



Stairway to Excellence

**Synergies under the new ESIF Framework:
Examples from DG REGIO survey
on up-take of new regulatory possibilities to
foster synergy between ESIF, Horizon 2020 and
other EU funding programmes**

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What do we understand as synergies?...

- **Obtaining more impact on competitiveness, jobs and growth by combining ESIF and Horizon2020 ...**
e.g. use of ERDF research infrastructures in Horizon 2020 innovation projects
- **Amplifying projects / initiatives under the other instruments,** e.g. oversubscription on SME instrument to ESIF
- **Carrying further the projects of the other instrument towards market,** e.g. SME instrument "Seal of Excellence"

... and what NOT

- **NO substituting of national or regional or private co-funding** to projects or programmes by money from the other instruments
- **NO diversion of funding away from the purpose** of the respective instrument / operational programme (e.g. smart specialisation strategy)
- **NO simple "run for the money"**: maximising the acquisition of additional funding from H2020 for MS or region is not a good objective, as the impact is short-lived

How to achieve synergies – "Stairway to Excellence"

Capacity Building
National/Regional R&I systems

Research & Development

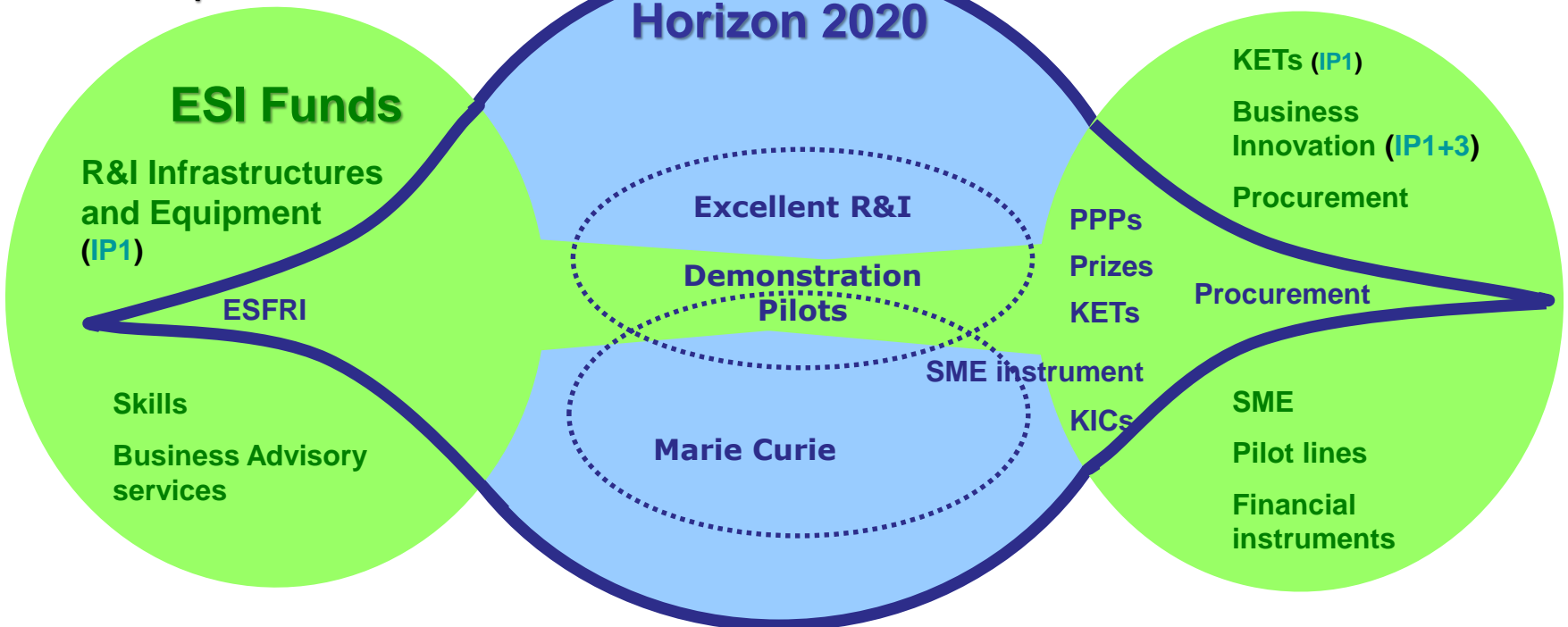
Innovation

Market

"up-stream"

"down-stream"

Horizon 2020



Legal base for combination of H2020 (and other instruments) and ESIF (1/2)

- **Article 65(11)
CPR &
Art.37 RfP
Horizon2020**

Combination of funding from different EU funding instruments in different expenditure / cost items encouraged
- **Article 70(2)
CPR**

ERDF: 15% at the level of the priority axis may be spent outside OP territory (but in EU) for the benefit of the programme area
- **Art 96(3)d CPR**

OP describes arrangements for inter-reg. & trans-nat. actions with beneficiaries located in at least 1 other MS

Legal base for combination of H2020 (and other instruments) and ESIF (2/2)

- **Alignment of similar cost options**

Possible for easier combining of funds: lump sums, flat rates, standard scales of unit costs under ESIF may use the H2020 rules applicable for similar types of operations and beneficiaries (Art 67(5)b, 68 CPR & H2020 rules for participation)

- **Common Strategic Framework – annex 1 to CPR**

Synergies and complementarity of Horizon2020 and other centrally managed EU programmes in the areas of research and innovation

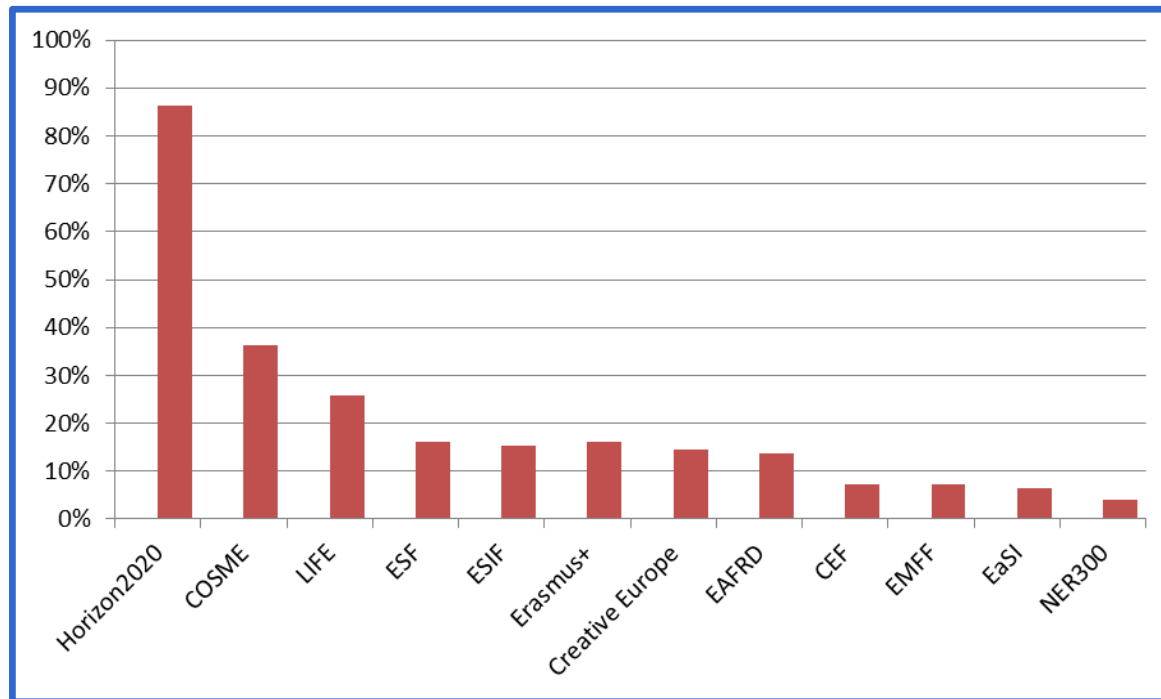
Data and basis of survey

- The survey conducted in September/October 2015
- Questions answered by geographical units of DG REGIO
- Results base on a sample of operational programmes
- A sample as a basis allowing drawing key conclusions

Summary main survey results (1/3)

- **ERDF operational programmes are potentially open for synergies**
 - 96% answered "yes" to the question whether relevant regional / national smart specialisation strategy is open to synergies with union programmes investing in research, innovation and competitiveness other than ERDF
- **Horizon2020 is the most cited programme for synergies**
 - Major importance of Horizon2020 followed by COSME and other programmes

Programmes



Summary main survey results (2/3)

- **Up-stream actions can be identified**
 - 80% answered "yes" to the question whether the OP foresees "up-stream" actions to Horizon2020 or FP7 projects in the sense of annex 1 section 4.3.2 of the CPR
- **Down-stream actions are foreseen by OPs**
 - 68% answered "yes" to the question whether the OP foresees "down-stream" actions to Horizon2020 or FP7 projects in the sense of annex 1 section 4.3.2 of the CPR

Overview: identified up-stream actions

| Overview (for those participants who answered “yes”) | |
|---|-----|
| Building of research infrastructures (including possibly ESFRI) | 45% |
| Support for innovation networks | 25% |
| Advice on Horizon2020 calls and procedures | 21% |
| Support for international networking | 20% |
| Nothing specific noted | 15% |
| Attraction of foreign researchers and innovative companies | 7% |
| Build capacity in general | 5% |
| Training of researchers | 4% |
| Organisational reform | 1% |
| Alternative funding from reserve list | 1% |
| Information exchange between relevant authorities | 1% |
| No comments added | 5% |

Capacity building is sought mainly through building research infrastructures

Other forms of capacity building, particularly human capital, is not common in the OPs

Overview: identified down-stream actions

| Overview (for those participants who answered “yes”) | |
|--|-----|
| Dissemination of H2020 and other programme results | 38% |
| Start-ups/spin offs support | 37% |
| Demonstration/prototyping/pilot activities | 33% |
| Knowledge transfer and/or science parks, clusters | 30% |
| Create links between relevant actors | 17% |
| Previous FP7/Horizon2020 participation is a selection criterion or gives additional points in the evaluation | 15% |
| Nothing specific | 13% |
| Procurement activities | 8% |
| Living labs | 5% |
| Advice to H2020 applicants re ERDF and vice versa | 3% |
| Seed/risk capital instruments | 2% |
| Support to building interdisciplinary partnerships | 1% |
| No comments added | 1% |

Various forms of knowledge transfer/ dissemination activities are the most frequent forms of "down-stream" actions proposed

But: “down-stream” actions are not considered in OPs by a large number of replies.

Summary main survey results (3/3)

- **Replication of Horizon2020 project models possible but rarely mentioned by OPs**
 - 32% answered "yes" to the question whether the OP foresees actions that allow to replicate Horizon2020 project models
- **Combination Horizon2020 with ESIF difficult**
 - 27% answered "yes" to the question whether the OP foresees facilitating the combination of Horizon2020 funding with ESIF support in the sense of annex 1 section 4.3.3 of the CPR and Art. 65(11) CPR

Combination Horizon2020 with ESIF difficult

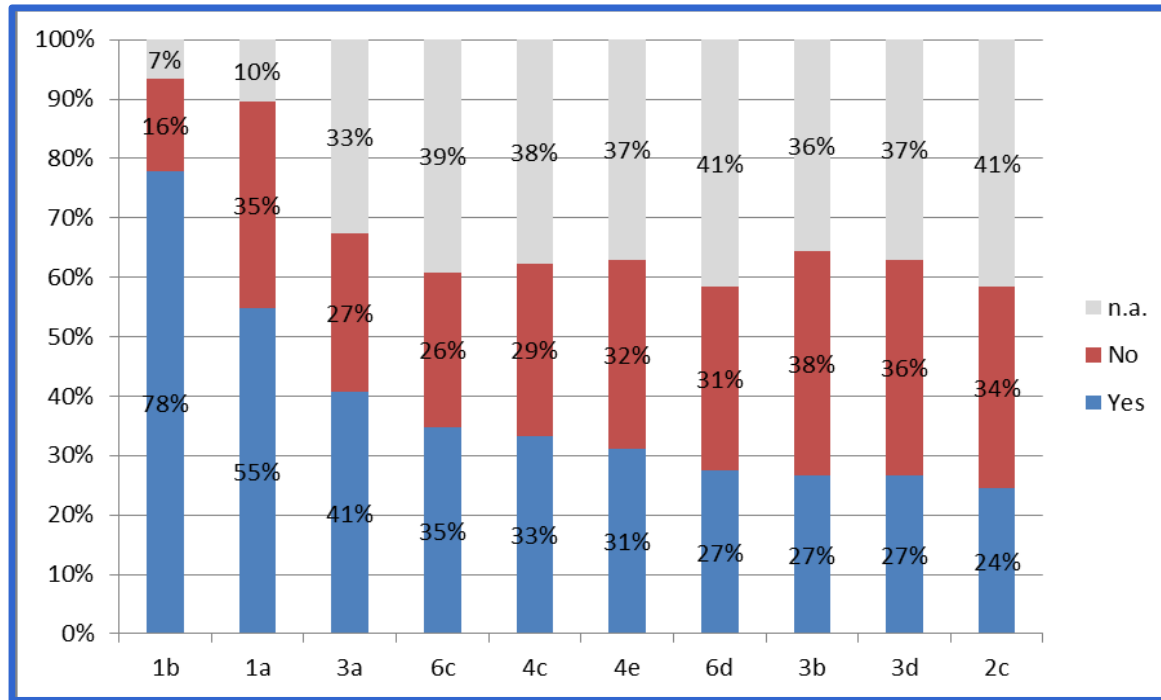
- **Those who plan to combine focus on:**
 - Nothing specific
 - Case by case basis
 - Synchronisation of ESIF funding decisions with Horizon2020 funding decisions

- **Those who do not plan state:**
 - Nothing specific
 - Administratively too complicated or lack of political will
 - Small budget/programme/other issues more important

Planning trans-national and inter-regional cooperation difficult

- **Most frequent reasons given for not planning to seek trans-national and interregional cooperation or use of article 70(2):**
 - Nothing specific
 - Different priorities
 - No political interest / possibility excluded
 - Limited funding
- **Those who plan to seek cooperation or use art.70(2) focus on:**
 - Nothing specific
 - Cooperation between regions in general
 - Helping innovators or enterprises joining existing innovation networks
 - Projects and platforms like EIPs, KICs, JTIs, trans-national cluster networks or the Vanguard Initiative

Overview investment priorities (Top 10)



ERDF INVESTMENTS
PRIORITIES (ART. 5 OF
REG. 1301/2013)
CONCERNED BY THE
SYNERGIES ENABLING
OPENINGS IN THE
PROGRAMME / RIS3

(1) strengthening research,
technological development and
innovation

(3a) enhancing the
competitiveness of SMEs by
promoting entrepreneurship

(6c) preserving and protecting
the environment and promoting
resource efficiency by
conserving, protecting,
promoting and developing
natural and cultural heritage

Summary

- **Synergy between ESIF, Horizon2020 and other EU funding programmes is possible**
- **ERDF programmes see the best possibilities for synergies in Horizon2020**
- **More collaboration and simplification necessary**