

**Workshop on Synergies between European Structural and  
Investment Funds (ESIF) and Horizon 2020, for Public-  
Public Partnerships**  
(ERA-NETs, Joint Programming Initiatives, Article 185  
initiatives)

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**Report**

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## Introduction

### **Background elements**

With the new funding period for the European Structural and Investment Funds (ESIF) 2014-2020 featuring an overall budget of more than 350 billion Euros and the biggest EU Research and Innovation programme “Horizon 2020” ever launched (80 billion Euros between 2014 and 2020) substantial budget will become available on EU level to foster research and innovation activities. With view to the aims of the Europe 2020 strategy, its flagship initiative Innovation Union, the European Research Area, etc. and in the context of the still ongoing economic crisis in Europe that puts public budgets under severe constraints, it is vital that the investments for research and innovation on EU, national and regional level are better coordinated and achieve leverage effect where-ever possible.

Working towards increased synergies between Horizon 2020 and the ESI Funds has received special attention in this respect and was high on the political agenda during the whole negotiation and preparation phase of the two programmes.

Besides simplifying and harmonizing the regulatory framework for the two programmes, a clear division of efforts between Horizon 2020 and Cohesion policy is a necessity to achieve the envisaged synergies. Horizon 2020 will continue to support *excellence* regardless of geographical location. At the same time, Cohesion policy will provide support for regions across the Union that are building up their *capacities* for research and innovation.

A novelty for the current programming period 2014-2020 is the possibility of combined funding. This means using different public funding sources - including EU funding sources - within a programme, project or a group of projects. The possibility of combined funding seeks to exploit complementarities and synergies while at the same time avoiding overlaps and excluding double-financing.

The first calls of Horizon 2020 have just been launched and Member States are still in the process of drafting their Smart Specialisation Strategies, Partnership Agreements and Operational Programmes. The opportunities therefore, have to be seized now to take the first steps in realizing the envisaged synergies.

### **Aim and set-up of the workshop**

The focus of the workshop was to explore how to implement combined funding on an operational level and how, complementarities and synergies between Horizon 2020 and Cohesion policy can be facilitated for public-public partnerships (ERA-NETs, Joint Programming Initiatives, Article 185 initiatives) in a wider sense.

Realizing potential synergies requires effective communication and an exchange of information regarding operations of the two funding mechanisms between Managing Authorities of the ESI Funds and research funding ministries and agencies (key actors of the 'Horizon 2020 community') in Member States.

The workshop organised by the Directorate-General for Research and Innovation of the European Commission brought together around 90 persons representing those categories of expertise - from research programme owners and/ or managing organisations, ministries responsible for the ESIF programming, managing authorities responsible for ESIF implementation, and Innovation agencies, with knowledge about or expertise in implementing on ERA-Nets, Joint Programming Initiatives, and Art. 185 Initiatives.

A key feature of the workshop was the participatory leadership methods (world café setting, harvesting), that - beyond the information and introductory sessions - offered participants to actively engage in the workshop as follows:

- discuss key questions raised at the workshop in changing configurations;
- gain knowledge on first experiences, current practices, challenges, and possible next steps in developing synergies between different funding sources on EU level;
- expand their expert-network of colleagues to other organisations, Member States and the European Commission.

This report is not only intended as a summary to be provided to the participants of the workshop, but should also offer information about the current discussion points and potential next steps to take for all interested parties.

### **Participants in the Workshop**

Overall around 90 participants attended the workshop, out of which 15 were European Commission staff and 75 experts from Member States (no participants from Associated States or Third Countries participated to the workshop due to the focus on synergies with ESI Funds to which only Member States have access).

Also due to the fact that Belgium/Brussels is the seat of a number of associations and regional offices, participation from Belgium was highest followed by participation from

France, Spain and the Netherlands. The workshop participants came from 20 Member States. Twelve of these Member States represented EU-15, and 8 represented EU-13, but the ratio of participants from EU-15 versus EU-13 “was around 9:1.

Out of the 75 experts from the Member States: 60% declared themselves as representing either a Ministry responsible for the ESIF programming or a Managing authority responsible for ESIF implementation or Innovation agency, while 30% declared themselves as representing a Research programme owner (e.g. Ministry/Regional authority) or being a Research programme manager (e.g. Funding Agency).

With view to experiences with public-public-partnerships – in line with the numbers of initiatives existing, the highest percentage (30%) declared themselves as having experience with ERA-Nets, while 20% declared themselves as having experience with Joint Programming Initiatives and 10% as having experience with Art. 185 initiatives.



### **Setting the scene**

**Peter Dröll**, Director Directorate B (Innovation and ERA) of DG Research and Innovation opened the workshop by reminding participants of the exceptional year 2014 that brings about a number of changes, challenges and opportunities (Horizon 2020, new phase of ESIF, European elections). He went on to shortly explain the main goals of the workshop (identifying bottlenecks for synergies, making new connections – networking, providing recommendations) and pointed out the combination of: *ideas from research and innovation + the money and new regulations from Horizon 2020 and ESIF as well as the developed smart specialization strategies of the regions/countries provide huge opportunities for synergies that now have to be made concrete* utilizing the rich and diverse landscape in Europe. Finally he ensured participants that the European Commission will have a close look at the identified problems/barriers and will follow-up on them as needed.

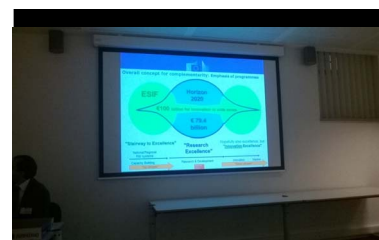
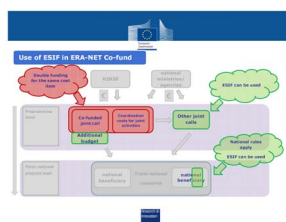
**Carmen Ianos** from DG Communications Networks, Content & Technology introduced the participatory approach and setting of the workshop, explained the process-related logistical issues and presented the organization team of the workshop.

**Katja Reppel**, Deputy Head of Unit for Smart and Sustainable Growth in DG Regional and Urban Policy gave a detailed presentation on the State of play guiding synergies between European Structural and Investment Funds, Horizon 2020 and other innovation-related EU Funds.

The three main chapters of her speech evolved around 1) the basics on the Cohesion Policy and ESIF management 2) rules for synergies with Horizon 2020 3) why ERA-Nets and Art 185 initiatives are potentially interesting for Managing Authorities.

The shared management of the Structural Funds between the European Commission and the Member States leads to a quite complex picture of implementation currently involving around 455 operational programmes and almost as many managing authorities from which about half are on regional level and half work on national level. Since 2007 more than 53 000 RTD projects have been funded with more than 20 700 research jobs created; however the impact on structural changes, the sustainability of these measures beyond the funding life-time and the coordination with other policy developments are not quite clear. The new thematic concentration and ex-ante conditionality for smart specialisation were implemented to strengthen the potential outputs and effect of the future funding. Novelities for synergies between Horizon 2020 and ESIF include that i) 15% of the total amount available for ERDF in the Operational Programme can be spent outside operational programme territory ii) a stronger obligation to work with innovation actors in other regions & Member States iii) the alignment of similar cost items allowing for easier combining of funds iv) obligation to seek synergies and complementarity with Horizon 2020 and other centrally managed EU programmes; v) the possibility to combine Horizon 2020 and ESIF funding in the same project via an exemption from the non-cumulative principle of Art. 129 Fin. Regulation that prohibits a beneficiary to receive 2 EU grants for a project.

However the basic principles “NO substituting of national or regional or private co-funding to centrally funded EU projects or programmes by ESIF money”; “NO double funding: an ESIF grant and a Horizon 2020 grant may not cover the same cost item”; “Synergies means more than combining ESIF and other Union grants in the same project” have to be respected when planning concrete projects.



**Jörg Niehoff** from the Unit ERA policy and reform – Joint Programming Sector in DG Research and Innovation provided the participants with an overview of the co-funding potentials of the three main public-public-partnership instruments of Horizon 2020, namely Joint Programming initiatives, ERA-Net Co-fund and Article 185.

Due to the fact that Joint Programming initiatives are funded by national budgets and do not receive EU funding of any kind for joint calls, it is possible to use ESIF either as national/regional contribution to joint calls or for research infrastructures (RIs) in relation to JPIs' Strategic Research Agenda (SRA). However restrictions apply if ERA-NET Co-fund / Art 185 are used to implement the respective part of the SRA.

The issue gets more complex for ERA-Net Co-fund projects as there is –by definition - a certain degree of co-funding by Horizon 2020. As stated earlier, Horizon 2020 and European

Structural and Investment Funds (ESIF) rules allow for the funding of the same action by two different Union funding sources provided that there is no double funding of the same cost-item. Member States may use Structural Funds for their contribution to the call, but only those MS contributions to the call budget that use purely national contributions will qualify for co-funding from Horizon 2020. Any call contribution a MS makes that is co-financed by Structural Funds does not qualify for additional funding from Horizon 2020.

A combination of funds is possible if Horizon 2020 is used to fund some projects (e.g. the top ones on the evaluation ranking list) and ESIF to others (projects further down the ranking list where no money from Horizon 2020 is available anymore). The implementation of Article 185 will only be relevant in a very limited number of cases but also here a cautious approach is necessary as the EU funding is involved in co-funding of the activities and the Rules for participation of Horizon 2020 apply.

### **Motivation for exploring synergies**

3 experts already involved in the ERA-Net, JPI or large cross-border research programmes presented their motivation to seek and explore potential synergies between Horizon 2020 and ESIF.

***Daria Julkowska*** from the ERA-Net activity on Research Programmes on Rare Diseases shortly presented their activity and the special issue they are confronted with: within their ERA-Net the earmarked budget for the yearly joint transnational calls increases but in parts cannot be spent. Because their calls are highly competitive (10% success rate) less competitive research groups are rarely invited to participate in transnational consortia. This currently mostly affects research groups from the EU-13. To improve the competitiveness of these currently “less performing” groups they would like to use ESIF for selected investments in research infrastructures / centres of competence and for developing human potential in the field of research and innovation in these regions in order to decrease the divide between the countries and increase the return on investment and funds leverage.

***Marta Slezak-Warszycka*** from the Baltic Sea Region Programme 2007-2013 (90 projects, 1150 partners from 10 countries, 219 Million EUR committed) explained that from the implementation phase of their programme a number of issues have arisen that might partly be tackled via a synergetic use of Horizon 2020 and ESIF: e.g. new research needs discovered in the projects; additional time and funding required for testing of developed solutions and offering products for the market, new actors/geographical areas interested in developed solutions; necessary awareness raising measures; financing newly established cooperation structures; transparent information/advisory services on funding options; developing harmonised requirements among the programmes; cooperation with actors responsible for the macro-regional strategy in the area; seed money type of financing for emerging ideas; cross-project capitalisation of results (clustering of projects).

**Hans-Günther Schwarz** from the Joint Programming Initiative Urban Europe portrayed urbanisation as one of the grand and complex challenges of our time. He argued that linear approaches, such as the classical “innovation chain” fail to provide solutions. However, RDI funding is still lined up along this hypothetic chain. One approach the JPI Urban Europe would like to follow in the future is to move from thematic-oriented calls to calls that would ask for the solutions of specific challenges presented by dynamics of urbanisation. He also pointed to the fact that to realize synergies it will be necessary to adapt the mindsets of the different funding and managing bodies (he explained that in the context of urbanisation challenge cities - from a pure cohesion argument – are often not perceived as “deprived areas” in need of support through ESIF).



The first interactive world café session on the issue of “motivation to explore synergies between Horizon 2020 and ESIF for public-public-partnerships” and “expected benefits of such activities” brought about plenty of arguments and expectations. Within the workshop they have been clustered along the following main categories:

More funding for Research and Innovation	Increasing the socio-economic impact
More money for R and I; maximise access to funding opportunities; enhance the support for funding recipients; more funding possibilities for research (networks) and capacity building for SSH networks; Sensitise beneficiaries about the potential of different financing sources for the same project; ESIF could fund those projects eligible for funding under H2020 (ERC, SME instrument, ...) but not in the highest ranking, possibility to use ESIF money for the cost items you cannot fund with other projects.	Sustainability of excellent research teams and optimal use of structural funds will lead to creating new jobs; keep/maintain competitiveness: creating the demand/ Pre-commercial procurement; to facilitate sustainable innovation effect of research projects/initiatives, achieve socio-economic impact; use the knowledge of two different worlds: managing authorities and researchers / innovative undertakings from all over the EU; sustainable regional development, including growth, jobs and products on the market.
Long-term and more strategic, bigger projects	Better quality projects
Longer-term funding based on advance strategic thinking; creating a larger scope of activities and up-scaling results; to combine different funding sources to develop a large project; larger and more integrated projects.	Rise quality of the project combining both dimensions: regional/cohesion and local/excellence; better quality of ESIF funded research; quality of the projects: managing authority decide to fund special actions; SMEs before applying to H2020 calls present project to local managing authorities - managing authorities read and give hints to match S3 goal - SMEs collect hints and submit to H2020 -project will be funded on ESIF and H2020; long-term use of Structural Funds

	(into RIS3) = sustained RDI excellence in H2020.
<b>Combining funds along the innovation chain</b>	<b>More participation of SMEs</b>
Integration of all the aspects of the research and innovation chain; enable the strategic combination of funds along the innovation chain - from research to market; more transparency in value chain "from excellence to innovation" and vice versa; more extensive value chain due to new partners/funding sources.	Using ESIF and H2020 for SMEs; businesses having more options/ building on failure + capacity building; help SMEs to be more competitive; more participation of SMEs in ERA-Nets (for calls using ESIF, not Co-fund).
<b>Long-term capacity building</b>	<b>Regional projects becoming transnational and contributing to the ERA</b>
Use the diverse funding opportunities efficiently to secure the sustainable development of R and I capacities + infrastructures built during 2007-13 period; ensure sustainability of research infrastructures (human resources, training); more utilisation efforts possibly combined with infrastructure activities.	Contributing to ERA at regional level; a regional project becomes a transnational collaborative project; possibility for regions to influence EU-level Strategic Research Agendas in the long-term;; combining funding sources of different types of countries: MS, AC, TC,...
<b>Going from H2020 to regional stakeholders</b>	<b>Trigger regions to prioritise</b>
Having H2020 funds going to local stakeholders; a research project can have a regional implementation (or several); to further develop/attract H2020 excellence to regional level (and further impact on education and infrastructure capacity building)	Force the regions to prioritise (via S3);bring regional level to innovation issues; encouraging synergies leads to increase efforts and investments focused on regions' smart specialisation; success builds on existing success; speeding-up innovation in regional areas but mindset of ESIF needs to be harmonised with the thematic funds to achieve that; aligning regional political agenda with the researchers and viceversa; grounding priorities in ESIF provides greater focus for all regional actors (also makes clear what will not be prioritised for funding); to support a sectorial integrated approach in line with the S3 priorities: from infrastructure to the market.

### Barriers to developing synergies

As the kick-off discussions on the barriers for potential synergies, two experts gave insights into their work and experiences:

**Gaëlle Herchin** from the Managing Authority of the ERDF in the Alsace Region identified three main barriers for implementing projects using ERA-Net and Structural Funds:

1) Different types of financing according to the different programme owners and members of the ERA-NET; for example: German partners receive refundable advance, French partners receive grants 2) Different eligibility criteria for expenditures 3) Setting up a project with European partners leads to numerous question like "What coordination?", "What monitoring for the ERDF?" and entail the difficulty of the evaluation of the impact for regional territory because of the European-wide scope. She also gave hints on positive aspects that can facilitate such co-operations and the administration if it: → having a variety of efficient stakeholders and institutions: for example: one person responsible for ERA-NET coordination in Alsace is located in the same agency responsible for helping enterprises to prepare proposals financed by ERDF); → Added value if regional enterprises are involved in the development of European lead markets; → Regional enterprises that have experience in



participating in collaborative projects (national financing); → in Alsace the ERA-NET coordinator and ERDF Managing Authority are the same institution facilitating communication and understanding.

**Christina Urgate** from the Basque Innovation Agency focused on the experiences of her organization with the ERA-Net scheme. The Innovation Agency is supporting the Basque Government in participating in ERA-NET actions since 2004 (16 ERA-NETs and 1 ERA-NET Plus). She explained that while the traditional ERA-Net activities did not produce any specific difficulties for the ERA-NET Plus action the European Commission provides an incentive for the participating organisations of joint calls by ‘topping-up’ joint transnational funding with Community funds (33%). This poses the difficulty of possible double funding in projects recommended in ERA-NET Plus calls. Since the new ERA-NET Co-fund is in its essence quite similar to the ERA-NET Plus scheme, regions participating in this initiative:

- either will have to participate with regional funding programmes that are not co-funded by ESIF or
- they will have to be able to separate those projects recommended in ERA-NET Co-fund call from the rest of regional projects submitted to the regional funding programme.

This session was followed by a world café format where experts at the tables discussed their concrete experiences with barriers for cooperation in public-public-partnerships and on more general level difficulties they have discovered in linking projects, organisations, managers and attitudes with ESIF and the EU Framework Programmes.

### Recommendations

Although discussed separately in the consecutive world café session, the “harvesting” of the information and arguments tried to combine the perceived barriers for synergies with potential recommendations and solutions for them:

BARRIER	RECOMMENDATIONS
<b>Complexity of the system: rules</b>	<b>RECOMMENDATIONS</b>
<ul style="list-style-type: none"> <li>- Complexity</li> <li>- No clear guidelines on synergies from EC</li> <li>- Different reporting and cost reporting requirements</li> <li>- Different rules for participation and funding ESIF versus H2020</li> <li>- Different rules coming from 2 different DGs (example of certificate of methodology for FP7)</li> <li>- Cost items = which ones funded by ESIF and ones by H2020? "Plan B" in case of unsuccessful H2020 application?</li> <li>- Mismatch in funding patterns, evaluation criteria</li> </ul>	<ul style="list-style-type: none"> <li>- Rules need to be clarified - what is possible, what is not?</li> <li>- Harmonisation of rules for participation</li> <li>- More flexible setting of rules by the EC</li> <li>- Harmonisation of eligibility criteria of expenditures and justification/monitoring</li> <li>- Similar rules and administration procedures between SF and H2020</li> <li>- Aligning of ways of paying researchers</li> <li>- Complete the ERA</li> </ul>
<b>Complexity - cross-border dimension</b>	<b>RECOMMENDATIONS</b>
<ul style="list-style-type: none"> <li>- Cross-border dimension in the process</li> <li>- Different language</li> </ul>	<ul style="list-style-type: none"> <li>- See diversity as an asset</li> </ul>

<p><b>Lack of synchronisation, timelines</b></p> <ul style="list-style-type: none"> <li>- Lack of synchronisation in the implementation of joint calls</li> <li>- Differences in administrations' (regio/national/European) functioning (notably schedules)</li> <li>- Mismatch in timelines; different time frames</li> </ul>	<p><b>RECOMMENDATIONS</b></p> <ul style="list-style-type: none"> <li>- Align the administrations' (regio/national/European) schedules (i.e. strategy and priority publication)</li> <li>- Synchronisation of calls, alignment of timing between calls</li> <li>- Speeding evaluation of H2020 for projects already supported by Structural Funds</li> </ul>
<p><b>Lack of strategic alignment H2020/ESIF</b></p> <ul style="list-style-type: none"> <li>- Lack of long-term plans</li> <li>- From research orientation to innovation orientation/ small interest by the industry</li> </ul>	<p><b>RECOMMENDATIONS</b></p> <ul style="list-style-type: none"> <li>- One advisory system</li> <li>- High priority to industries participation</li> <li>- Political and operational will of public agencies (innovation and development agencies) to engage and support synergies</li> <li>- Getting funding agencies and managing authorities for ESIF and H2020 to talk/plan strategies</li> <li>- Having common indicators for the 2 Funds, to measure the success of the synergy</li> </ul>
<p><b>Different information sources, lack of guidance and communication</b></p> <ul style="list-style-type: none"> <li>- Different information sources for different programmes</li> <li>- Guidance with practical examples still missing; guidelines should have been ready some time ago</li> <li>- Lack of knowledge of the other; lack of knowledge and communication among actors</li> <li>- Communication: need for clear messages</li> </ul>	<p><b>RECOMMENDATIONS</b></p> <ul style="list-style-type: none"> <li>- Q and A platform, service "help-line", platform for cooperation (clarification of roles, building awareness)</li> <li>- Share of knowledge between SF responsables and H2020 responsables at national level</li> <li>- Publish all guidelines as soon as possible</li> <li>- EC: Synergies guide should give practical examples, a list of the programmes/initiatives (like cofund, Art. 185, Art. 187, ...) and the meaning of "cost item" for each of these initiatives</li> <li>- Guidelines for each instrument combination, joint application to instruments</li> <li>- Coordination between EC DGs: one voice</li> <li>- Pedagogy</li> </ul>
<p><b>Reluctancy to use new tools</b></p> <ul style="list-style-type: none"> <li>- Psychological barriers</li> <li>- Barriers among local authorities</li> </ul>	<p><b>RECOMMENDATIONS</b></p>
<p><b>Change of vision, towards smart specialisation</b></p> <ul style="list-style-type: none"> <li>- Implement the change of vision in ESIF from "repair of regions" to "smart specialisation"</li> </ul>	<p><b>RECOMMENDATIONS</b></p> <ul style="list-style-type: none"> <li>- Regional authorities taking the lead and starting a dialogue where stakeholders are invited -&gt; smart specialisation strategy</li> <li>- Foster regions to draft S3</li> </ul>
<p><b>OTHERS</b></p> <ul style="list-style-type: none"> <li>- Geographical/regional limitations of funding is the limitation factor for funding excellent projects</li> <li>- Barrier among topics</li> <li>- Difficulties for regions to participate in the ERA-Net Cofund scheme if they use Structural Funds</li> <li>- Not been able to use ERA-Net Cofund to support the priorities of smart specialisation of those regions that have a funding programme co-funded by SF</li> <li>- Different interests for regions and researchers</li> </ul>	<p><b>RECOMMENDATIONS</b></p> <ul style="list-style-type: none"> <li>- Transparency and coordination in the process of preparation of ESIF and H2020 right from the very start (of preparation for 2014-2020)</li> <li>- EC level: understanding the specificity of national and regional situation; national level: consistency in policies (both in focus and time)</li> <li>- Use JPI as an instrument to link research funding (national) with structural funds</li> <li>- Keep in mind the limited amount of ESIF in "more developed" regions</li> <li>- Make regions partners in ERA-Nets</li> <li>- Bring regions on board with RDI funding processes</li> <li>- ERA-Net Cofund: combination is important not to exclude the regions that use Structural Funds in their funding programmes</li> <li>- Joint objectives (partially) of research and structural funds: investment as one of the output</li> </ul>



### “Wrap-up”

In his closing statement **Octavi Quintanta**, Principal Advisor and Chair of the “Smart Specialisation” Task Force in DG Research and Innovation, underlined that even though there are barriers, some of which are due to the nature of the two different programmes, there are a number of issues that can be tackled and that we need to work best with the tools we have. It is essential in this respect to make managing authorities understand that investing in R&I is important for the region and for themselves, even if investing in R&I may be riskier than building a road. To anchor R&I issues sufficiently into the Operational Programmes will decide upon the success of reaching synergies between Horizon 2020/ESIF; however this window of opportunity closes by mid-2014. He also stressed the importance of the smart specialisation process for bringing stakeholders of a region together to identify priorities.

As for the benefits of synergies he pointed out that the two programmes complement each other - from research to innovation, and from innovation back to research (identifying gaps in knowledge); they are a good way of widening, they will provide projects with better quality and a push towards strategic and long-term thinking. There is indeed complexity in the system; there are cultural barriers and different types of stakeholders – but there is no alternative to working together to make the best use of the limited R&I resources available. Finally he promised that the European Commission will work to provide the Guidelines on the Synergies as soon as possible but making the synergies work will also be the tasks of the ministries, member states, managing authorities, NCPs etc...

In a **final round of comments by the participants** the need to be pro-active on all levels - from the European Commission to the Member States and managing authorities - to achieve synergies has been stressed; this works best by making everyone part of the solution (e.g. by involving them in consortia); the need to exchange best practices and “know how” via a learning-sharing platform was raised as well as the potential international dimension to the issue.

## Conclusions

Beyond the rich information provided and exchanged by the participants within the discussions in the world café settings, some general observations regarding the event can be made:

1. *Management of expectations needed*

Expectations about realizing synergies are quite high on all sides (the European Commission expects a lot from the Member States, the Member States expect guidance from the European Commission, the projects expect help from the managing authorities and/or National Contact Points and other support services, the managing authorities expect clear guidance for decisions and the implementation,...); managing these expectations and containing them to a realistic level that makes it possible to plan, fund and implement projects without risking a) to overburden the administrative structures b) lose the characteristics and “unique selling point” of each of the programmes c) confuse the concerned organizations/people will be a next crucial step.

2. *Message about synergies has – at least in parts - reached the stakeholders*

It seems that the message about potential synergies has already reached the experts participating in the workshop – it was interesting to see that for example when discussing potential benefits of synergies their arguments were very similar (even in the wording) to the “policy arguments” used by the European Commission.

3. *Only few concrete examples of synergies so far available*

There are still only few examples of concrete projects demonstrating such synergies known and out in the open (also because the regulation for synergies has been adapted mainly in view of the current funding period from 2014 onwards); nevertheless stories of failed combined funding attempts are also whirling around adding to the uncertainty.

4. *Barriers/recommendation are at this stage at a quite general level*

The collection of barriers and recommendations revealed that they remain on a quite general level (not specific to public-public partnerships). This seems natural for the moment as currently the Partnership Agreements and Operational Programmes for ESIF are still under preparation. It is however expected that more concrete questions of synergies will arise once the concrete implementation phase of the Operational Programmes starts and the first evaluation round of Horizon 2020 will be finished and the decision about which projects to fund and how will become more pressing.

5. *Information and communication are key*

It is clear that for preparing the ground for synergies between Horizon 2020 and ESIF (to the people managing the programmes and stakeholders) it is important to provide hands-on information on “how to...” on the one hand but almost as important is to offer strategic insight and encourage a mind-set to do so. This could be covered via guidelines, learning- and sharing platforms, the support of networking between the stakeholders in and across the regions, organisation of workshops etc.

6. *Public-public partnerships will face different challenges in achieving synergies according to the instrument used in Horizon 2020*

The complexity of achieving synergies between Horizon 2020 and ESIF in the context of public-public-partnerships is heavily dependent on the instrument used. In particular funders involved in an Art.185 initiative or an ERA-NET Cofund will need to make clear choices on which funding sources to use, e.g. ESIF or national sources. A combination as such seems possible only in limited cases and this has to be actively communicated to the beneficiary level as well.

## **Annex 1: Further reading and information**

### ***Horizon 2020:***

Horizon 2020 regulations & rules for participation, PPP & P2Ps

[http://ec.europa.eu/research/participants/portal/desktop/en/funding/reference\\_docs.html](http://ec.europa.eu/research/participants/portal/desktop/en/funding/reference_docs.html)

Article 185

[http://ec.europa.eu/research/era/art-185\\_en.html](http://ec.europa.eu/research/era/art-185_en.html)

Joint Programming

[http://ec.europa.eu/research/era/joint-programming\\_en.html](http://ec.europa.eu/research/era/joint-programming_en.html)

ERA-Net

[http://ec.europa.eu/research/era/era-net\\_en.html](http://ec.europa.eu/research/era/era-net_en.html)

[http://ec.europa.eu/research/fp7/index\\_en.cfm?pg=eranet-projects-home](http://ec.europa.eu/research/fp7/index_en.cfm?pg=eranet-projects-home)

### ***European Structural and Investment Funds:***

Common Provisions Regulation for the European Structural and Investment funds

[http://ec.europa.eu/regional\\_policy/what/future/proposals\\_2014\\_2020\\_en.cfm](http://ec.europa.eu/regional_policy/what/future/proposals_2014_2020_en.cfm)

ERDF, ETC & Cohesion Fund Managing Authorities

[http://ec.europa.eu/regional\\_policy/indexes/in\\_your\\_country\\_en.cfm](http://ec.europa.eu/regional_policy/indexes/in_your_country_en.cfm)

Research and innovation support under ESIF

[http://ec.europa.eu/regional\\_policy/activity/research/index\\_en.cfm](http://ec.europa.eu/regional_policy/activity/research/index_en.cfm)

ESF, Youth initiatives & PSCI

<http://ec.europa.eu/esf/main.jsp?catId=45&langId=en>

EAFRD

[http://enrd.ec.europa.eu/policy-in-action/communicating-rural-development/eafrd/en/eafrd\\_en.cfm](http://enrd.ec.europa.eu/policy-in-action/communicating-rural-development/eafrd/en/eafrd_en.cfm)

EMFF

[http://ec.europa.eu/fisheries/reform/emff/index\\_en.htm](http://ec.europa.eu/fisheries/reform/emff/index_en.htm)

### ***Smart Specialisation:***

Smart Specialisation Platform:

<http://s3platform.jrc.ec.europa.eu>

General information:

[http://ec.europa.eu/research/regions/index\\_en.cfm?pg=smart\\_specialisation](http://ec.europa.eu/research/regions/index_en.cfm?pg=smart_specialisation)

OECD and Smart Specialisation

<http://www.oecd.org/sti/inno/smartspecialisation.htm>

### ***Others***

European Research Area

[http://ec.europa.eu/research/era/index\\_en.htm](http://ec.europa.eu/research/era/index_en.htm)

Innovation Union:

[http://ec.europa.eu/research/innovation-union/index\\_en.cfm](http://ec.europa.eu/research/innovation-union/index_en.cfm)

COSME

<http://ec.europa.eu/cip/cosme/>

Erasmus plus

[http://ec.europa.eu/education/index\\_en.htm](http://ec.europa.eu/education/index_en.htm)

Erasmus plus regulation

[http://ec.europa.eu/programmes/erasmus-plus/documents/erasmus-plus-legal-base\\_en.pdf](http://ec.europa.eu/programmes/erasmus-plus/documents/erasmus-plus-legal-base_en.pdf)

Creative Europe

[http://ec.europa.eu/culture/creative-europe/index\\_en.htm](http://ec.europa.eu/culture/creative-europe/index_en.htm)

Digital service part of CEF

<http://ec.europa.eu/dgs/connect/en/content/public-services-digital-service-infrastructures-connecting-europe-facility>

For end beneficiaries in 2007-2013 period: Practical guide to EU funding opportunities for research and innovation [http://ec.europa.eu/research/regions/documents/publications/new\\_practical\\_guide.pdf](http://ec.europa.eu/research/regions/documents/publications/new_practical_guide.pdf)

## Annex 2: Agenda of the Workshop

<b>WHEN</b>	<b>WHAT</b>	<b>WHO CONTRIBUTES</b>
09h30	<b>Registration and welcome coffee</b>	Everybody
10h00	<b>Welcome and introduction</b> <ul style="list-style-type: none"> <li>• Main purpose: (i) Identify benefits of combining H2020 and ESIF for the P2Ps, (ii) Gather showcases, (iii) Next steps and recommendations to overcome barriers</li> <li>• Process of the day</li> <li>• Overview of ESIF and possible synergies with H2020</li> <li>• Overview of P2Ps and potential synergies between ESIF and H2020</li> </ul>	<ul style="list-style-type: none"> <li>➤ Peter Dröll, European Commission DG RTD, Acting Director, Directorate B ("Innovation Union and European Research Area") (5')</li> <li>➤ Carmen Ianosi, European Commission DG CNECT, Unit 02 ("Knowledge Sharing") (5')</li> <li>➤ Katja Reppel, European Commission DG REGIO, Deputy Head of Unit G1 ("Smart and sustainable growth") (15')</li> <li>➤ Jörg Niehoff, European Commission DG RTD, Unit B2 ("ERA policy and reform") (10')</li> </ul>
10h35	<b>Learning about each other</b>	Everybody
10h40	<b>Presentations</b> on examples of interest, motivations and benefits of combining funds	Speakers (5' per speaker): <ul style="list-style-type: none"> <li>➤ Daria Julkowska, E-Rare Project Coordinator, French Foundation for Rare Diseases, France</li> <li>➤ Marta Slezak-Warszycka, Project Officer, Baltic Sea Region Programme 2007-2013, Investitionsbank Schleswig-Holstein, Germany</li> <li>➤ Hans-Günther Schwarz, Joint Programming Initiative Urban Europe (Policy coordinator), Austrian Ministry of Transport, Innovation and Technology, Austria</li> </ul>
10h55	<b>Identifying the motivations:</b> <ul style="list-style-type: none"> <li>• What are your expected benefits of combining funds?</li> </ul>	Everybody (tables of 6 persons each)
11h25	<b>Coffee break</b>	
11h35	<b>Mapping experiences</b> <ul style="list-style-type: none"> <li>• What is your country/region/organisation experience in combining funds for ERA-NETs, JPIs, Art. 185?</li> <li>• What types of combinations of funds have you experienced or are you expecting?</li> </ul>	Everybody (tables of 6 persons each)

12h35 – 13h45	<b>Lunch</b>	
13h45	<b>Presentations</b> on examples of barriers encountered, positive factors, lessons learned, recommendations	Speakers (5' per speaker): ➤ Gaëlle Herchin, Project Officer ERDF – Research and development, Alsace Region, France ➤ Cristina Ugarte , Project Manager, Internationalisation Department of the Basque Innovation Agency, Innobasque, Spain
14h00	<b>Identifying barriers and next steps</b> • Q1: What are the specific and/or generic barriers you have encountered, or you are foreseeing? • Q2: What are your recommendations for success?	Everybody (tables of 6 persons each)
15h00	<b>Reporting back from the different tables, discussion and next steps</b>	Everybody
15h45	<b>Wrap up and next steps</b>	➤ Octavi Quintana, European Commission DG RTD, Principal Adviser, Chair of the Task Force "Smart Specialisation"
16h00	<b>End of meeting</b>	



### **Annex 3: List of Participants**

<b>First Name</b>	<b>Last Name</b>	<b>Organisation</b>	<b>Country</b>
Valerio	ABBADESSA	ENEA	Italy
Paraskevi	AFENTAKI	Ministry of Education and Religious Affairs	Greece
Karel	AIM	Academy of Sciences of the Czech Republic	Czech Republic
Christele	ALLAUD	Conseil régional de Martinique	Belgium
Salvatore	AMICO ROXAS	ENEA & European Energy Research Alliance (EERA)	Belgium
Rafael	de ANDRES MEDINA	National Institute of Health Carlos III	Spain
Martin	BAUMGARTNER	FFG	Austria
Amaia	BELOKI	Delegation of the Basque Country to the EU	Spain
Uldis	BERKIS	Study and Research Administration, Ministry of Education and Science	Latvia
Anna Lisa	BONI	REGION PACA	Belgium
Elisabeth	BOUGEOIS	Bureau Bourgogne Franche-Comté Europe	France
Wieske	BRESSERS	NWO	The Netherlands
Ingo	BUNZECK	Energy research Centre of the Netherlands (ECN)	Netherlands
Zoe	BUYLE BODIN	Lower-Normandy Brussels Office	Belgium
Olivia	CAHUZAC	CEIS	Belgium
Lucia	CANNELLI	Emilia-Romagna Region	Italy
Emma	CAREY	UK Research Office	UK
Magnus	CARNWALL	Swedish Energy Agency	Sweden
Ninetta	CHANIOTOU	Kainuun Etu Oy	Finland

Armande	COCQUEREZ	CEA	France
Andrea	CONTE	European Commission, DG Joint Research Centre	
Valérie	DEHAUDT	MAAF	France
Marco	DICIANO	InnovaPuglia spa	Italy
Jose	DIEGO	Castilla y Leon Innovation agency	Spain
Peter	DRÖLL	European Commission, DG Research and Innovation	
Minerva	ELIAS	ACCIAO	Spain
Julie	ESTAL	Languedoc Roussillon Regional Office in Brussels	France
Karen	FABBRI	European Commission, DG Research and Innovation	
Jean-Emmanuel	FAURE	European Commission, DG Research and Innovation	
Raquel	FERNANDEZ HORCAJADA	AALA	Belgium
Jean-Pierre	FINANCE	CPU (French University Rectors Conference)	France
Eric	FOUCHER	CPU (French Rectors University Conference)	France
Andere	GOIRIGOLZARRI	Innobasque	Spain
Udo	GOMMEL	Fraunhofer IPA	Germany
Martina	HARTL	Federal Ministry of Science and Research Austria	Austria
Freek	HEIDEKAMP	TNO	The Netherlands
Gaëlle	HERCHIN	Research and development, Alsace Region	France
Günter	HORCHER	Fraunhofer Institute for Manufacturing Engineering and Automation	Germany
Michael	HUCH	EURAMET e.V. - European Association of National Metrology Institutes	Germany
Alison	HUNTER	Scotland Europa	Belgium

Erwan	HUON de KERMADEC	EARTO	Belgium
Carmen	IANOSI	European Commission, DG Communications Networks, Content & Technology	
André	JESTIN	ANSES	France
Daria	JULKOWSKA	French Foundation for Rare Diseases	France
Zsuzsanna	KOENIG	European Commission, DG Maritime Affairs and Fisheries	
Tereza	KRAUSOVA	European Commission, DG Regional and Urban Policy	
Dionysia	LAGIOU	European Commission, DG Research and Innovation	
Andrea	LAGUNDZIJA	ERRIN	Belgium
Pia	LAURILA	European Commission, DG Research and Innovation	
Pascal	LEHANCE	Public Service of Wallonia - Department of Energy	Belgium
Anja	LURSON	Office of the Land Berlin to the EU	Germany
Janika	LUUKINEN	East and North Finland EU Office	Finland
Yasen	MARKOV	Ministry of Transport, Information Technology and Communications	Bulgaria
Iulia	MIHAIL	Ministry of National Education, Romanian Office for Science and Technology - ROST	Romania
Daisy	MOLFESE	Veneto Region Brussels Office	Belgium
Vallo	MULK	Estonian Research Council	Estonia
Ülle	NAPA	Estonian Research Council	Estonia
pascal	NEWTON	Ministère de la Recherche et de l'Enseignement Supérieur	France
Jörg	NIEHOFF	European Commission, DG Research and Innovation	
Eric-Olivier	PALLU	European Commission, DG Research and Innovation	
Esa	PANULA ONTTO	Finnish Funding Agency for Innovation	Finland

Charlotte	PEDERSEN	Aalborg University	Denmark
Pierre	PERRIN	Antenne interrégionale Auvergne-Centre-Limousin	Belgium
Luca	POLIZZI		Belgium
Joseph	PRIEUR	INRA/CLORA	France
Octavi	QUINTANA	European Commission, DG Research and Innovation	
Katja	REPEL	European Commission, DG Regional and Urban Policy	
Francesca	RICARDI DI NETRO	Veneto Agricoltura - Veneto Region	Italy
Catarina	ROBOHM	Bureau Alsace Europe	France
Victor	ROULET	Méditerranée Technologies	France
Anett	RUSZANOV	ERRIN	Belgium
Cristina	SABBIONI	National Research Council	Italy
Christian	SAUBLENS	EURADA	Belgium
Hans-Günther	SCHWARZ	Joint Programming Initiative Urban Europe	Austria
Carlos	SEGOVIA	Instituto de Salud Carlos III	Spain
Marta	SLEZAK WARSZYCKA	Investitionsbank Schleswig- Holstein	Germany
Wendy	SONNEVELD	Ghent University	Belgium
Daniel	STRAKA	Slovak Liaison Office for Research and Development	Slovakia
Frédéric	SUCHE	Bretagne Pays de la Loire Poitou-Charentes	Belgium
Laszlo	SZILAGYI	Permanent Representation of Hungary to the EU	Hungary
Christakis	THEOCHAROUS	Research Promotion Foundation	Cyprus
Cristina	UGARTE	Innobasque	Spain

Minna	ULVILLA	BONUS EEIG	Finland
Jan	VAN 'T HOF	Cultural Heritage Agency - Ministry of Education, Culture and Science	The Netherlands
Jolien	WENINK	ZonMw	The Netherlands
Anne	WESTENDORP	NWO	The Netherlands