



# **Guide on Synergies between European Structural and Investment Funds, Horizon2020 and other innovation-related EU Funds**

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# Structure of guidance

## Basic Principles & Concept of Synergies and Cumulation

Recommendations for policy-makers and implementing bodies for strategy development, programme design and implementation mechanisms; Overview of Commission support (SWD(2014)205 final)

Annex 1  
**Explanations by programme**  
(differences, opportunities, management principles)

- **ESIF & Cohesion Policy**
- **Horizon2020**
- **COSME**
- **Erasmus+**
- **CEF digital services**
- **Creative Europe**

Annex 2  
**Scenarios & hands-on advice for policy-designers & implementers by project format** (also interesting for beneficiaries)

1. Horizon2020
  - Standard R&I projects
  - ERA Chairs, Teaming & Twinning
  - Marie Skłodowska-Curie researchers' mobility
  - ERA-NETs, Joint Programming Initiatives, Art. 185 initiatives and Art. 187 Joint Technology Initiatives
  - EIT / Knowledge and Innovation Communities
  - Research Infrastructures
  - Pre-Commercial Procurement and Public Procurement of Innovative Solutions
  - Innovation in SMEs
2. COSME – Enterprise Europe Network
3. ERASMUS+ - mobility, Knowledge & skills alliances
4. Creative Europe -innovation in& with Creative Industries
5. CEF - Digital Services Platforms – e-government interop.

**Guidance on synergies among and with financial instruments:**  
short reference guide for Managing Authorities.  
See:  
[http://ec.europa.eu/regional\\_policy/thefunds/fin\\_instrument/index\\_en.cfm](http://ec.europa.eu/regional_policy/thefunds/fin_instrument/index_en.cfm)

**Modernisation of EU State aid frameworks:**  
See:  
[http://ec.europa.eu/competition/state\\_aid/modernisation/index\\_en.html](http://ec.europa.eu/competition/state_aid/modernisation/index_en.html)

## Guidance for end beneficiaries

Pointing beneficiaries via a 6-step checklist to possible EU funding and support sources for R&I. See [previous guide](#)

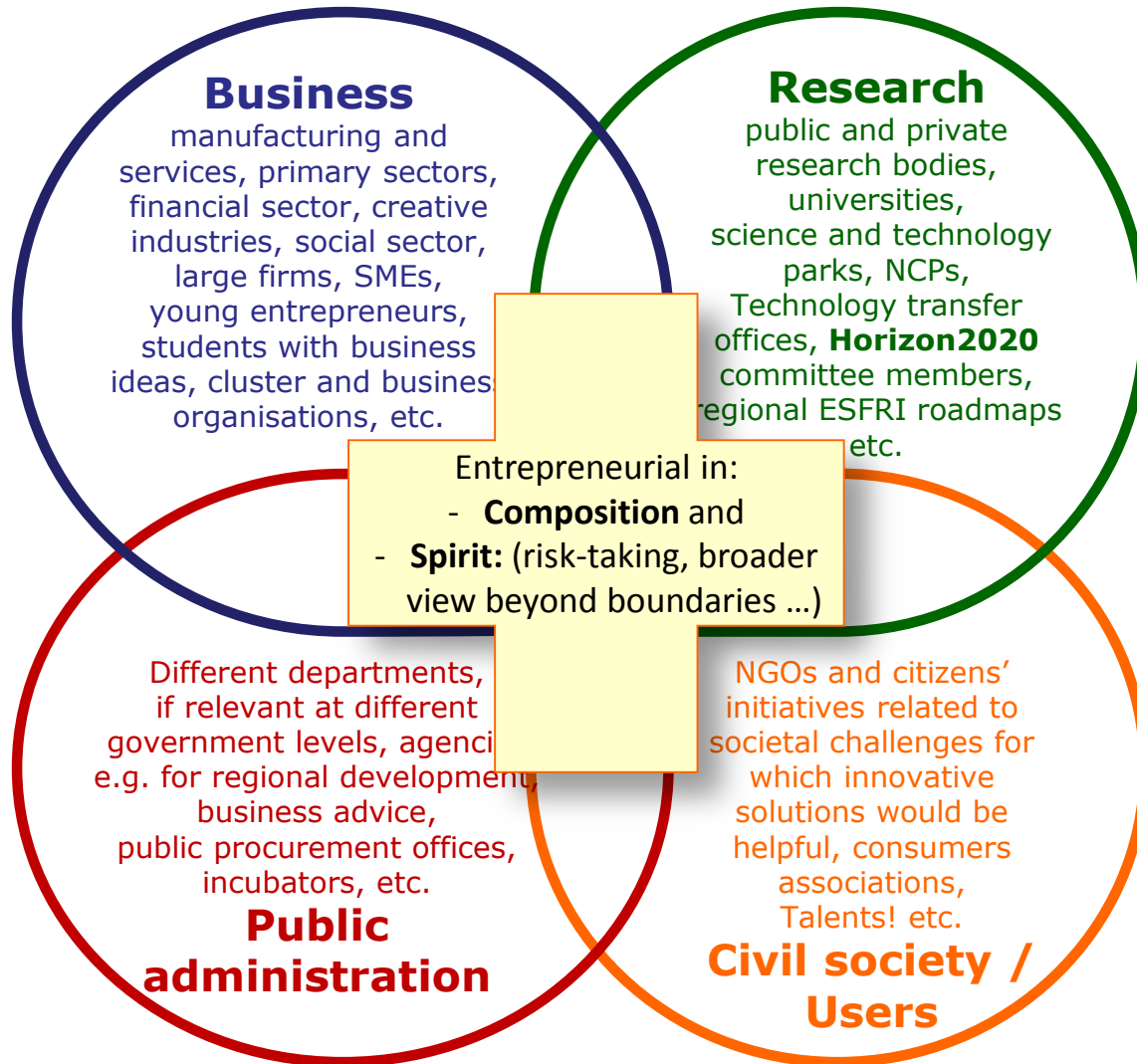
**= Policy Synergies!**

## Concept of synergies

- **Improve the quality of national & regional innovation policies**, including type of support measures
- **Enhance the impact of investments**, incl. "durability", links btw. projects, building on previous projects of other instruments
- **Amplify projects / initiatives** by joining forces under different funds to generate critical mass: cumulation / alternative funding
- **Strengthen cooperation and complementarity across Europe** by teaming up different capacities in leading and lagging regions thanks to smart specialisation
- **Strengthen cooperation between innovation actors and policies relevant for innovation** (skilled & creative people, research, enterprises, investors, market access, different Ministries and departments and on different levels, legal and administrative framework conditions...)



European  
Commission



# Synergies & smart specialisation are linked

## ... via the Entrepreneurial Discovery Process

- Iterative process
- Creative thinking & new combinations
- External view needed

# What is not the aim of synergies

- **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 for ERDF, research excellence for Horizon2020)
- **NO simple "run for the money"**: Maximising the acquisition of additional funding from H2020 for a MS / region is no good objective, as this is no durable impact.

"Smart specialisation strategies shall include:  
 (a) Up-stream actions ...  
 (b) down-stream actions .... from Horizon 2020"  
 See CPR annex 1, point 4.3.2.

# How to achieve synergies?



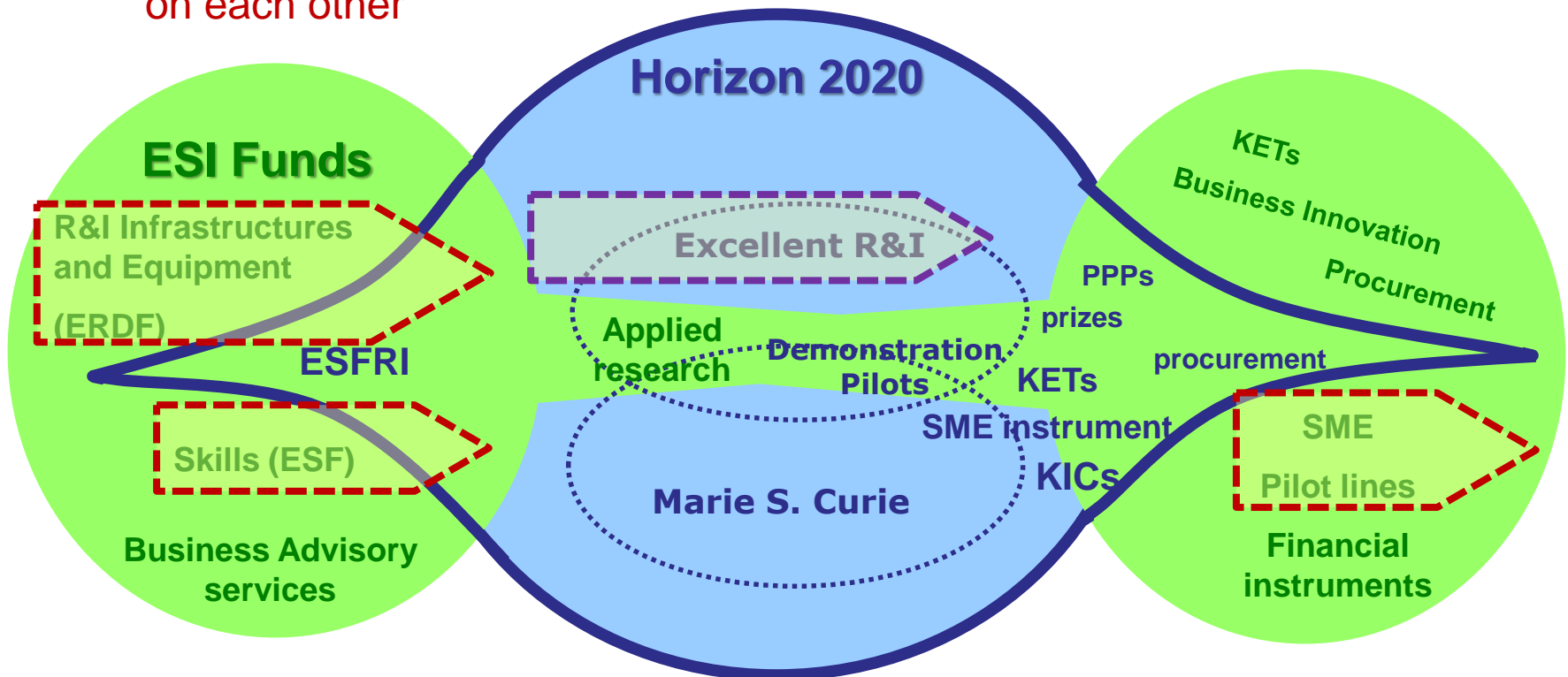
*"Stairway to Excellence"*

# How to achieve synergies?

ESIF Grant agreement

Horizon 2020 Grant

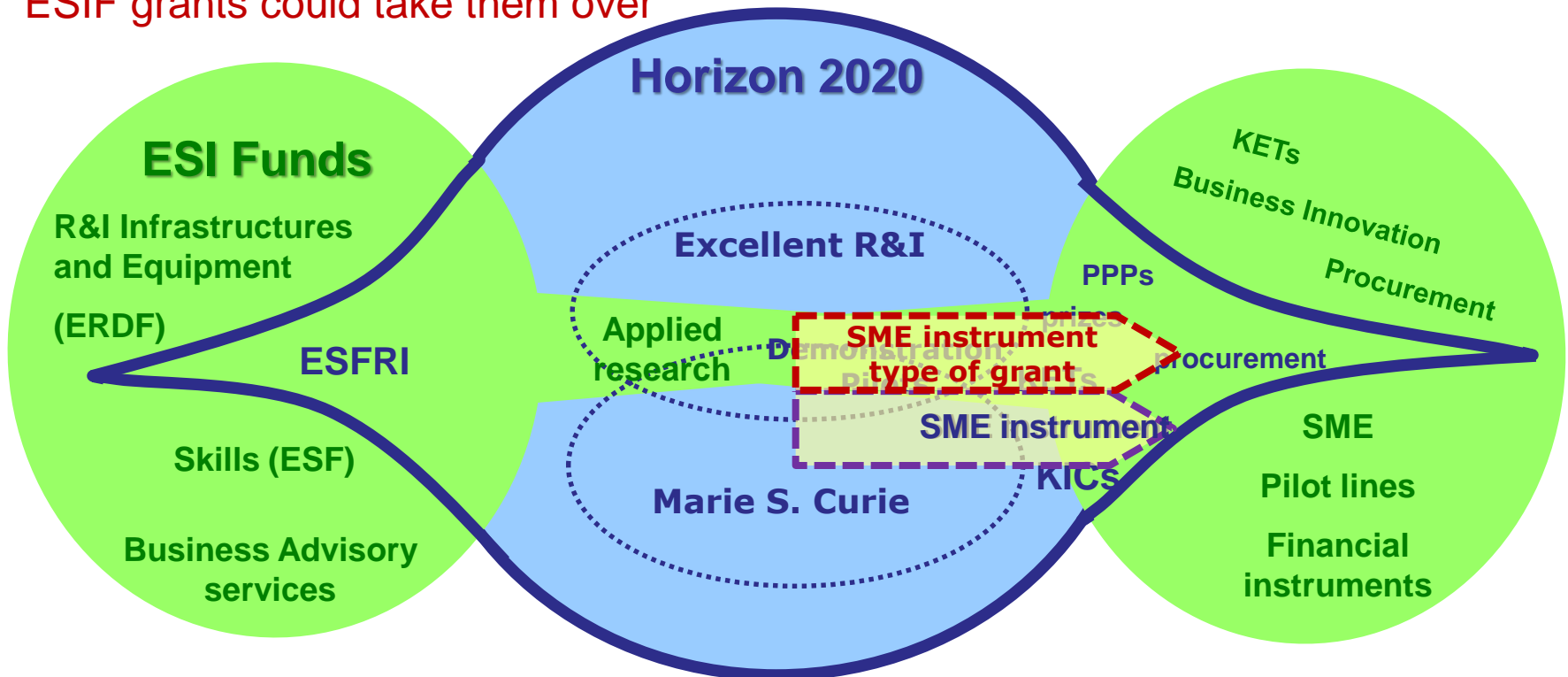
1. **Successive projects** from different instruments that build on each other



# How to achieve synergies?



**2. Alternative funding:** Projects are evaluated as being excellent, but there is not enough Horizon2020 budget for all shortlisted projects: ESIF grants could take them over



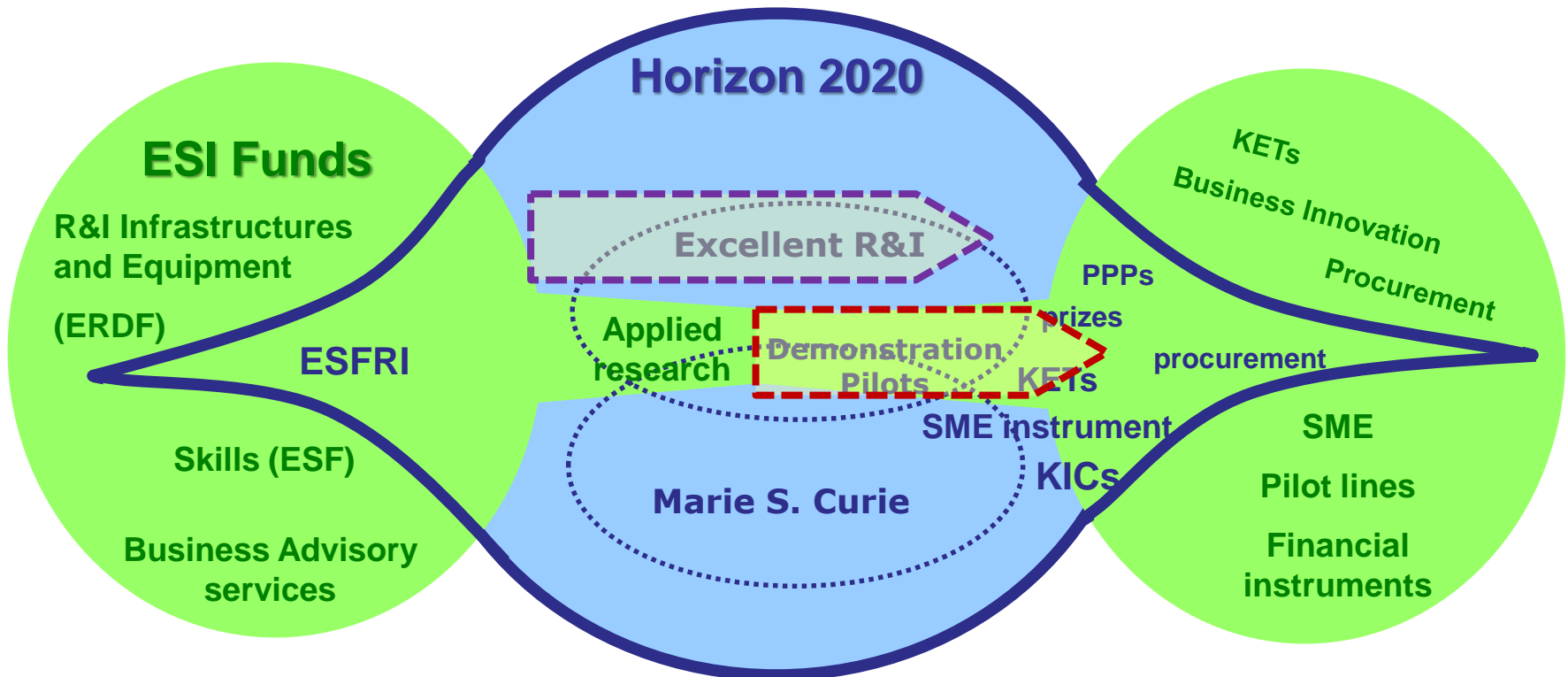


# How to achieve synergies?

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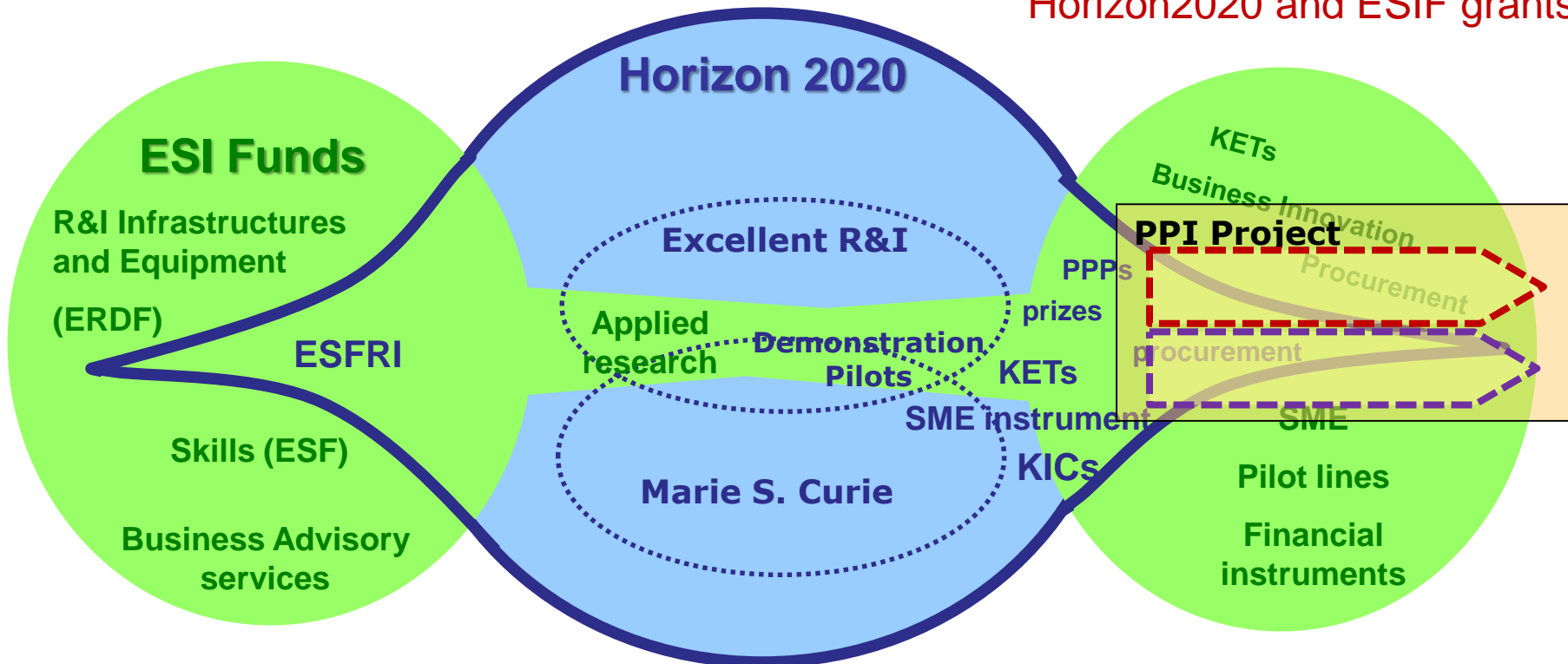
## 3. Parallel projects that complement each other



# How to achieve synergies?



## 4. Projects that cumulate Horizon2020 and ESIF grants



Only for Horizon 2020!  
ESIF & Horizon2020 grants may  
not cover the same cost item!

# Cumulation in same project (Art 37 Horizon 2020 RfP + Art 65(11) CFR)

**Project ≠ grant agreement!**

## Concept & planning

- Coherent **project concept** and with identified **work packages** (ideally geographically attributable) or **cost / activity categories** attributed clearly to H2020 or an ESIF OP.
- Includes at least partners from **3 countries**
- **Content & purpose** of the project corresponds to the **H2020 call**; the part re ESIF is related to **RIS3 specialisations & OP priorities**
- **Available possible budgets** identified (H2020 work programme: future calls for proposals), eligible costs & co-funding levels for H2020 and ESIF respectively taken into account.
- **Scope for pooling resources** for joint activities / work packages across borders identified.

Only for Horizon 2020!  
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not cover the same cost item!

# Cumulation in same project (Art 37 Horizon 2020 RfP + Art 65(11) CPR)

Project ≠ grant agreement!

## Concept & planning

### Horizon2020 innovation action:

• Call for proposals

• Eligible cost:

▶ Staff ; equipment; travel ;  
sub-contracting;

• Budget:

70% H2020  
+ 30% own public or private  
funds (**no ESIF!**)

**H2020 grant**

### ESIF actions

• Eligible cost:

▶ Purchase of R&D  
equipment and  
infrastructure

ERDF  
grant1

▶ entrepreneurship  
training for researchers

• Budget:

ESIF from different  
OPs  
+ relevant % of own  
public funds (**no H2020!**)

ESF  
grant2

# Cumulation in same project (Art 37 Horizon 2020 RfP + Art 65(11) CPR)

- ▶ **No automatism for positive assessment of cumulation efforts across Horizon 2020**
- ▶ **No "positive discrimination" for ESIF mobilisation compared to other additional actions to a Horizon 2020 project**
- ▶ **Check the details in the Horizon 2020 work programmes & calls!**

*SWD(2014) 205 final:*

*"... the **particular Work Programmes and Calls for proposals** could specify the additional conditions and/or lay down **further details of the application of the evaluation criteria** under which these actions would be considered for funding by Horizon 2020, including any possible additional contribution of other Union funding instruments.*

*However proposers need to note that, **unless explicitly specified in the Work Programmes, the existence of potential funding synergies between different EU instruments will not be considered and assessed** during the evaluation of a proposal submitted under Horizon 2020 (hence such cases will not in themselves lead to a higher evaluation score). ..."*

# Cumulation in same project (Art 37 Horizon 2020 RfP + Art 65(11) CPR)

## Issues to be considered:

- ▶ Degree of **inter-dependence** between Horizon 2020 and ESIF work packages / grants?
- ▶ Is **synchronisation** of ESIF grant decisions with Horizon2020 funding decisions possible?
- ▶ **Proof** of ESIF funding intentions to H2020 evalu.?
- ▶ Who pays for **coordination** costs (project manager etc.)?
- ▶ Coordination of **audits, shared reporting** etc.?
- ▶ How handle ESIF project participants **outside OP territory** and different funding rates etc.? (Art.70(2) CPR)

## Do not forget ...



### **COSME:**

- New financial instruments via EIF
- Erasmus for Entrepreneurs ....
- Enterprise Europe Network: new consortia



### **Erasmus+**

- Mobility grants via national agencies
- Calls for Sector Skills Alliances & Knowledge Alliances



### **Creative Europe**

- Loan Guarantee Facility as of 2016
- Calls for proposals for grants



### **Digital service part of CEF**

- Procurements for digital service platforms around identified themes (cyber security, open data, etc.)
- Grants

# What needs to be done?



# ESIF managing authorities could ... (1)

## Strategic level: Smart Specialisation Strategy design

- **Use entrepreneurial discovery process towards more synergies** by working together with authorities involved in designing SME and industry policy and R&I policies (Horizon 2020 actors, COSME supported entities, etc.) and consulting international research and business networks where region is involved (EIPs, ETPs, JTI, EIT-KICs ...)
- **Get internationally connected:** identify related areas of specialisation of other regions/MS and team up with them to be better prepared for H2020 multi-country project opportunities (see: <http://s3platform.jrc.ec.europa.eu/map>)
- **Evaluate the needs of industry, public procurers & private organisations** running public procurements as part of the RIS3 process
- Focus the preparatory work for synergies on the **strategic aim of their RIS3 in terms of economic transformation and the fields of specialisation**

**DO NOT Design RIS3 to fit Horizon2020 themes or focus on synergies as "acquisition of more EU funding"!**

**Nota Bene: only actions that support the relevant RIS3 strategy can receive ERDF support for innovation & research**

# ESIF managing authorities

## Programme design level:

- **Foresee close-to-market support** in the OPs **policy mix** ("down-stream" to H2020, not only capacity building!). Examples summarised in **thematic guides** (see: <http://s3platform.jrc.ec.europa.eu/guides> )
- **Open up for transnational activities:** Article 70(2) CPR; value international connectedness of project proposers under ESIF
- **Expressly commit to aligning the cost models** in the OPs to the Horizon2020/other programmes' models (Art 67(5)b, 68 CPR)
- **Foresee types of priorities, implementation and project selection methods** that allow for combinations and synergies during OP implementation (complement eligible cost / copy project formats)
- **Improve capacities and services of business and innovation support** structures in line with international quality standards (EEN)

**DO NOT earmark specific OP amounts for cumulative funding!**

# ESIF managing authorities could ... (3)

## Implementation level:

- **Involve Horizon 2020 actors** in monitoring committees (e.g. NCPs, H2020 programme committee members, relevant EIPs, EIT-KICs, JTIs, researchers with success in FP7, National ESFRI Roadmap responsables)
- If intention to cumulate ESIF and H2020 in the same project: **system of conditional commitment** of funding and mechanism of reservation of funds until H2020 results known to be able to **synchronise with H2020 grant decisions**
- **Inform ESIF audit bodies** on mechanisms for synergies, extra-territorial funding (Art. 70(2) CPR) and H2020 rules
- **Install a tracking system for synergies** (e.g. via application forms and/or reports) and use **NCP information on H2020 participation**
- **International evaluators for project proposals** (consider also using the Horizon 2020 synchronisation actions)

## Communication & dissemination of good practices:

- Offer **information sessions** /material on the different available R&I support schemes

# Main messages on Synergies

- 1. Think strategic & impact- oriented,**  
not project-oriented
- 2. Act in collaboration:** ESIF and Horizon2020  
etc. have to listen, learn and talk to each other,  
across borders and take steps towards each other
- 3. Identify / generate opportunities:**  
**Synergies will only work if they are fostered  
along the entire programming cycle,** starting  
from RIS3 development, to programme design and  
suitable implementation mechanisms