



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

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Novelties for synergies between Horizon 2020 and ESIF

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.*



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

Modernisation of EU State aid frameworks:

See:

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

= 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:

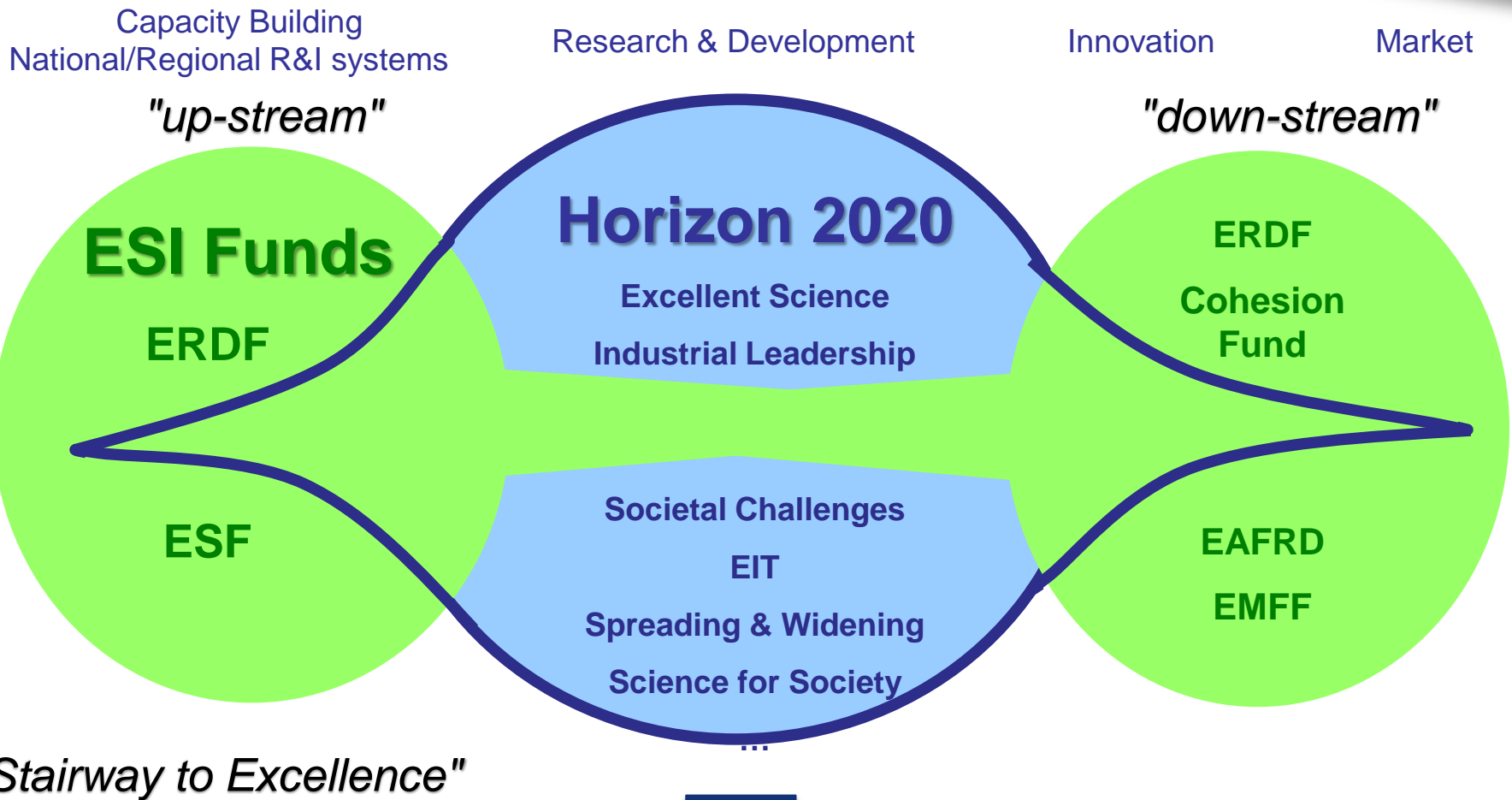
- Multi-country approach (consortia) vs. place-based (single beneficiaries)
- Competition for funds vs. geographical pre-allocation
- Annually adjusted work programmes vs. 7-year-OP
- Centralised management vs. implementation by MS/regions
- Research excellence vs. socio-economic development
- ...

Concept of synergies: different options

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

*"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?

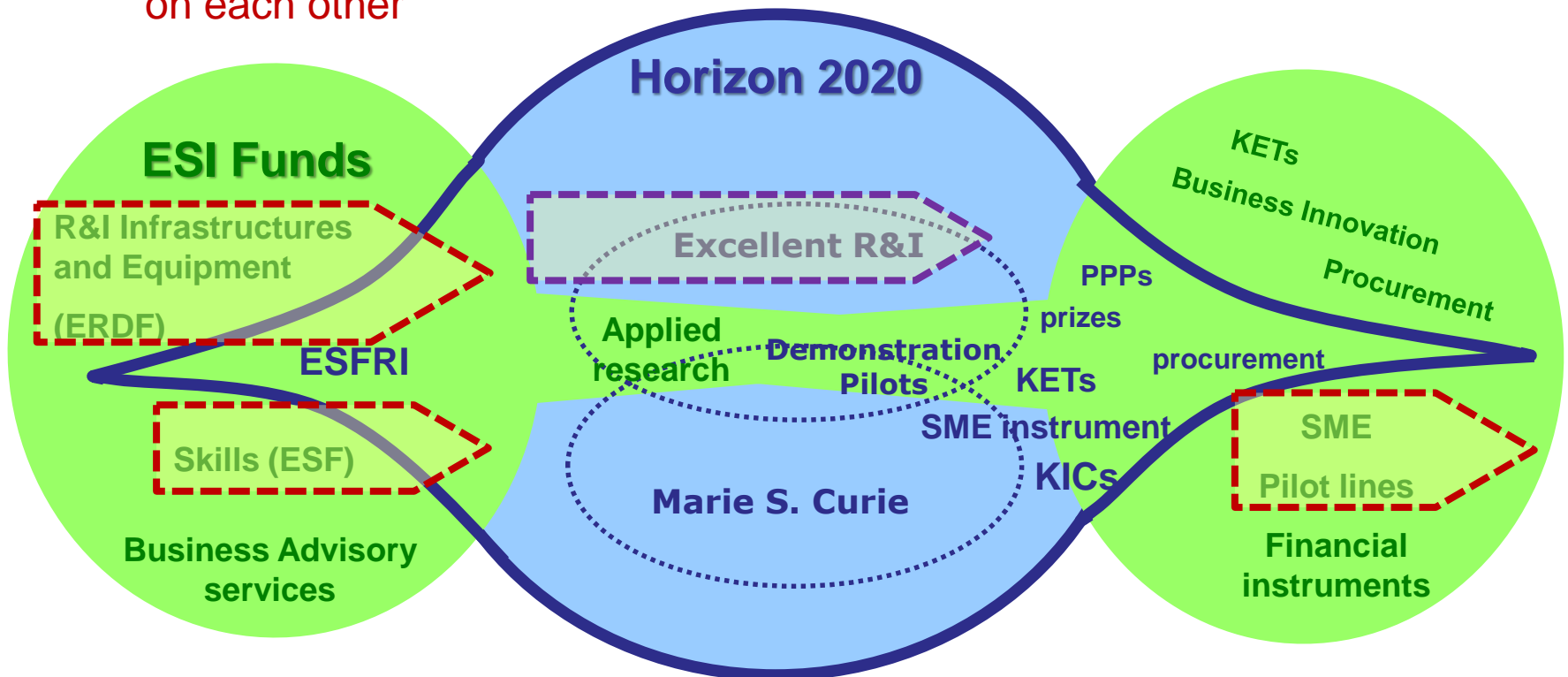


How to achieve synergies?

ESIF Grant agreement

Horizon 2020 Grant

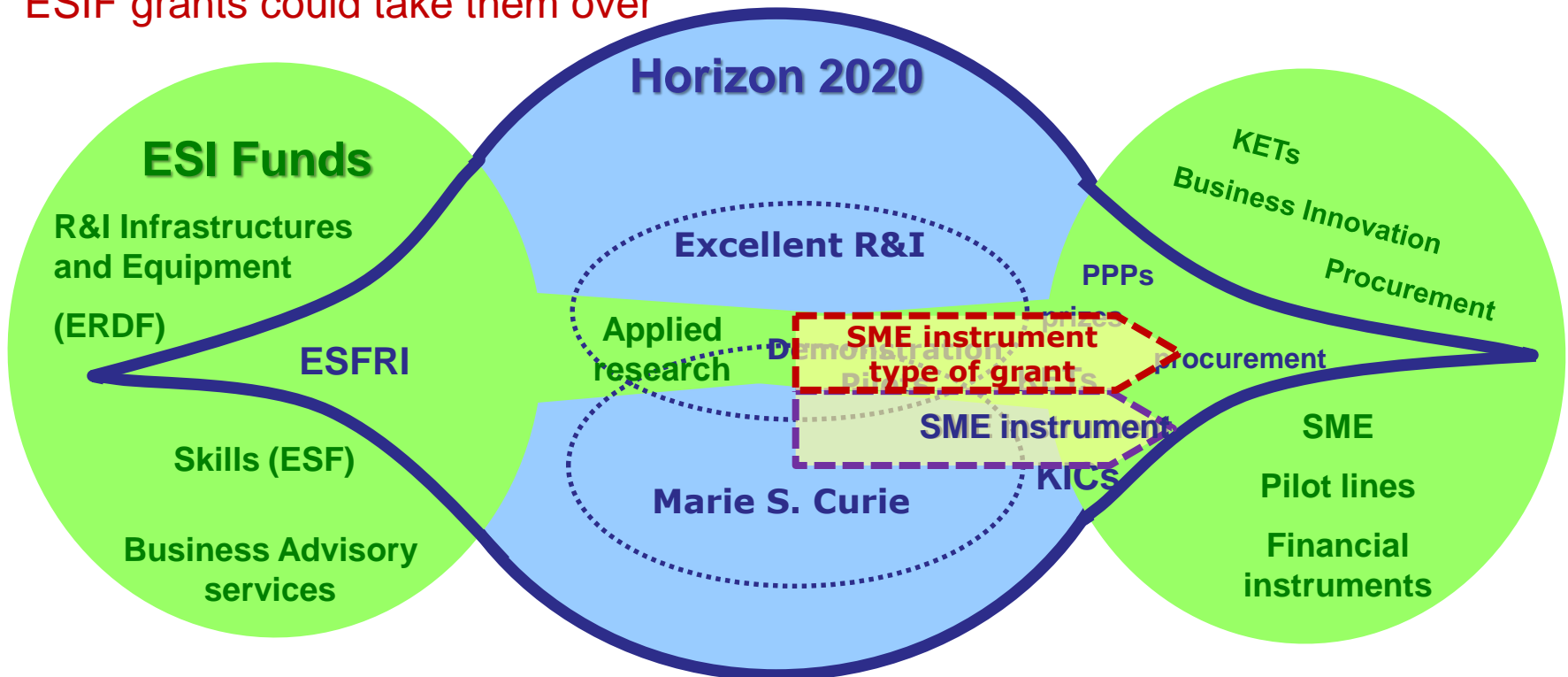
1. **Successive projects** from different instruments that build on each other



How to achieve synergies?



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

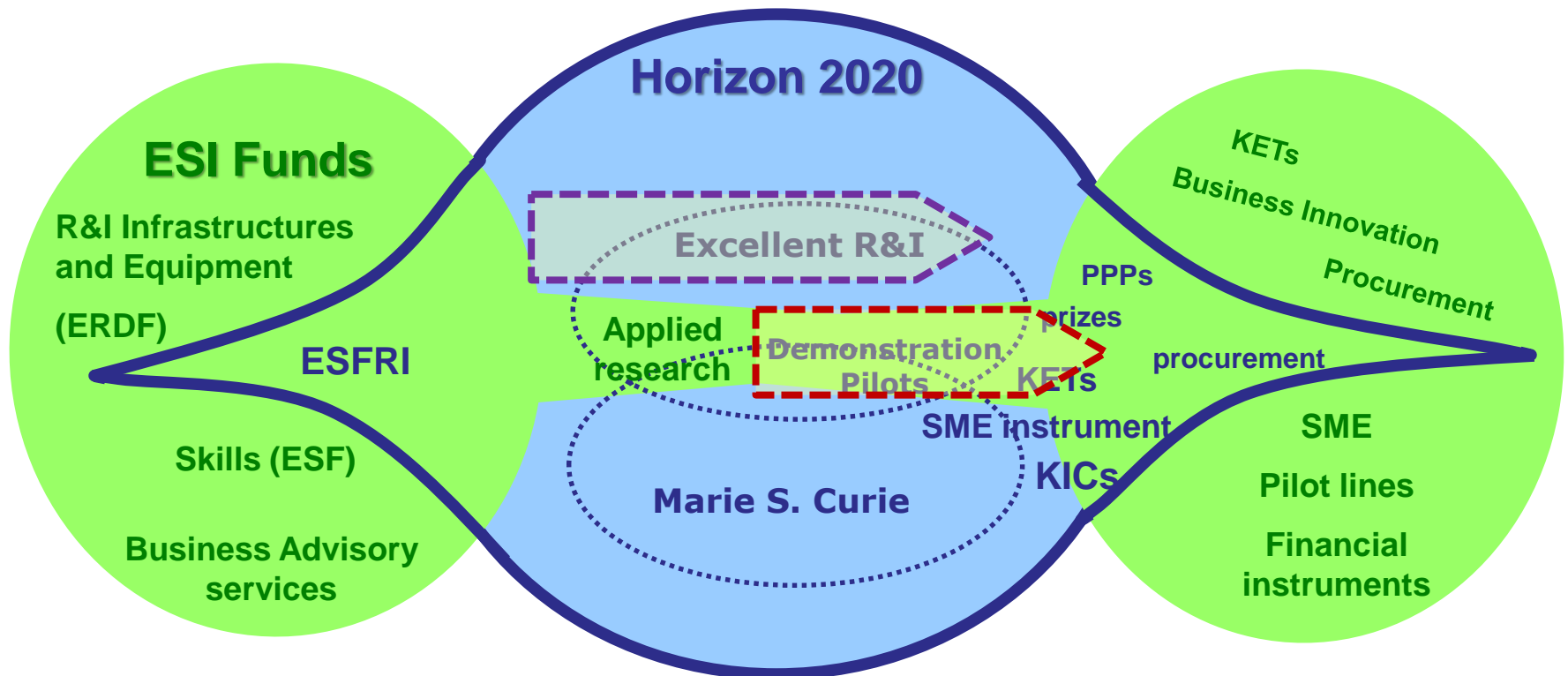


How to achieve synergies?

ESIF Grant agreement

Horizon 2020 Grant

3. Parallel projects that complement each other

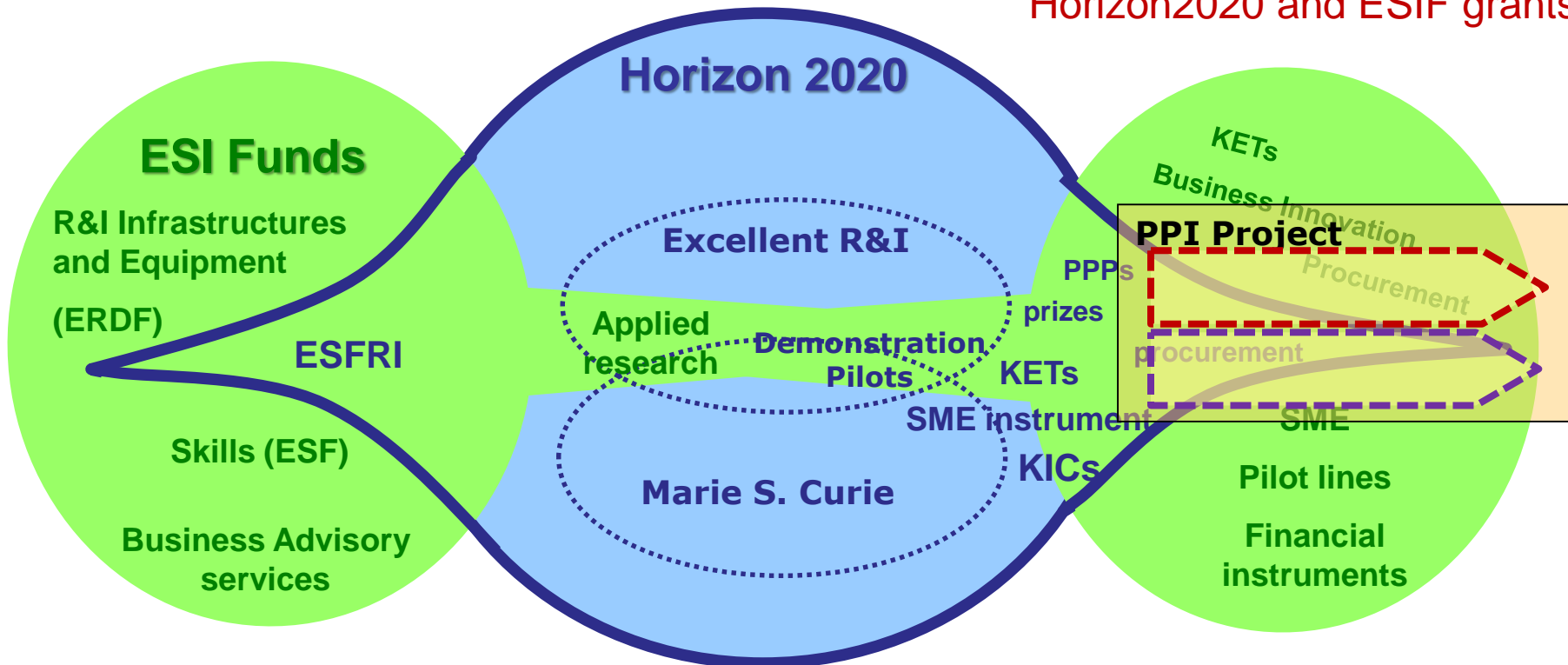


How to achieve synergies?

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

- ▶ **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!**

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)

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.

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

Cohesion Policy's objective is to improve regional economies, **not to fill H2020 budget gaps!**

How is EC facilitating synergies (1)

- *Awareness raising and information;*
- *EP PP 'Stairway to excellence' in EU 13 to identify potential for synergies;*
- *Eye@RIS3 mapping exercise on RIS3 priority fields across EU regions to encourage inclusion in Horizon2020 WPs;*
- *Hands-on support for the development of RIS3 through experts;*
- *Guiding principles for the selection of operations;*

How is EC facilitating synergies (2)

- ✓ *Reference to synergies in Horizon 2020 work programmes 2014-15 and in a number of topics;*
- ✓ *Alignment to RIS3 as a condition for Teaming proposals;*
- ✓ *Information being inserted in 2016-17 WP;*
- ✓ *Training to NCPs;*
- ✓ *Evaluators briefed when explicit reference to synergies;*

What is coming next? (1)

- ✓ *Auditors* involved in ESIF will be trained and informed to get greater understanding of other programmes (accounting systems and terminologies) and on synergies with them;
- ✓ *Guide for beneficiaries* (RTD) being updated;
- ✓ Identification and compilation of *good practice examples*;
- ✓ *Tracking system* for identifying and measuring progress of synergies (ISWG, AIRs, etc.)
- ✓ New business process to transfer positively evaluated proposals' details to managing authorities ('*seal of excellence*') and correspondent info campaign to Managing Authorities

What is coming next? (2)

- ✓ *Contacts to independent experts* registered in the Commission's expert databases to be provided to Mas/IBs;
- ✓ A *platform/network* for exchange of info, best practice examples and solving implementation practical issues;
- ✓ *Analysis of planned major projects* in 2014-2020 to make info about new research capacities available to Horizon 2020 programmers;
- ✓ *Support* for the improvement of the policy mix, notably via the S3Platform, mutual learning, studies, analysis and the provision of experts will be enhanced;
- ✓ *Data and analysis* to facilitate international and EU wide comparisons.



Declaration on **Seal of Excellence**

2013/C 373/02 of 20.12.2013

'Union level intervention **enables EU-wide competition to select the best proposals**, thereby raising levels of excellence and providing visibility for leading research and innovation'.

Positively evaluated European Research Council, Marie Skłodowska-Curie, teaming actions, phase-2 SME instrument or collaborative project proposals that could not be funded for budgetary reasons, **have still met the Horizon 2020 criterion of excellence.**



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

DG REGIO: http://ec.europa.eu/regional_policy/en/