



# Synergies between Framework Programmes and Cohesion Policy – a research and innovation policy perspective

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# Horizon Europe

is the Commission proposal for a **€ 100 billion** research and innovation funding programme for seven years (2021-2027)



**to strengthen the EU's scientific and technological bases**



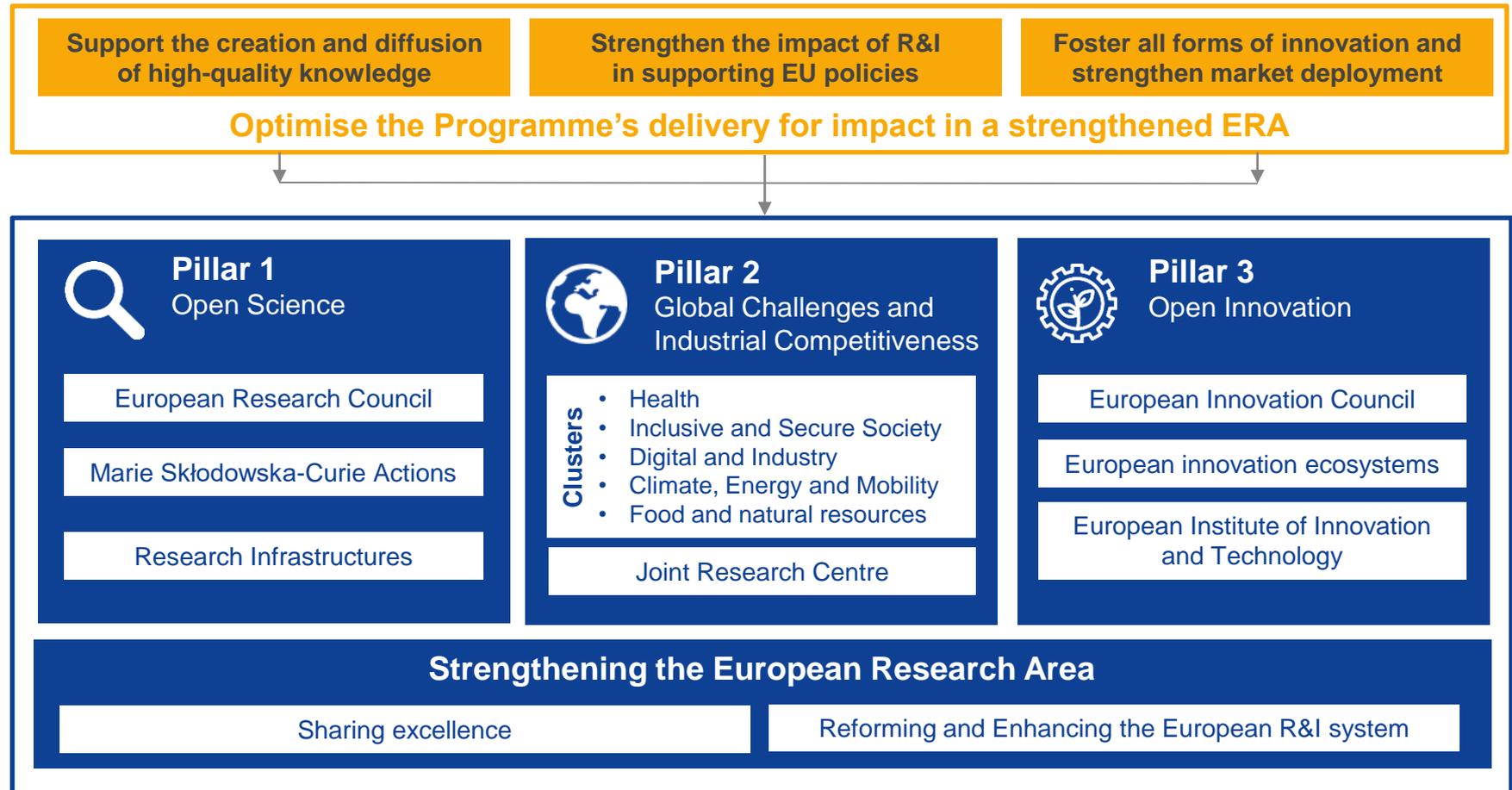
**to boost Europe's innovation capacity, competitiveness and jobs**



**to deliver on citizens' priorities and sustain our socio-economic model and values**

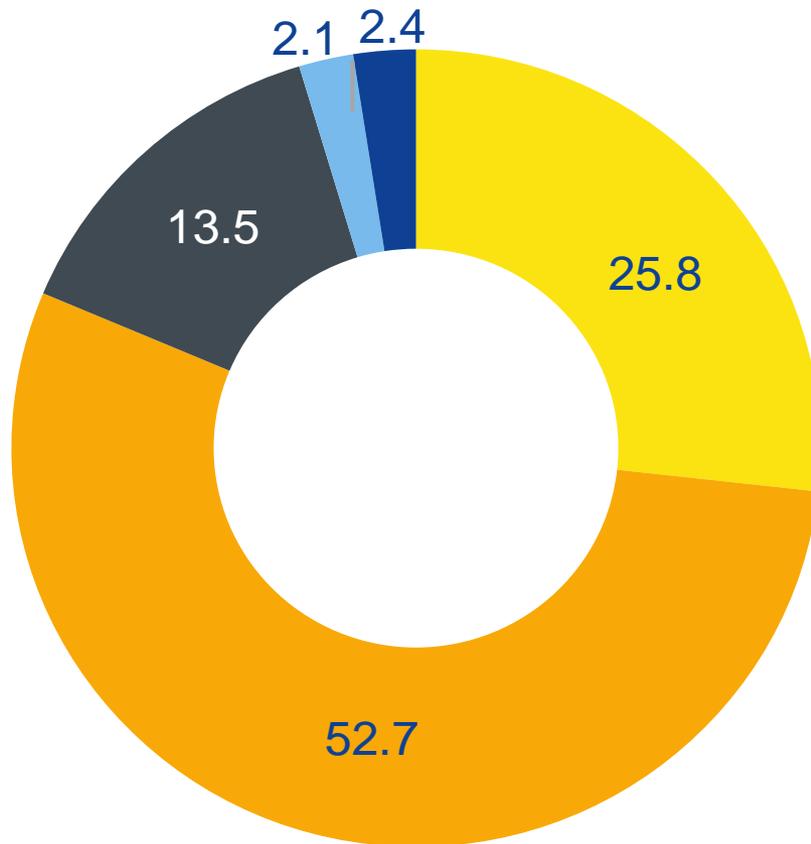
**€ 4.1 billion** are proposed to be allocated for defence research, in a separate proposal for a European Defence Fund

# Horizon Europe: evolution, not revolution



# Budget: €100 billion\*

(2021-2027, current prizes, incl. € 3.5 InvestEU)



- Open Science
- Global Challenges & Ind. Competitiveness
- Open Innovation
- Strengthening ERA
- Euratom

# Lessons learned

## from Horizon 2020 Interim Evaluation



Support breakthrough innovation



Create more impact through mission-orientation and citizens' involvement



Strengthen international cooperation



Reinforce openness



Rationalise the funding landscape



More synergies with other EU programmes



# Key novelties

## in Horizon Europe

European Innovation Council

R&I Missions

Extended association possibilities

Open science policy

New approach to Partnerships

Synergies with 16 other programmes



# Synergies in Framework Programmes – why?



Main findings of the **Horizon 2020 interim evaluation** include:

- Despite political willingness to increase coherence and linkages with other EU programmes, there are still many barriers to making synergies operational.
- Given different rules and implementing structures, and varying scale and scope of programmes, promoting synergies at project level remains difficult.
- The varying rules and arrangements lead to legal uncertainty for applicants, in particular as regards state aid rules.
- The objectives of different programmes sometimes overlap or duplicate.

**The need to improve and operationalise synergies from the design stage** is a key recommendation of the December 2017 Council Conclusions (*From the Interim Evaluation of Horizon 2020 to the Ninth Framework Programme*).

# Basic approach to FP – Cohesion Policy synergies

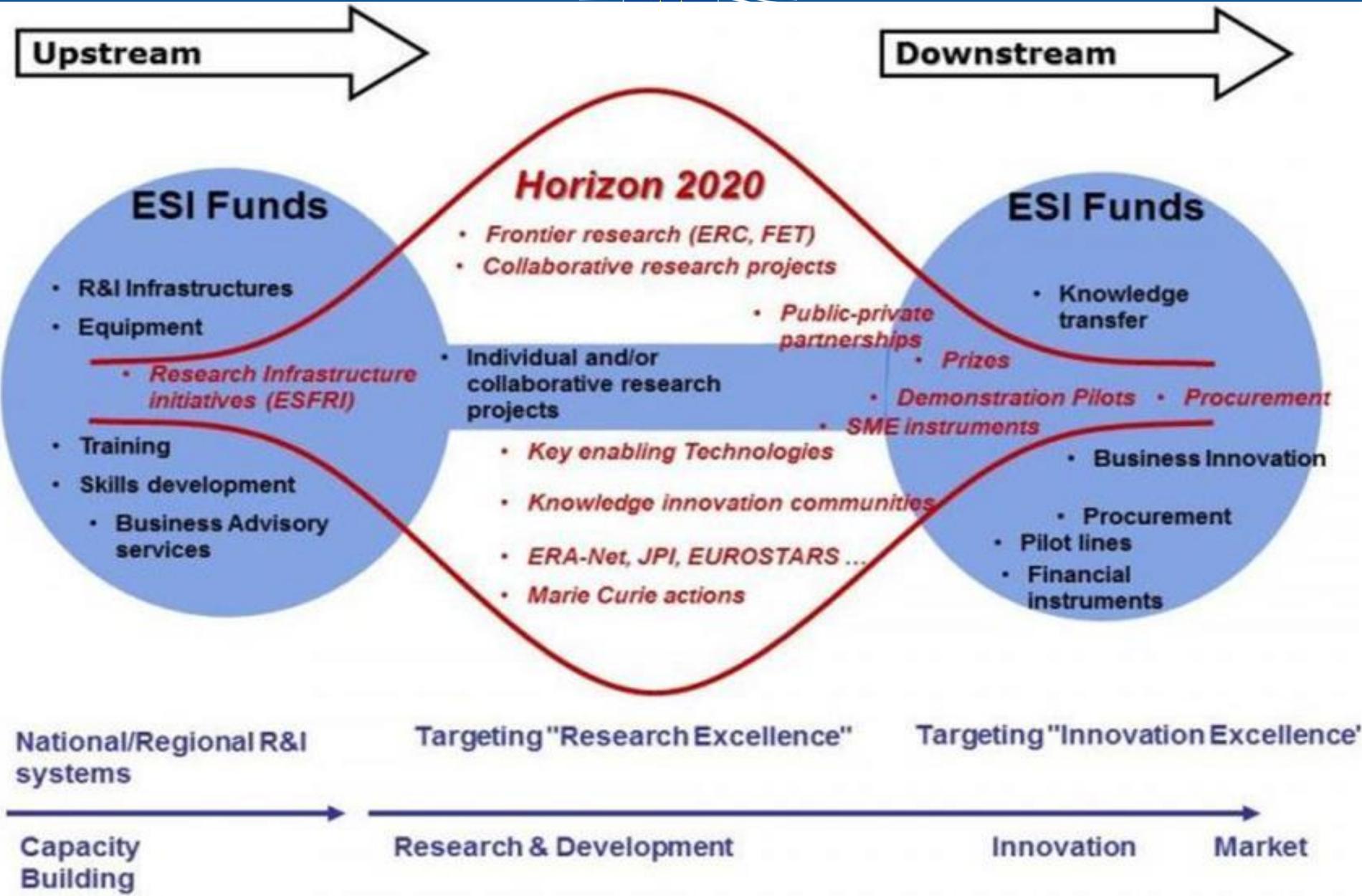
## Specificities and Complementarities

Framework Programmes	Cohesion Policy (ERDF)
<ul style="list-style-type: none"><li>Focus on <u>European research and innovation excellence</u></li></ul>	<ul style="list-style-type: none"><li>focus on <u>regional relevance</u> and economic transformation, based on smart specialisation strategies</li></ul>
<ul style="list-style-type: none"><li>Focus on <u>frontier research</u>, generation and exploitation of <u>new knowledge</u> and <u>disruptive, market-creating</u> innovations</li></ul>	<ul style="list-style-type: none"><li><u>Broad innovation concept</u>; focus on <u>diffusion and exploitation of existing knowledge &amp; technology</u> to places that need it</li></ul>
<ul style="list-style-type: none"><li>Quality-based competition for funds, incl. beyond EU</li></ul>	<ul style="list-style-type: none"><li>Focus of support on where it is most needed inside the EU</li></ul>
<ul style="list-style-type: none"><li>Predominantly trans-national projects and consortia</li></ul>	<ul style="list-style-type: none"><li>Predominantly "mono-beneficiaries" or actors in the same country/region</li></ul>
<ul style="list-style-type: none"><li>Focus on R&amp;I <u>activities</u> and "<u>R&amp;I community</u>" in view of contributing to other policies</li><li>Centralised Management</li></ul>	<ul style="list-style-type: none"><li>Focus on R&amp;I <u>capacities</u> and innovation ecosystem development, as one part of a <u>comprehensive policy</u> with sustainable &amp; inclusive growth and a broad partnership</li><li>Shared Management</li></ul>

- A renewed European Agenda for Research and Innovation - Europe's chance to shape its future (COM(2018) 306)
- Explanatory memoranda of proposals for HE and CPR/ERDF

- **Synergy-type 1:** Funding actions (sequential - upstream) that build research and innovation capacities of actors aimed at participating in Horizon 2020 or other internationally competitive research and innovation programmes
- **Synergy-type 2:** Funding actions (sequential - downstream) that capitalise on already implemented Framework Programme/Horizon 2020 research and innovation actions aimed at market up-take
- **Synergy-type 3:** Combining funding from Horizon 2020 and the ESIF (and/or from other sources) for coordinated parallel actions that complement each other
- **Synergy-type 4:** Bringing together funding from Horizon 2020 and the ESIF in an integrated research and innovation project that could be a single action or a group of inter-dependent actions or operations
- **Synergy-type 5:** Providing funding from alternative sources for positively evaluated Framework Programme/Horizon 2020 proposals but not funded due to insufficient Call budgets (Seal of Excellence)

# TAXONOMY OF SYNERGIES (2)





★ SEAL OF ★  
EXCELLENCE

**The Seal of Excellence is the high-quality label awarded to projects submitted to Horizon 2020 which were deemed to deserve funding but did not receive it due to budget limits. It recognises the value of the proposal and supports the search for alternative funding**

LAUNCHED	in 2015 – by Commissioners Moedas and Cretu
BASED ON	<i>Declaration on Seal of excellence 2013/C 373/02 - 20.12.2013</i>
FOLLOWING	POLITICAL MANDATE BY JUNCKER in 2014: Maximise synergies!
OBJECTIVE:	maximise <b>quality, quantity and impact of every € spent on R&amp;I</b> , valorising good projects unfortunately unfunded to the benefit of possibly interested alternative funding sources, primarily MS/ regions
CURRENTLY	AWARDED TO SME INSTRUMENT, MSCA, TEAMING (ERC PoC in preparation)
2021-2027:	SEAL MENTIONED IN MFF REGULATION, Horizon Europe, Digital Europe, Single Market Programme, LIFE, Creative Europe, Space Programme, Defence Fund, CEF2, Rights & Values Programme, Euratom



★ SEAL OF ★  
EXCELLENCE

- High mobilisation around the initiative + increased awareness of MA on R&I FP

BUT

Mixed results due mainly to:

- National / regional R&I funds often have **different priorities and project structures** than Horizon 2020 due to different needs and contexts
- **Only 10% of the Seals go to the EU-13 countries**, where most ERDF is
- **Different funding conditions** and applicable rules
- **Administrative burden** for both the public administration and the beneficiary
- **SWD** on the procedures to apply **felt lacking legal certainty** – fear of audits
- **No contact details** on the SEAL holders **available to funding bodies** (aggregated data only)
- **Not obligatory feedback** to COM on local/ regional/national seal schemes
- **Expectation management**



# Practical Example already at work: Synergies through Sequential Funding

**Key issue:** Link and/or align strategies (S3 & HE governance, European Partnerships, contract level links ...) and connect actors from regional development and research "communities".

## Example for "up-stream" synergies:

- **ERDF** support for improving and developing **R&I eco-systems**, incl. infrastructures, administrative capacities, interaction between innovation actors, **smart specialisation processes** and governance
  - ▶ Prepares for HE participation
- **H2020** support to develop **business plans for centers of excellence** ("sharing excellence"), "industrial pilot test-beds" or feasibility of **research infrastructures**
  - ▶ Facilitates application for ERDF funding for the infrastructure

## Example for "down-stream" synergies:

- **Horizon (2020&Europe) results** to be analysed in view of funding their further development, testing, etc. (e.g. "Innovation Radar")
  - ▶ **ERDF can carry further Horizon/FP results** towards marketable products, integration in value-chains, take-up in less innovative regions and countries, etc.



# Main points for Horizon Europe – ERDF synergies

- Novelties for synergies:
  1. Horizon Europe is designed to be implemented in synergy with other EU programmes (RECITAL 15)
  2. Alternative funding: Seal of Excellence: HE work programme shall specify calls under which SoE are awarded, EIC financial instrument support may be combined with an ERDF grant via a SoE, SoE projects may benefit from Horizon EIC business acceleration services **Art 11, 20(5), 43(6) HE Regulation**
  3. Receipt of transfers from directly / indirectly managed EU funds - **Art 9(8) HE Regulation**
  4. Cumulative funding: Joint funding for projects on pro rata basis - **Art 23 HE Regulation**
  5. Simplified Audit rules – **Art 48 HE Regulation**
  6. Synergies through strategic planning process (**Annex I** to Horizon Europe Decision)

# Conclusions

- Synergies already in place in current programming period
- Significant improvements and new opportunities in the post 2020 programming period
- Commission proposal prepares legislative ground for co-funding, seal of excellence and voluntary transfer across programme
- Major simplification
- Streamlined policy objectives
- Complexity still due to different management modes

**Thank you!**