

Deadline for the 2nd Aeronautics Call: 7 May 2008! See page 8 for details.

The AeroSME Guide

to the European Commission's Funding for SMEs

The brochure is aimed at Small and Medium-sized Enterprises (SMEs) in the Aeronautics sector. It presents basic information for those enterprises interested in the **European Research and Technology Projects of the 7th Framework Programme**.

Readers interested in more details should visit the web addresses provided at the bottom of each page. Since dates, guidelines, work programmes, etc., are subject to updates, it is strongly recommended to visit the respective internet sites before embarking on a project.

For more information on support and funding opportunities for aeronautics SMEs please contact the AeroSME Helpdesk at www.aerosme.com. Contact details are given on the last page of this document.

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30 November 2007

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Whilst every effort has been made to ensure that the information provided is accurate, it does not constitute legal or other professional advice.

Please note: ASD cannot be held responsible for the contents of any pages referenced by an external internet link.



AeroSME – Support for SMEs

AeroSME provides support to aeronautical Small and Medium-sized Enterprises in Europe

AeroSME has supported the participation of Small and Medium-sized Enterprises (SMEs) in the EU Framework Programme since 1998. Its major objective is the participation and/or leadership of SMEs in aeronautics projects of the European Commission.

AeroSME is a joint project of the European Commission and ASD, the AeroSpace and Defence Industries Association of Europe. The project supports the competitiveness of the European aeronautics supply chain, therefore promoting the sustainable development of jobs and knowledge in aeronautics.

AeroSME has been set up to facilitate co-operation among SMEs, between SMEs and large companies and with the European Commission. Since its creation AeroSME has been a central point of contact, for information and support for all research and technology related matters concerning small and medium sized enterprises with up to about 500 employees.

The services are free of charge to all interested aeronautical SMEs in Europe regardless of any membership in the ASD partner organisations. AeroSME serves SMEs in the 25 Member States of the European Union, plus Bulgaria, Croatia, Iceland, Israel, Norway, Romania, Switzerland and Turkey.



One of the main features of AeroSME is the SME

database, aimed at supporting SMEs in finding partners both for European research and technology development (RTD) projects and joint commercial activities. The database is accessible at www.aerosme.com. It contains RTD relevant data and product information on several hundreds aeronautical companies and organisations. The registration is free of charge. Please use the AeroSME on-line Registration Form or contact the AeroSME Helpdesk.

The AeroSME helpdesk informs and assists SMEs in addressing issues related to the 7th Framework Programme, and facilitates networking activities. Furthermore, it provides individual help and guidance for small enterprises on how to set up or how to join a funded RTD project. Our technical consultant will give advice on the chances for success of your project ideas, on how to find partners and if necessary he can guide you in writing the proposal.

The AeroSME Newsletter is issued regularly and provides SMEs with information on EU funded RTD project opportunities, AeroSME activities, other European Union initiatives and events. In order to support the building of project consortia, an R&D Project Flash containing detailed information on proposals is electronically distributed to all enterprises registered with AeroSME. You may subscribe on-line to the Newsletter and/or the R&D Project Flash.

AeroSME organises workshops in many European countries to raise SMEs' awareness on EU funded RTD project opportunities and aeronautical supply chain issues. Representatives of the European Commission and the aeronautics industry report in these workshops about the latest developments in the aeronautics sector. The date and place of each workshop is published in the AeroSME Newsletter.

References:

AeroSME Homepage: http://www.aerosme.com

AeroSME helpdesk: http://www.aerosme.com/html/contacts0.asp

Database: http://www.aerosme.com/html/pps0.asp

Registration Form: http://www.aerosme.com/html/pps2.asp
AeroSME News page: http://www.aerosme.com/news/default.asp



EU funding - A chance for you

Why should you participate in an European technology project?

Research projects co-funded by the European Commission present the opportunity to co-operate at an international level, working together with foreign and national partners at a relatively low degree of commercial and economic risk while jointly developing new technologies and preparing new products.

Participation in an European technology project will definitely benefit your enterprise if you have a clearly defined research and technology strategy, which includes one or more of the following issues:

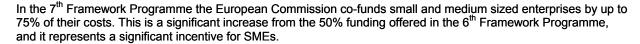
- developing new technologies, services and products,
- sharing the risk of research and technology development work with competent partners,
- strengthening the relationship with your customer(s) by getting high visibility and reputation,
- accumulating experience in international projects,
- finding partners for future joint ventures.

A general overview on all past and present European funded technology projects including their participants are provided in the CORDIS project database of the European Commission.

97% of the Small and Medium sized Enterprises (SMEs) consider their participation in an European research project worthwhile and hence would do it again if the project fits their organisation's research and technology strategy. The innovative know-how acquired and the experience gained in international collaboration is the prime benefits claimed. This is the result of a survey performed by AeroSME on the 6th Framework Programme's aeronautics projects. Learning about the needs of the customer and the chance to become a future supplier are other important reasons given by SMEs for their participation as partners.

Projects coordinated by a SME will receive particular attention in the evaluation procedure as applied by the European Commission. A dedicated

group of experts pay attention to the specific requirements of aeronautical SMEs as compared to larger companies. This guarantees that SME coordinated projected proposals are fairly treated.



For successful participation in technology projects, sufficient technical capabilities as well as financial and personnel resources are mandatory prerequisites. The smaller the enterprise the more difficult it is to join a project consortium. In aeronautics two thirds of the participating SMEs have less than 50 employees. When applying for participation in an European Technology project a potential partner should be prepared to answer questions such as:

- Are you prepared to spend up to 5,000 Euro or more for the preparation of a proposal?
- Are you prepared to contribute 25,000 Euro or more as your share in the project?
- Can you guarantee your participation in an RTD programme which may last 3 to 4 years?
- Are you prepared to sign a standard consortium agreement?

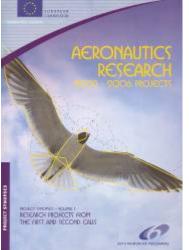
Many SMEs are afraid of losing existing knowledge and expertise to other partners in the project. This situation is well known. However, the way the intellectual property is protected is defined in the consortium agreement, which each consortium has to prepare and sign. The European Helpdesk on Intellectual Property provides detailed information and free of charge support on IPR issues.

References:

Aeronautics project database: http://ec.europa.eu/research/transport/projects/search_en.cfm CORDIS project database: http://cordis.europa.eu/fp6/projects.htm

Helpdesk on Intellectual Property: http://cordis.europa.eu/rpo/projects.ntm

A FP7 standard consortium agreement will be available at www.aerosme.com at the beginning of 2007





7th Framework Programme (1)

Which funding is available and which work is supported in FP7?

The 7th Framework Programme stretches over 7 years, from 2007 to 2013. The total budget is 54.4 billion Euro with 4.19 billion Euro being reserved for the Transport priority, including aeronautics.

Research and technology development work is generally funded 50 percent of the partner's costs. However, **up to 75 percent of funding is available to small and medium-sized enterprises**, universities and government facilities. Training and Management Activities are funded 100 percent.

The objective of the aeronautics part of the 7th Framework Programme (FP7) is to develop integrated, "greener" and "smarter" transport systems for the benefit of the citizen and society while respecting environment and natural resources.

Under the aeronautics workprogramme, technologies targeting the following areas are funded:

- The greening of air transport
- Increasing time efficiency
- Ensuring customer satisfaction and safety
- Improving cost efficiency
- Protection of aircraft and passengers
- Pioneering the air transport of the future

However, based on the number of research proposals received the Commission may temporarily exclude certain topics from funding. It is therefore highly recommended to always consult the actual workprogramme as published with the respective call before preparing a proposal or to call the AeroSME helpdesk for information on the actual topics funded.

The Calls for the Transport sector, which includes aeronautics, is usually published towards the end of the calendar year with the proposal delivery

date being set somewhere between March and early May of the following year allowing 3 to 5 month for the preparation of the proposals. This period of time is usually not enough to prepare and write a complete proposal. At least 6 month should be reserved to find partners, fine tune the project's strategy and write the proposal. Day and hour of the deadline as set by the Commission for the respective Call have to be strictly respected.

European Commission is assigning particular importance on the industrial use of research results. Project ideas with a close relationship to the market and a clear exploitation strategy will therefore have better chances for being funded. It is recommended to get professional advice on the eligibility of your project idea. The AeroSME helpdesk is offering support in evaluating your project idea. In certain cases it may also reasonable to get direct advice from the European Commission.

Documents on the rules of participation and financial guidelines are available on the websites of the European Commission which are listed at the bottom of this page.

References:

FP7 Home page of the European Commission: http://cordis.europa.eu/fp7/home_en.html
Aeronautics workprogramme for the 2nd Call in FP7:

http://cordis.europa.eu/fp7/dc/index.cfm?fuseaction=UserSite.CooperationDetailsCallPage&call_id=79

Find a Call: http://cordis.europa.eu/fp7/calls_en.html

FP7 rules of participation: http://cordis.europa.eu/fp7/participate en.html

FP7 Financial Guidelines: ftp://ftp.cordis.europa.eu/pub/fp7/docs/financialguide_en.pdf

Register to become an expert / evaluator: https://cordis.europa.eu/emmfp7/index.cfm?fuseaction=wel.welcome

WORK PROGRAMME 2008

Cooperation

THEME 7

TRANSPORT (INCLUDING AERONAUTICS)

(European Commission C(2007) 5765 of 29 November 2007)



7th Framework Programme (2)

Which types of projects are available in FP7?

Most types of projects (funding instruments) known from FP6 such as Specific Targeted Research Projects (STREPs), Integrated Projects (IPs) and Networks of Excellence will continue to exist in FP7. However, their titles and respective funding rules have been adjusted and a completely new type of project is introduced with the Joint Technology Initiatives (JTI).

The three main research and technology oriented types of projects are categorized according to their level of technology readiness:

- Level 1 Upstream Research (similar to STREPs in FP6): research and technology development activities from basic research to the validation of concepts at component or subsystem level. EC grant must be below 8 million Euro.
- Level 2 Focussed Downstream Research (similar to Integrated Projects in FP6): research and technology development activities up to higher technology readiness, centred on the multidisciplinary integration and validation of technologies and operations at a system level. The EC grant is between 8 and 60 million Euro.
- Level 3 Full-System Technologies Demonstration: the *Joint Technology Initiative (JTI)* is a new instrument. It comprises of the research and technology development activities up to the highest technology readiness, focusing on the combination of systems and the final proof in fully integrated system of systems.
- Research for SMEs and SME associations: This are two dedicated initiatives to strengthen the innovation capacities of SMEs by providing the technology they need.



In LEVEL 1 and LEVEL 2 types of projects SMEs all partners including SMEs are concerned to develo new technologies. In the RESEARCH FOR SMEs projects technologies are particularly developed for SMEs by research performers which may be universities, research establishments or even another competent SMEs. The latter projects require a group of at least three individual SMEs or SME associations from three countries.

It is important to note that while the research topics of LEVEL 1 and LEVEL 1 projects are bound to the respective workprogramme of the respective call, the RESEARCH FOR SME projects may asddress any research topic across the entire fild of science and technology.

One of the potential candidates for a LEVEL 3 project is the aeronautics CLEAN SKY Joint Technology Initiative, which has an indicative budget of 1.7 billion Euro for seven years. It will facilitate the development of green technologies for civil aircraft, rotorcraft, engines and systems technology including respective demonstrators.

On 13 October 2006 an industrial core group signed a "Memorandum of Understanding" for setting up the CLEAN SKY. These enterprises, together with the Associate partners, will manage the JTI during its seven year lifetime beginning in early 2008. But CLEAN SKY will also be open to all stakeholders with an interest in its mission. The additional partners, including SMEs, will be taken on board through call for tenders. These partners would typically leave the JTI once their work is completed. The first JTI call for partners is expected for 2008. The JTI core group has made a commitment to reserve 12 percent of the JTI's budget for SMEs.

References:

Download above EU brochure: http://ec.europa.eu/research/sme-techweb/pdf/sme_support_en.pdf

EC view on JTI: http://ec.europa.eu/research/transport/info/jti en.html
JTI Structure: http://www.asd-europe.org/content/default.asp?pageid=32



Qualifying for EU projects

Before setting-up an European project, check that your individual RTD requirements correspond to the 7th Framework Programme

Participation in EU funded research and technology development projects appears to be less difficult than expected by most SMEs. This is the result of the AeroSME survey performed in 2006. Particularly striking is the fact that 97% of the partners, which participated in an EU project, are eager to do it again.

The key for easy access is the right information, guidance and support. Interested SMEs should contact the AeroSME helpdesk for more detailed information and support.

Before you decide to set up a project or to join an existing consortium, you should check the list below:

- Is your company located in an EU Member State or country associated to FP7? Then you are free to apply for all types of projects of the 7th Framework Programme! For all other states including the USA and Russia, participation is possible under special conditions and upon agreement of the project consortium.
- ls your company technology oriented and needs new technology, which is presently not available because of high costs or lack of RTD capability/resources? Then you should participate in an EU funded project, and share the costs or know-how for the development of advanced technologies.
- Does your project idea fit into the research agenda of the European Union? The European Commission funds only certain areas of RTD work. Check with the current work programme to see if your topic is eligible for funding. For small and medium-sized enterprises different requirements may apply. If you are in doubt about the chances of funding for your specific project idea contact the AeroSME Helpdesk.
- Is your company a Small and Medium-sized Enterprise in the sense of the official definition? In FP7 SMEs are eligible for up to 75% of funding. According to the official definition a SME is an enterprise with fewer than 250 employees and an annual turnover of 50 Million Euro or less, alternatively a balance sheet not exceeding 43 Million Euro, and being autonomous in terms of managerial independence and ownership of its equity. For more details see links at the bottom of the page.
- Are you interested in RESEARCH FOR SMEs? SMEs have benefited in the past from specific funding tools. RESEARCH FOR SME projects are tailored to small groups of at least three SMEs, which are interested to get a specific technology developed for them. The RESEARCH FOR SME ASSOCIATIONS projects can be proposed by a group of national or regional associations, but not by SMEs directly. The latter tackle topics of interest to groups of SMEs as for instance manufacturing standards, licensing, etc.





What type of project is available in FP7? Although the wording will change, the two most popular types of research projects of the 6th Framework Programme, STREPs and Integrated Projects, will continue in the 7th Framework Programme being called Level 1 and 2 projects. CRAFT projects are called RESEARCH FOR SMEs in the FP7.

References:

Download CORDIS FOCUS brochure: ftp://ftp.cordis.europa.eu/pub/focus/docs/supplement-sme3_en.pdf
The EU definition of a SME: http://ec.europa.eu/enterprise/enterprise policy/sme definition/sme user guide.pdf



Free support for SMEs

Support to the participation of small and medium-sized enterprises will continue in the 7^{th} Framework Programme

The importance of small and medium-sized enterprises is well recognised by the European Commission and significant effort is undertaken to provide SMEs with tailored support. AeroSME, SCRATCH and ECARE+ are specific support actions funded by the European Commission in order to give free of charge advice and active support to aerospace SMEs. "SMEtoLEAD" provides training to SMEs from all sectors.

Interested enterprises should contact the respective initiative directly which are presented below.

AeroSME - Support for SMEs in European Research Programmes

This support action has served SMEs in aeronautics since 1998. It is a joint initiative of the European Commission and Industry, represented by ASD. AeroSME provides general support to all SMEs independent of any membership. More details on AeroSME are available on page 2 of this AeroSME Guide or at www.aerosme.com.



ECARE+ - European Communities Aeronautics REsearch+

ECARE's objective is to involve research-intensive aeronautical SMEs into EC funded research during the Seventh Framework Programme. ECARE+ is based on a pan-European network of regional and national Aeronautics clusters: the ECARE Group.

For more information contact: Ms Violaine Menant

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E-mail: menant@hitech-sme.com Website: www.ecare-sme.org/plus/



SCRATCH - Setting-up Collaborative Research Project Led by SMEs

SCRATCH European Experts support teams are located in many of the European Member States and in Israel. SCRATCH also has an associated partner in Canada. The SCRATCH goal is to support SMEs setting up their own small collaborative project (Level 1) and enhance SMEs access to European RTD funds for technology acquisition, wherever their European location may be.

For more information contact: Mr Jean-Louis Bonafé

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E-mail: euroint@club-internet.fr Website: www.aero-scratch.net



SMEtoLEAD - Training SMEs to Become Successful Coordinators

SMEtoLEAD aims to train SMEs to be successful coordinators of EU funded research projects. The 10 SMEtoLEAD partners have all extensive experience and understanding of EC Framework Programmes having been involved as partners, coordinators or advisers to projects. They provide coordinator training free of charge.

For more information contact: Ms Celia Gavaud / Mr Mick Parmar

Tel. +44 1664 501501 E-mail: info@smetolead.org Website: www.smetolead.org

References:

AeroSME: <u>www.aerosme.com</u> ECARE+: <u>www.ecare-sme.org/plus/</u> SCRATCH: <u>www.aero-scratch.net</u> SMEtoLEAD: <u>www.smetolead.org</u>



Proposal Set-up

While considering participation in an European technology project you should follow the decision guidelines presented below to join the right project or find the right partners to set up your proposal

1. Project Idea

Make sure your project idea is new and has not been funded in past or present EU projects. Searching the EC aeronautics projects database for technical key words will help you to find projects related to your topic.

2. Is your idea eligible for funding?

The European Commission will fund only technical topics defined in the official work programme for aeronautics which is published with each call. Do not forget, however, that your project idea could fit in other FP7 thematic priorities, i.e. Nanotechnologies, Materials and Processes, Information Technologies, etc.

3. When is the delivery date for proposals?

The delivery date is usually three months after the issue of the call for proposals. In the 7th Framework Programme 4 to 5 calls for proposals are expected over a period of 7 years, meaning that there will not be a delivery date every year. The second Aeronautics call for proposals was published on 30 November 2007 with deadline for the submission of proposals on 7th May 2008. The third aeronautics call is expected in mid 2009! Each technology area, such as Air Traffic Management, Information and Systems Technology, etc., will follow its own calendar to issue the calls. Communication of each call will be likely published on the FP7 CORDIS homepage.

4. Find partners or join a proposal team!

Prepare a one page outline of your project idea. To find partners, search databases, contact partners of previous projects and ask the AeroSME Helpdesk to help you in finding partners. Databases will usually provide contact information on co-ordinators and partners of previous projects, which are an excellent source of information for future projects.

5. Negotiate and come to an agreement on the contents of your proposal!

Discuss with your partners and come to an agreement on the proposal content, settle work and cost share of your proposal. Settling each partner's cost can take quite some time. The global cost share should be settled as soon as technical details allow it. Do not delay settling the cost share to the end of the negotiation. Settling the cost and financial details of the projects may take many months, particularly if smaller partners with limited resources are involved.

6. Write the proposal

If this is your first proposal you should ask for support in writing the proposal. Free support for SMEs is available from SCRATCH, ECARE+, AeroSME, regional associations, EU Innovation Relay Centres, etc. Guidelines for proposers are available from the EC. Allow two months or more for proposal writing and about 6 or more months for the proposal team set-up.

7. Delivery of the proposal

Make sure your proposal is submitted on time to Brussels. In FP7 all proposals have to be submitted electronically. This should be done a few days ahead of the official delivery/closing date. Proposals that arrive even 1 minute after the closing time (usually 17:00 in Brussels) will not be accepted. Always check the current requirements for delivery, which are included in the Call papers.

Aeronautics project database: http://ec.europa.eu/research/aeronautics/projects/search en.cfm

Cordis FP6 projects database: http://cordis.europa.eu/fp6/projects.htm

General Information: http://cordis.europa.eu/marketplace/ All documents for 2nd Aeronautics Call:

http://cordis.europa.eu/fp7/dc/index.cfm?fuseaction=UserSite.CooperationDetailsCallPage&call_id=79



Glossary (1)

The following is a short overview of definitions of terms that are used in European technology funding.

Beneficiary

The partner in a Collaborative Project. Similar to the contractor in FP6.

Call for proposals

A legal text calling interested parties to submit proposals for projects.

Collaborative Project

Research and technology development project conducted by a *consortium* of equal partners each performing reseach and technology development work. For the available *Levels* see below.

Consortium

Consortium means all participants in the same proposal or project.

Consortium agreement

The Consortium Agreement describes the rules of conduct between participants and for the implementation of their technical work. It also covers the handling of confidential matters and intellectual property. In FP7 it is mandatory for each Collaborative Project to sign a Consortium Agreement at the start of the

Co-ordinator

The co-ordinator is a participating organisation appointed to be the leader of the consortium. They have specific additional obligations ensuing from the contract, such as signing the contract with the Commission and allocating the EU funding to other consortium members. They are responsible for the contact with the European Commission.

CORDIS

The Community Research and Development Information System-CORDIS http://cordis.europa.eu is a comprehensive internet information system comprising information on past and on-going projects, current calls for proposals, partner search facilities, a large EU document database and many more features.

Deadline

For the majority of calls, proposals have to be submitted by an absolutely firm deadline (date and time). In FP7 all proposals are submitted electronically.

More information: See call for proposal at http://cordis.europa.eu/fp7/dc/index.cfm

Intellectual Property Rights (IPR)

Intellectual Property Rights cover all aspects of owning, protecting and giving access to knowledge and pre-existing know how. It is highly recommended to carefully consider the protection of each partner's know how (his intellectual property rights) ahead of the start of the project. Free specialist support is available in most European languages through the European Commission's IPR Helpdesk. The handling of IPRs should be integrated into the Consortium Agreement.

More information: http://www.ipr-helpdesk.org/

JTI - Joint Technology Initiative

JTIs are a new type of mega projects in Framework Programme 7. Six JTIs are currently envisaged for funding, one for aeronautics. The proposed budget is approximately 1.7 billion Euro for seven years with the European Commission funding about 50% of it.

More information: http://www.asd-europe.org/content/default.asp?pageid=32



Glossary (2)

Level 1 - Upstream Research (similar to STREPs in FP6)

Level 1 projects are multiple partner research projects. Their purpose is to support research, technological development and demonstration activities of a more limited scope and ambition than Level 2 projects. Each partner in a Level 1 project performs a research or development task as agreed and described in the proposal. A Level 1 project has between 5 to 15 partners and a budget of up to 15 Million Euro. The funding rate is 50% for each partner, but 75% for SMEs, Universities and Government bodies.

Level 2 - Focussed Downstream Research (similar to Integrated Projects in FP6)

A Level 2 project is a multi-partner project integrating and validating new and existing technologies; primarily those technologies developed in previous EU funded projects (STREPs). By the nature of this work, Level 2 projects are usually close to applicable products when compared to research projects such as Level 1 projects. A Level 2 project has between 30 to 50 partners, and has up to a 100 Million Euro budget. The funding rate is up to 50% for each partner, but 75% for SMEs, Universities and Government bodies.

Partners joining such a large project consortium should have experience in international co-operations, for example through past participation in a STREP.

Model grant agreement (similar to model contract in FP6)

For funding a project, the Commission formalises the agreement with a contract, to be signed by the project consortium. The contract is based on a standard contract - the model grant agreement. The model grant agreement is identical for all EU funded projects, and its terms and conditions are mandatory. It cannot be negotiated.

More information: not yet available for FP7

National Contact Point (NCP)

Member States and Associated States have established national systems to disseminate information on European RTD funding. A database with all NCPs is available on CORDIS at http://cordis.europa.eu/fp7/get-support.htm

Network of Excellence (NoE)

A Network of Excellence is an instrument to surmount the fragmentation of the European research landscape with the objective to strengthen European excellence in a given area. Research establishments and universities are the prime partners in NoEs. However it is possible for an industry partner to join a NoE project.

More information: http://cordis.europa.eu/fp7

Framework Programme

In order to keep budgets and procedures constant over a couple of years the European Commission have established administrational frameworks. Each framework has a specific programme assigned to it defining objectives, budgets, etc. The seventh Framework Programme (FP7) for Research, Technological Development and Demonstration covers the years 2007 to 2013.

More information: http://cordis.europa.eu/fp7

SME - Small or Medium-Sized Enterprise

The Commission applies the following criteria to decide whether an enterprise is a Small or Medium-sized Enterprise (SME): SMEs are defined as enterprises which employ fewer than 250 persons and which have an annual turnover not exceeding EUR 50 million, and/or an annual balance sheet total not exceeding EUR 43 million and being autonomous in terms of managerial independence and ownership of its equity.

More information: http://ec.europa.eu/enterprise/enterprise_policy/sme_definition/index_en.htm

Work Programme

Work programmes are plans drawn up by the Commission for the implementation of the specific programmes of FP7. They comprise of detailed descriptions of activities (thematic priorities, instruments used, evaluation procedures and criteria, deadlines, roadmaps) and are revised at least annually. They provide all information necessary to launch Calls for proposals. In order to prepare a successful proposal, one has to carefully read the latest work programme published of the addressed call. More information:

http://cordis.europa.eu/fp7/dc/index.cfm?fuseaction=UserSite.CooperationCallsPage&id activity=7



Contact Information

For more information, please contact:

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Website: http://sme.cordis.lu/assistance/sme helpline.cfm

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