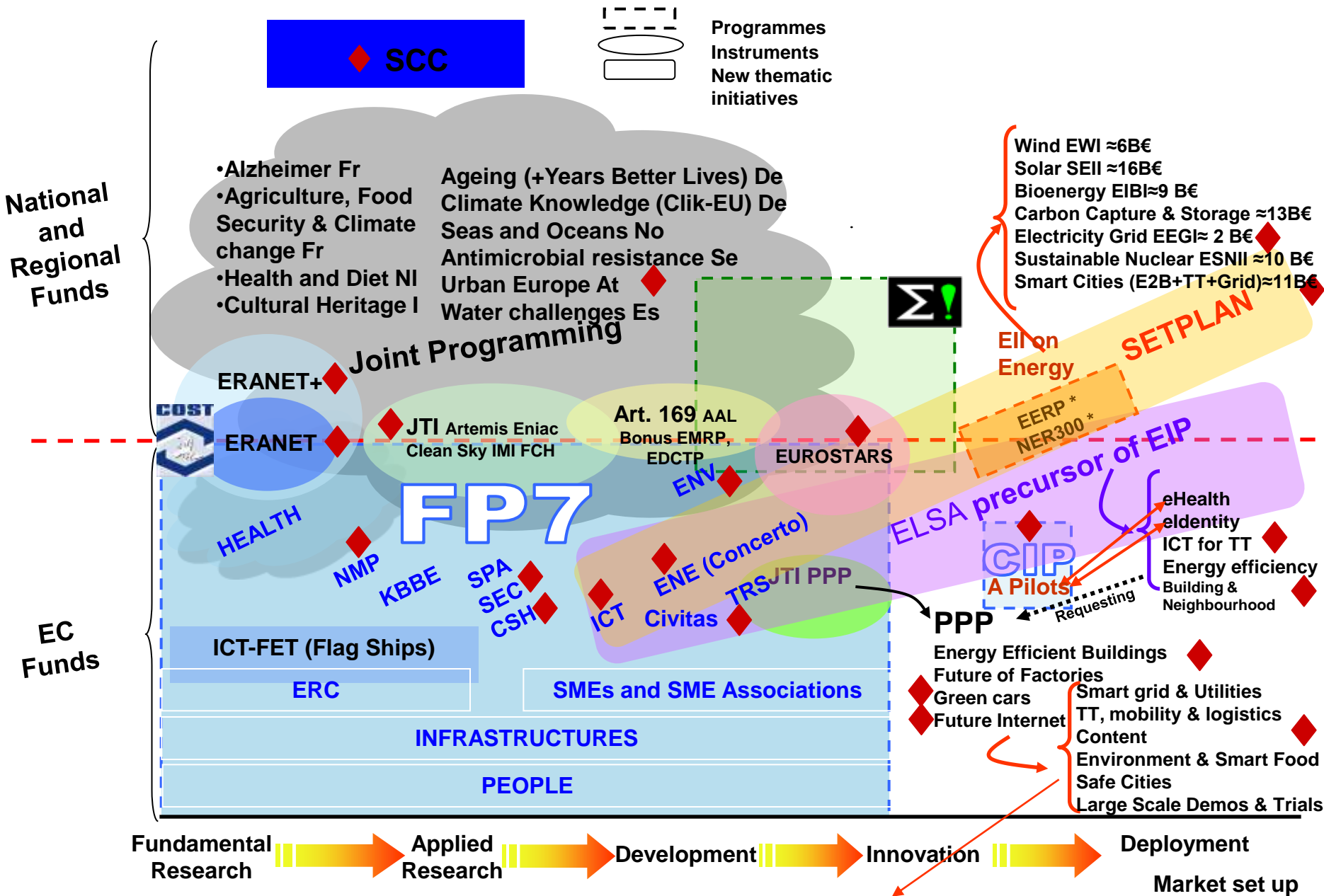


Undertaking Combining Framework Cooperation Funding with Infrastructure and Cohesion Funding

Piotr Świątek

National Contact Point Energy


Projektträger Jülich (PTJ)



* EERP – European Energy Recovery Plan
 NER300 – New Entrants Reserve 300 Million Tons

XII/2010 8IPx5M€x2 years
 X/2012 5IPx13,5 M€x2 years demonstration site

Cohesion policy and Horizon 2020

- **Cohesion policy:** support for regions in building up their research and innovation capacity
 - **Horizon 2020:** widen participation, better coordination between the two Union funding programmes, support policy learning reforms
 - **Accompanying measures** in Horizon 2020 to ensure that excellence prevails wherever it exists, including: twinning, ERA chairs, support for access to international networks, development of smart specialisation strategies.
- 

Structural Funds and Cohesion Fund in the period of 2007-2013



Specific Programme 'Capacities, (FP7)

Objectives:


To enhance research and innovation capacities throughout Europe and unlock the full research potential of European regions, especially convergence regions. Synergies and complementarities will be sought with other community policies and programmes, such as the Community's regional and cohesion policy, the Structural Funds, the Competitiveness and Innovation Framework Programme (CIP) and relevant education and training programmes.

Building Blocks


European Strategy Forum on Research Infrastructure (ESFRI), the Specific Programme 'Capacities' will support the construction of new research infrastructures in a two-stage approach involving a preparatory phase and a construction phase. Increased support will be available for the benefit of SMEs.

Specific Programme, the 'Regions of knowledge' initiative aims at creating networks of regions to help them make full use of their research strengths, enable them to absorb new knowledge arising from research and to facilitate the emergence of 'research-driven clusters' associating universities, research centres, enterprises and regional authorities.

The **'Science in Society'** initiative will strengthen the European science system, broaden the engagement of researchers and the public at large, in addition to supporting reflection and debate on science and technology and their place in society.



Subdivisions of Programme Capacities

- Research infrastructures
 - Research for the benefit of SMEs
 - Regions of knowledge
 - Research potential
 - Science in society
- 

Research infrastructures (FP7)

- The objectives of this Specific Programme in terms of 'Research infrastructures' are to:
 - *optimise the use and development of the best research infrastructures existing in Europe;*
 - *help to create new research infrastructure of pan-European interest in all fields of science and technology needed by the scientific community to remain at the forefront of research advancements, and able to help industry strengthen its base of knowledge and technological know-how.*

Research for the benefit of SMEs

- The objectives of this Specific Programme in terms of 'Research for the benefit of SMEs' are to:
 - *strengthen the innovative capacities of European SMEs;*
 - *help them outsource research or increase their research efforts, extend their networks, better exploit research results and acquire technological know-how, bridging the gap between research and innovation.*
 - *Specific actions in support of SMEs are conceived to support small groups of SMEs or SME associations and SME groupings that need to develop technical solutions to problems common in specific industrial sectors.*

Regions of knowledge (FP7)

- The objectives of 'Regions of knowledge' initiative of this Specific Programme are to:
 - *strengthen the research potential of European regions;*
 - *encourage and support the development of 'research-driven clusters' across Europe.*
- Activities in this framework will involve and bring together regional actors involved in research, such as universities, research centres, industry and public authorities (regional councils and regional development agencies). Projects will cover:
 - *joint analysis, development and implementation of research agendas of regional clusters;*
 - *'mentoring' of regions with a less developed research profile by highly developed regions;*
 - *initiatives to improve integration of research actors and institutions in regional economies*

Research potential

- The objectives of this Specific Programme in terms of 'Research potential' are to:
 - *stimulate the realisation of the full research potential of the enlarged European Union by unlocking and developing existing or emerging excellence in the convergence and outermost regions;*
 - *strengthen the capacities of their researchers **to successfully participate in research activities at Community level.***
- Activities in this area will provide support for:
 - *trans-national, two-way secondments of research staff to and from convergence regions;*
 - *the acquisition and development of research equipment and a material environment enabling full exploitation of the intellectual potential in selected centres;*
 - *the organisation of workshops and conferences to facilitate knowledge transfer;*
 - *'evaluation facilities' for research centres in the convergence regions to obtain an international independent **expert evaluation of the level of their research quality and infrastructures***

Characteristics of Horizon 2020 and the future Cohesion Policy funds

- **Horizon 2020** focuses on excellence in research and innovation, and science and technology-driven research and development, and increasingly targets its investments towards addressing societal challenges and fostering the competitiveness of industry, with special attention paid to SMEs.
- Horizon is under centralised direct management mode.
- Its work programmes will be designed at EU level and evolve annually with a planning perspective of 1-2 years.
- Projects will be selected at EU level through independent and excellence based peer review stemming mainly from competitive calls for proposals.
- There is no pre-defined geographical distribution of funding
- The overwhelming majority of projects have a trans-national perspective (except fundamental research (ERC) and parts of the new SME instrument).

Characteristics of Horizon 2020 and the future Cohesion Policy funds

- **Cohesion Policy (CP)** focuses on applied research and innovation for the purpose of regional socio-economic development, on innovative SMEs and how to build capacities for innovation and growth through the promotion of innovation friendly business environments.
- Programmes are designed in shared management with national / regional authorities and with a medium to long term planning perspective (3-10 years).
- The financial distribution is place-based, with a defined financial envelope and a larger allocation to less developed regions.
- Projects are selected on the basis of economic, social and territorial impact criteria and mainly involve actors from one Member State or region (except for territorial cooperation).
- **The new regulatory provisions for thematic concentration ensure that the thematic objective for R&I is part of the minimum 80% concentration for ERDF funds in more developed regions (50% in less developed regions).**

Regulatory elements facilitating linkages and promoting synergies

- The two actions share the same programming period of seven (7) years that makes easier synchronisation of funding and provides for better planning with a strong potential for real synergies
- Although the two actions have distinct objectives they share the same strategic goals of serving the Europe 2020 strategy for smart, sustainable and inclusive growth
- Harmonisation of cost eligibility rules between Horizon 2020 and CP (Lump sums, flat rates and unit costs possible under both for funding direct and indirect costs without providing documents proving real expenses, harmonisation of VAT rules) are major simplification for beneficiaries compared to the current multiple sets of rules.

Regulatory elements facilitating linkages and promoting synergies

- *Possibility to combine CP and Horizon 2020 funding (and from other Union instruments) in same project for different expenditure items, which opens the way to combined funding of individual Horizon 2020 projects*
Possibility to invest in other EU regions from a mainstream OP, i.e. up to 10% of an OP budget (for EAFRD 3%)
- *The enhanced territorial cooperation CP budget share (3.1% of total ERDF of which almost 6% for inter-regional cooperation) that allows to build trans-national linkages between regional innovation actors, building on FP7 Regions of Knowledge and Research Potential measures or CIP cluster cooperation or networking of procurers or innovation agencies, but allowing to include less advanced regions in a targeted manner.*

How to put this into practice

- **Smart Specialisation Strategies**

- *In order to fully exploit the opportunities for synergies, it is essential that the research and innovation strategies for smart specialisation (RIS3) are elaborated by national and/or regional managing authorities for CP in close collaboration with the authorities and bodies responsible for research and innovation most directly concerned by Horizon 2020 and by the shaping of a European Research Area (ERA).*

- **Closing the innovation divide**

Implementation (1)

- *At national level **structures** should be set up to facilitate the strategic identification of priorities for the different instruments and to seek to avoid duplication of effort and identify areas where additional financial support is needed.*
- *On the CP side these structures should be set out in the Partnership Contract, and where appropriate, in programmes.*
- *This strategic and operational coordination should be based on **joint meetings between authorities and agencies involved in the implementation of CP and Horizon 2020 (including National Contact Points)***

Implementation (2)

*The **two-ways communication** between Horizon 2020 National Contact Points and ministries involved in its governance and CP managing authorities in each country should also be strengthened regarding Horizon 2020 project participants in a region and potential links of the projects to RIS3 fields.*

***Indicators** for CP and Horizon 2020 project monitoring should be aligned in substance (e.g. measure growth and innovation impact in firms that received support) and regional break downs should be provided.*

Implementation (3)

*Information exchange about the RIS3 specialisation areas and their implementation, should be **brought to the attention of the Horizon 2020 programme committees** in view of an alignment and vice-versa regarding Horizon 2020 work programme up-dates and measures.*

Up-stream and down-stream measures as key CP actions

- ***Upstream actions*** to prepare regional R&I players to participate in Horizon 2020 projects ("***Staircase to Excellence***")
 - capacity-building in Member States and regions for R&I excellence and technological change
- ***Downstream actions*** provide the means to exploit and diffuse swiftly R&I results stemming from Horizon 2020- (as well as national) funded basic research ***into the market***, with particular attention to creating innovation-friendly market conditions and business environment, in particular for SMEs
 - innovation in enterprises
 - capacity-building for the swift economic exploitation of new ideas stemming from research and innovation (R&I).

Thank you for your attention!

**Dr. Piotr Swiatek
PTJ/FZJ
DE-52425 Jülich**

**Tel. 49 2461 61 1848
Mob. +49 170 211 96 12
p.swiatek@fz-juelich.de**

**www.nks-energie.de
www.c-energyplus.eu**