm of German patent lawyers (funded by University of Zurich)
- Existing entrepreneurial experience of 2/3 PIs + 1 PDRA
- Business training incorporated for the 3rd PI and other 5 PDRAs
- and.... inclusion of positive quotes from our expert assessors of the preceding project 😊

And Finally.....

Pre-ART-2T

Predictive **R**eagent **A**ntibody **R**eplacement **T**echnology Stage **2** – **T**ranslation

Started on 1st June 2022

If time allows,
I'm very happy to take questions!