



# **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:

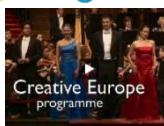
[http://ec.europa.eu/competition/state\\_aid/modernisation/index\\_en.html](http://ec.europa.eu/competition/state_aid/modernisation/index_en.html)

## Guidance for end beneficiaries

[http://ec.europa.eu/contracts\\_grants/pdf/synergies\\_beneficiaries\\_en.pdf](http://ec.europa.eu/contracts_grants/pdf/synergies_beneficiaries_en.pdf)

# Opportunities for R&I synergies with centrally managed EU funding programmes

- **All ESI Funds** (ERDF, ESF, Cohesion Fund + ETC = € 325 billion, EAFRD = €85 billion, EMFF= €5.5 billion)
- **Horizon2020** for mostly transnational research and innovation projects, incl. non-EU: €79.4 billion
- **COSME** for SME competitiveness, financial instruments, business support services, etc.: € 2 bn
- **Erasmus+** for students, teachers, pupils mobility + training: €14.5 bn
- **Creative Europe** for culture and creative industries: €1.4 billion
- **Digital service part of CEF** for EU wide e-government platforms to roll-out e-ID, eProcurement, electronic health care records: €0.85 billion



Also of interest with regard to take-up of eco-innovation, uptake of climate-related R&I results, but not covered in guide:

- **LIFE** programme for environment and climate, incl. financial instruments: € 3,4 billion
- **Programme for Employment and Social Innovation** ("EaSI"): € 0.92 billion



See annex I to CPR: Common Strategic Framework (CSF)

# Novelties for synergies btw. H2020 and ESIF

## Legal basis

CPR – Reg. 1303/2013:

- 65(11) – possibility of cumulating grants from different EU funding instruments in one operation;

Horizon2020 rules for participation– Reg. 1290/2013

- 37 - possibility of cumulative funding, provided that the grants do not cover the same cost items.

## Concept of synergies

- Bringing together in **one project** (possible only for Horizon2020)
- **Successive** projects
- **Parallel** projects
- ESIF financing successful Horizon2020 projects but not financed

**= 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...)

# Synergies between Horizon2020 & ESIF is no easy business

## Differences between the programmes:

- Multi-country approach (consortia) vs. place-based (single beneficiaries)
- Competition for funds vs. geographical pre-allocation
- Annually adjusted work programmes vs. 7-year-OP
- Centralised management vs. implementation by MS/regions
- Research excellence vs. socio-economic development
- ...

# What are synergies?

## What is cumulative funding?

### Basic principle 1:

**NO substituting of national or regional or private co-funding** to centrally funded EU projects or programmes by ESIF money!

- **Synergies** are about obtaining **more impacts** on competitiveness, jobs and growth by combining ESIF and Horizon2020,
- about **amplifying** projects of the other fund or
- **carrying further** the projects of the other fund
- MA should **not focus on acquisition of additional funding from H2020**, but on what are the **strategic aims** of their smart specialisation strategy & OP, i.e. **impacts** on place-based socio-economic development and structural adjustment of regional economies, conversion of declining industrial regions ...!

# What are synergies?

# What is cumulative funding?

## Basic principle 2:

**NO double funding:** two Union grants (e.g. Horizon 2020 and ESIF) may not cover the same cost item.

- **Cumulative funding** is the possibility to use different public funding sources, including EU funding sources, within a programme, project or a group of projects (*Art 129 Financial Regulation prohibits giving 2 EU grants to the same beneficiary for the same project, however Art 65(11) CPR and 37 Horizon RfP give a derogation*).
- It seeks to **exploit complementarities and synergies** while at the same time needs to **avoid overlaps** and **exclude double-financing** (fraud).



# What are synergies? What is cumulative funding?

## Basic principle 3:

**Synergies means more than combining ESIF and other Union grants in the same project!**

Synergies **can** be about bringing together **Horizon2020** and **ESIF money in a same project** (Art 65(11) CPR + Art 37 H2020 RfP), but:

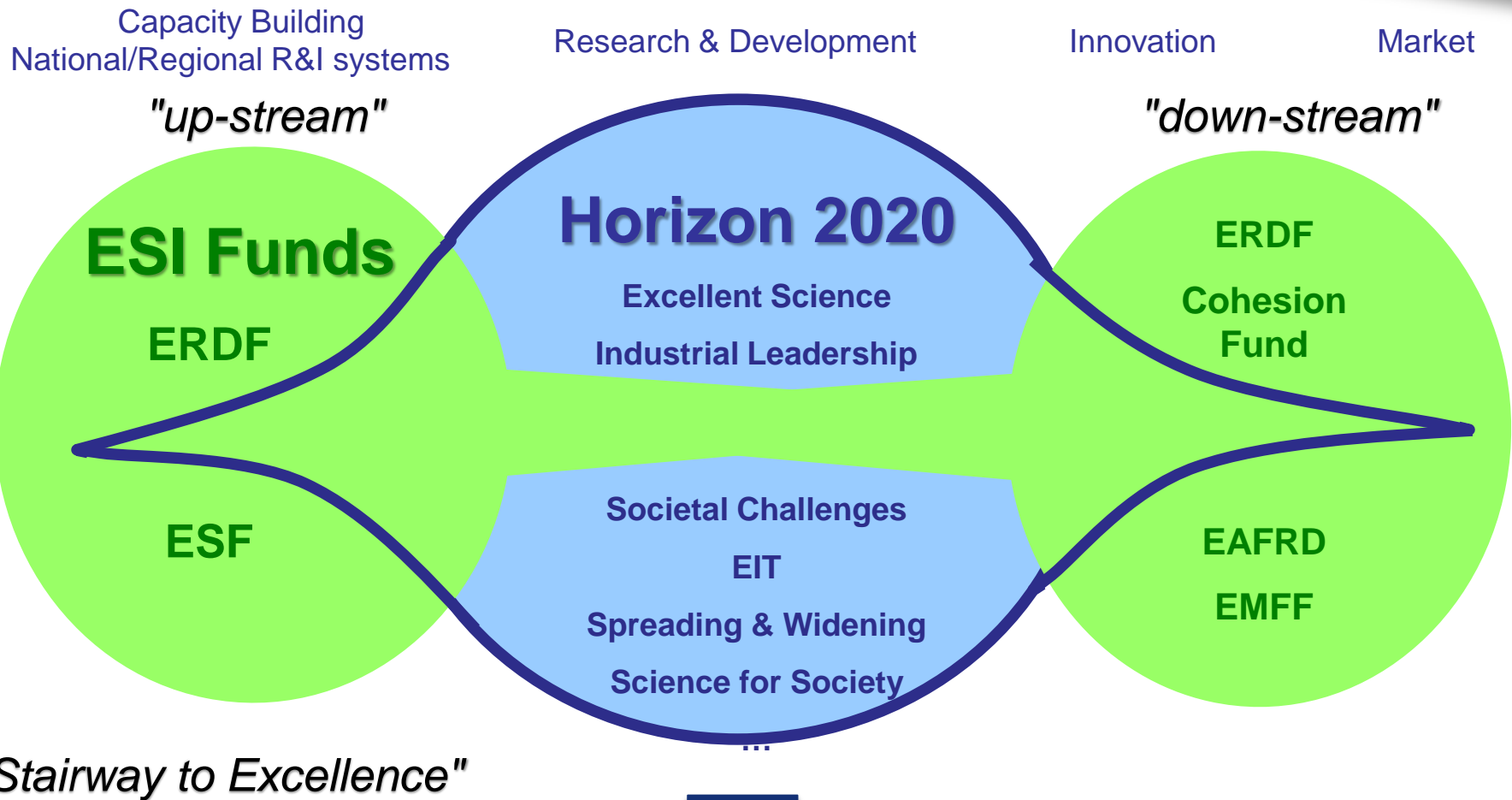
- Accounting-, synchronisation- and organisation-wise it is **easier to use successive projects** that build on each other or **parallel projects**.
- For the other EU centrally managed Union programmes, the non-cumulative principle applies, i.e. combination of grants in same project for same beneficiary is not possible.

## Key messages for clarifying & facilitating synergies

- **At policy level:** The objective of Cohesion Policy is to improve the **regional economy** in terms of competitiveness, growth and jobs. Therefore, it can only support research projects contributing to this objective. It cannot support projects for "purely" scientific purposes.
- **At strategic / programme level:** the authorities involved in designing **RIS3 / PA / OPs** should work together with authorities and bodies involved in designing research policies, e.g. National Roadmaps for research infrastructures (RIs) linked to the ESFRI Roadmap, in particular for facilitating access to industrial users and in the context of industrial clusters.
- **At project level:** for using ERDF, Horizon2020 project managers should contact the ERDF Managing Authorities (MAs) to explain the impact on the regional economy (links with innovative industries, spin-offs, etc). Possible funding will depend on the regional priorities, budget planning, timing and procedures. If € 50 million +: indicative list has to be in OP.

"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?

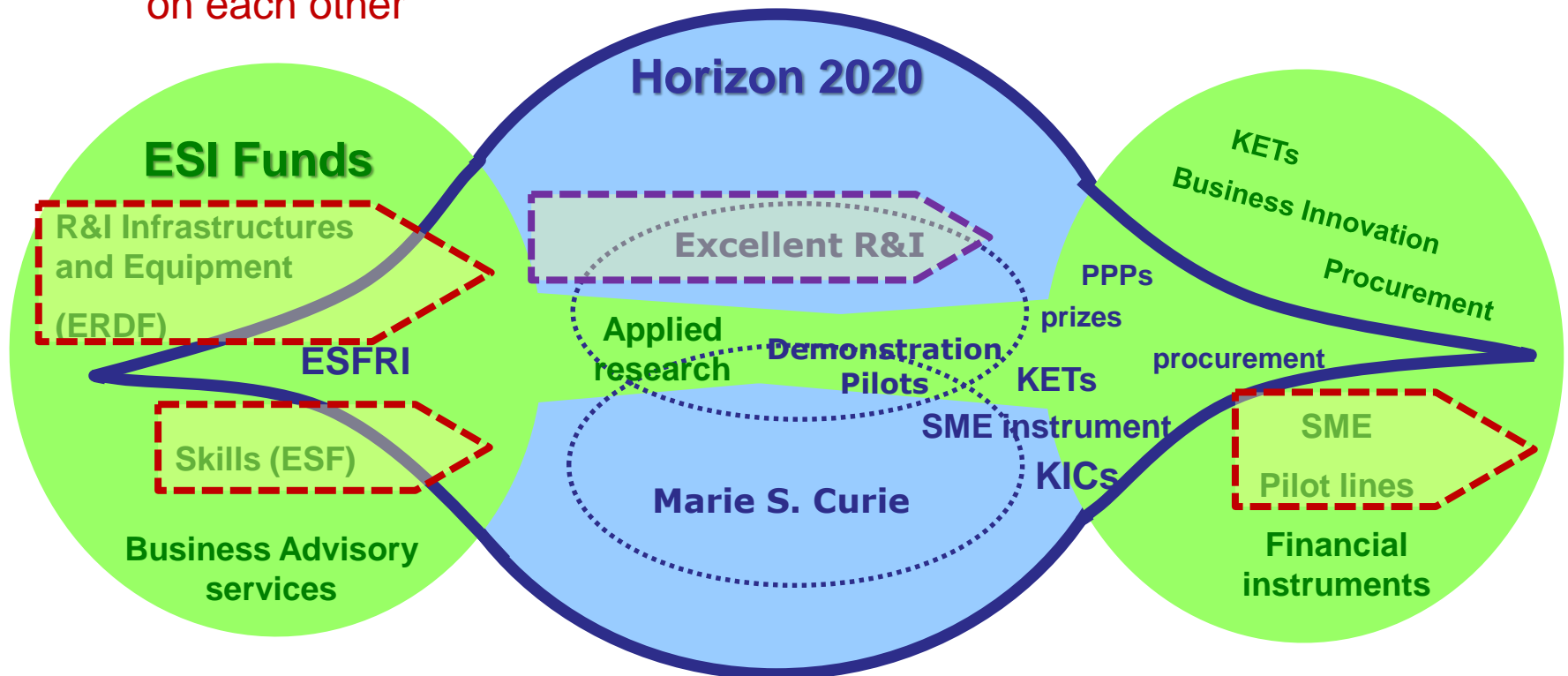


# How to achieve synergies?

ESIF Grant agreement

Horizon 2020 Grant

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

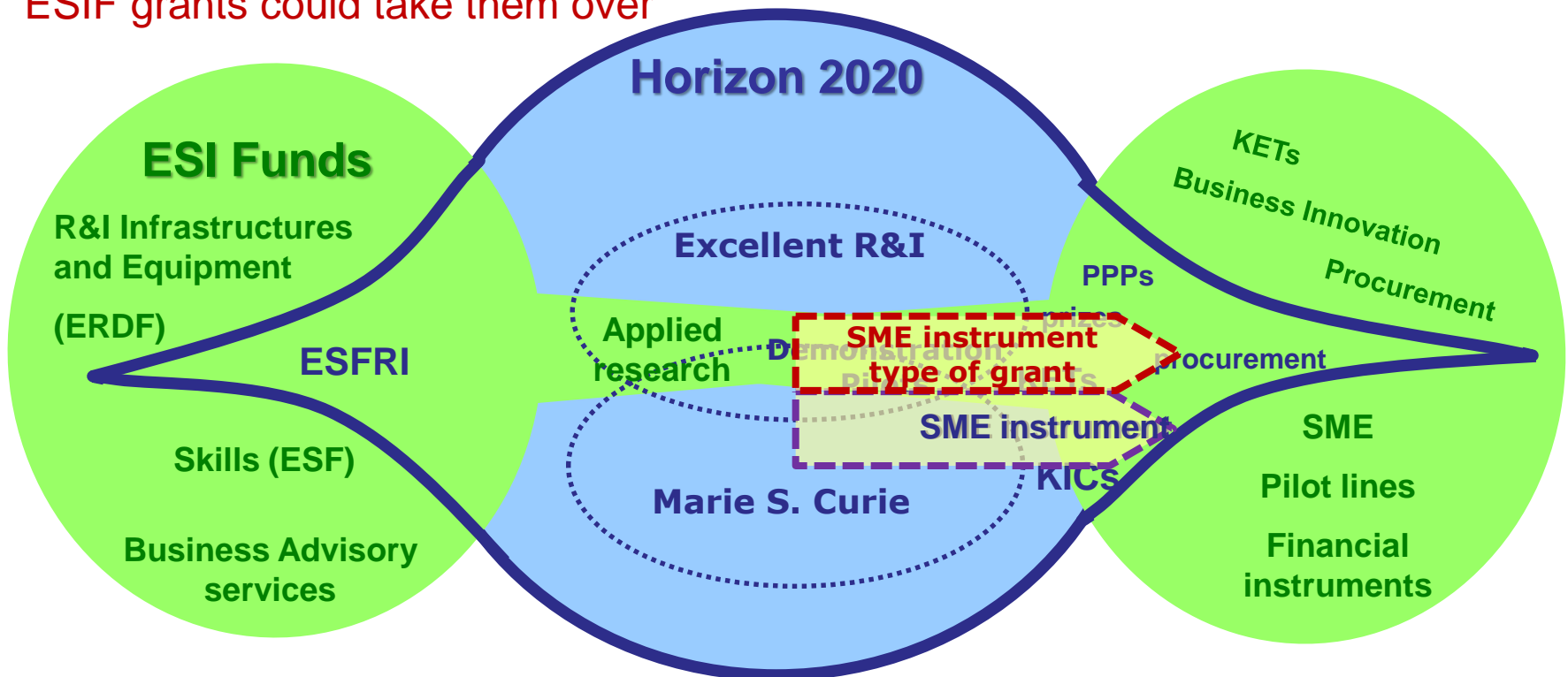


# How to achieve synergies?

ESIF Grant agreement

Horizon 2020 Grant

**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

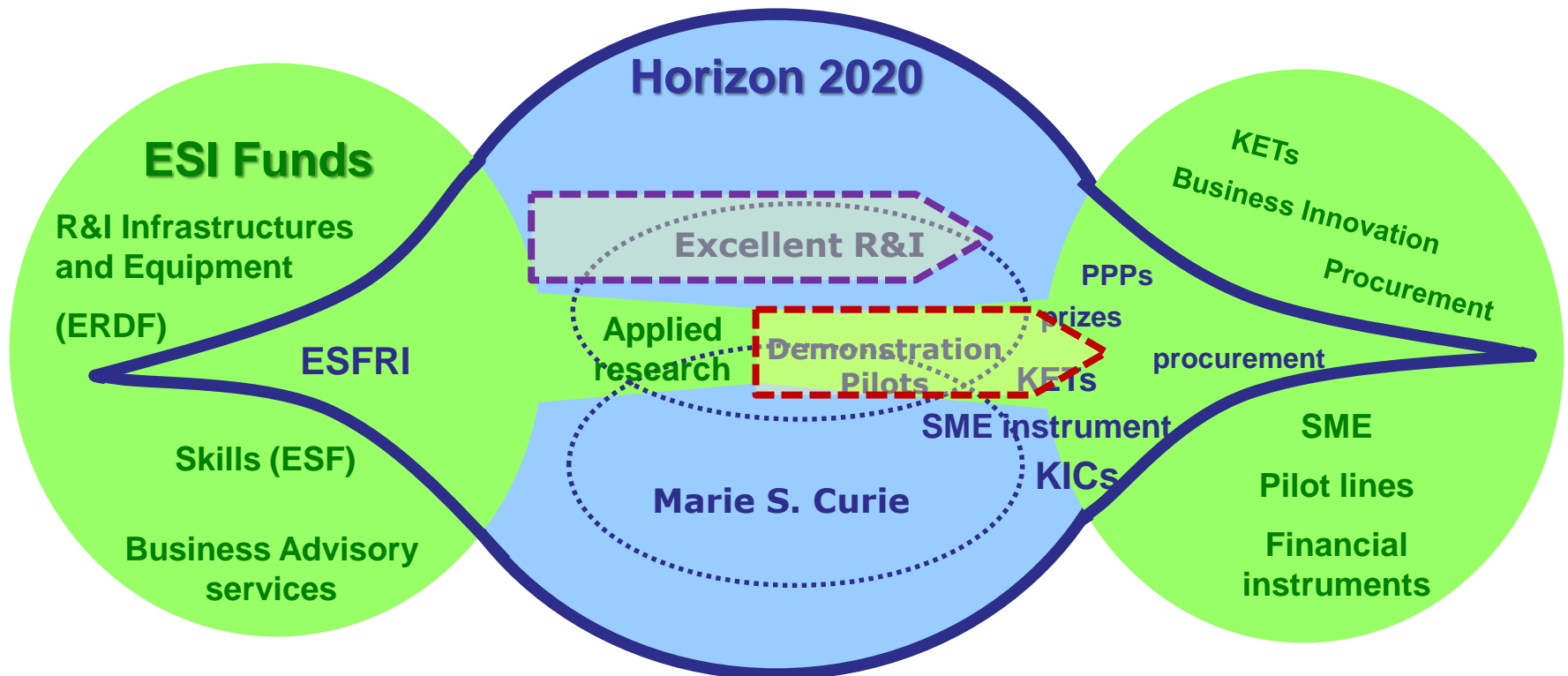


# How to achieve synergies?

ESIF Grant  
agreement

Horizon 2020  
Grant

## 3. Parallel projects that complement each other

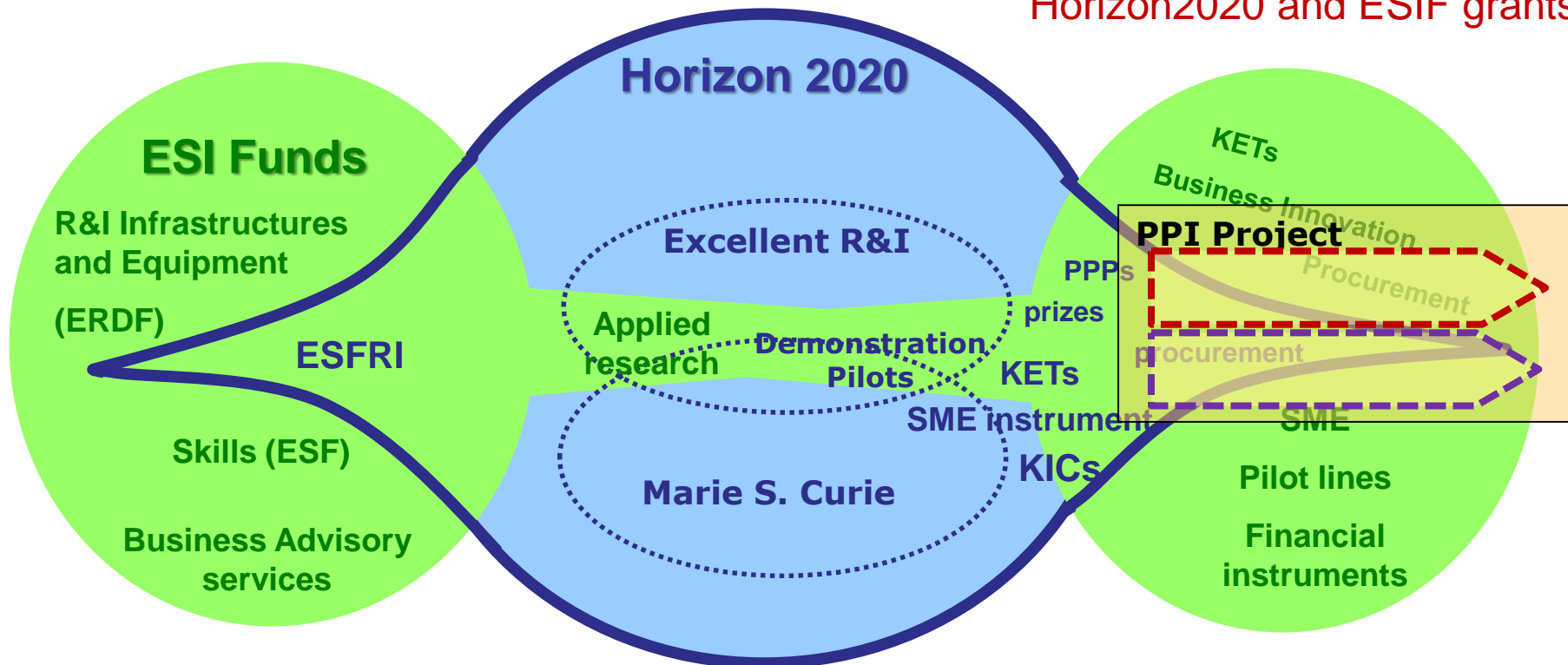


# How to achieve synergies?

ESIF Grant agreement

Horizon 2020 Grant

## 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 RIF 17.1)

CPR)

**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!  
ESIF & Horizon2020 grants may  
not cover the same cost item!  
(Art 37 Horizon 2020 RfP + Art 65(11))

# Cumulation in same project

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)

**Nota bene: Cohesion Policy's objective** is to improve regional economies, **not to fill H2020 budget gaps!** ESIF can only support projects contributing to place-based socio-economic development, not projects for "purely" scientific purposes and not research infrastructures that do not clearly benefit the socio-economic development, territorial cohesion and structural adjustment of regional economies!

# 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



# Thank you for your attention

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Guide on synergies available at:

[http://ec.europa.eu/regional\\_policy/sources/docgener/guides/synergy/synergies\\_en.pdf](http://ec.europa.eu/regional_policy/sources/docgener/guides/synergy/synergies_en.pdf)

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