Horizon 2020 and the Local and Regional Authorities

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LRAs expected and actual roles and modalities of participation

Analytical review of CoR opinions (Part 2 of the study)

→ Multiple roles envisaged for LRAs: contributors, facilitators, beneficiaries
→ Importance of having instruments and measures with a specific territorial dimension

Within H2020 (Part 1 and Part 3 of the study)

→ Design of H2020, theoretically supportive of LRAs’ participation
  • Work programmes with a territorial dimension
  • Calls with a territorial dimension
  • Topics with a territorial dimension & explicit requirement for LRAs’ participation
  • Topics with a territorial dimension & implicit requirement for LRAs’ participation

→ Evidence of the absence of systematic behaviours for the role of ‘facilitators’, there is room for improvement in areas such as the coaching/mentoring of lesser known but competent partners from research-lagging regions
Quantitative analysis of LRAs participation (1/3)
CORDIS database analysis (Part 3)

LRAs are included in the profile of Public Bodies (PUB). **Participations of PUB are 2,831 = 6.4% of total participations** (CORDIS database, until January 3, 2017).

Participations of LRAs are the number of times each organisation participates in H2020 with a project.

Two different concepts of LRAs:

- Participation of municipalities and regions as public authorities. **LRA_oMR (LRAs including only Municipalities and Regions) are 608.**
- Participation of both LRAs and those legal entities external to LRAs but having the form of public agencies/bodies acting in a certain domain on behalf of a municipality/region. **LRA_iAB (LRAs including Agencies and Bodies) are 731.**

**Participations of LRA_iAB (731) are mainly from ES 158, IT 119 and the UK 74. At NUTS2 level are 247 (map below).**
Quantitative analysis of LRAs participation (2/3) CORDIS database analysis (Part 3)

Participation divide

• Older MS (EU15)
  • At NUTS2 level from 12 countries [with exclusion of LU, SE, FI].
  • Participations of LRA_iAB at NUTS3 level 396.
  • In terms of EC contribution LRA_iAB of the top five countries (ES, UK, DK, IT, SE) raise two thirds of the total.

• Newer MS (EU13)
  • At NUTS2 level from 4 countries (HU, PL, RO, SK).
  • Participations of LRA_iAB at NUTS3 level 88.
  • In terms of EC contribution LRA_iAB of all the newer MS raise 8.6% of the total.

Participations of LRA_iAB at project level

• Excellent Science (Pillar I) (34)
• Industrial Leadership (Pillar II) (167)
• Societal Challenges (Pillar III) (514)
• Science with and for society (6)
• Spreading Excellence and Widening Participation (4)

Within Societal Challenges:

- Food 1,9%
- Cross-cutting activities_SC 4,3%
- Secure societies 8,0%
- Europe in a changing world 8,6%
- Energy 32,3%
- Transport 18,1%
- Health 13,0%
- Climate action 13,8%
Participations and participants
Concerning LRA_iAB, there are 731 participations by 402 participating LRAs. This is explained with multiple participations of the same authority (including H2020 champions).

Region Hovedstaden (Capital Region of Denmark), (DK01) is the most successful LRA in H2020 (i.e. H2020 champion). Since the inception of H2020, it has received funding in 31 projects, in six of which it is acting as coordinator. The projects relate mainly (23 projects) to ‘Health, demographic change, and wellbeing’ (Societal Challenges). Six projects relate to European Research Council and Marie Sklodowska-Curie Actions (Excellent Science), while only one project deals with Information and Communication Technologies (under ‘Leadership in enabling and industrial technologies’ in Industrial Leadership). The region received an overall EC contribution from H2020 of almost EUR 19.5 million. This amount represents 37.4% of the total funds granted to Danish public bodies in H2020 and 3.8% of the total funds assigned to Denmark in H2020.

Participations at project level
- LRA_iAB: 54 participations as coordinators
- LRA_oMR: 37 participations as coordinators

Considering only municipalities and regions (LRA_oMR) only 30 LRAs are acting as coordinators. 11 are at NUTS2 level and 19 at NUTS3 level. Only three of them are coordinating more than one H2020 project. Seven coordinators are from ES, six from IT and four from DK. Only three coordinators are from the newer MS.
## Qualitative analysis of LRAs participation (1/2)

### Interviews (Part 3)

<table>
<thead>
<tr>
<th>Interviewed as</th>
<th>Interviewed LRA</th>
<th>Country</th>
<th>NUTS level</th>
<th>Number of projects in H2020</th>
<th>Coordinator in H2020</th>
<th>Participant in FP7</th>
<th>Coordinator in FP7</th>
<th>Acronym of the selected project</th>
</tr>
</thead>
<tbody>
<tr>
<td>Coordinator</td>
<td>Regione Lazio (Lazio Region)</td>
<td>IT</td>
<td>2</td>
<td>3</td>
<td>yes</td>
<td>yes</td>
<td>no</td>
<td>SCREEN</td>
</tr>
<tr>
<td>Coordinator</td>
<td>Regione Liguria (Liguria Region)</td>
<td>IT</td>
<td>2</td>
<td>3</td>
<td>yes</td>
<td>yes</td>
<td>no</td>
<td>EnerSHIFT</td>
</tr>
<tr>
<td>Coordinator</td>
<td>Diputacion de Girona (Province of Girona)</td>
<td>ES</td>
<td>3</td>
<td>2</td>
<td>yes</td>
<td>no</td>
<td>no</td>
<td>BEeenerGI</td>
</tr>
<tr>
<td>Coordinator</td>
<td>Stockholms Stad (City of Stockholm)</td>
<td>SE</td>
<td>3</td>
<td>3</td>
<td>yes</td>
<td>yes</td>
<td>no</td>
<td>GrowSmarter</td>
</tr>
<tr>
<td>Coordinator</td>
<td>Eurocities*</td>
<td>BE</td>
<td>Network of cities</td>
<td>7</td>
<td>yes</td>
<td>yes</td>
<td>yes</td>
<td>GuiDanCe</td>
</tr>
<tr>
<td>Partner</td>
<td>Budapeast Fovaros Onkormanyzata (City of Budapest)</td>
<td>HU</td>
<td>3</td>
<td>1</td>
<td>no</td>
<td>no</td>
<td>no</td>
<td>CEPPi 2</td>
</tr>
<tr>
<td>Partner</td>
<td>Magistrat der Stadt Wien (City of Wien)</td>
<td>AT</td>
<td>3</td>
<td>3</td>
<td>no</td>
<td>yes</td>
<td>no</td>
<td>Not to be disclosed</td>
</tr>
<tr>
<td>Partner</td>
<td>Municipio de Cascais (Municipality of Cascais)</td>
<td>PT</td>
<td>3</td>
<td>1</td>
<td>no</td>
<td>no</td>
<td>no</td>
<td>THERMOS</td>
</tr>
<tr>
<td>Partner</td>
<td>Roma Capitale (Municipality of Rome)</td>
<td>IT</td>
<td>3</td>
<td>4</td>
<td>no</td>
<td>yes</td>
<td>no</td>
<td>CITYLAB</td>
</tr>
<tr>
<td>Partner</td>
<td>Stadt Frankfurt am Main der Magistrat (City of Frankfurt)</td>
<td>DE</td>
<td>3</td>
<td>1</td>
<td>no</td>
<td>no</td>
<td>no</td>
<td>HOTMAPS</td>
</tr>
<tr>
<td>Partner</td>
<td>Agency acting on behalf of a spanish region (Spanish agency)</td>
<td>ES</td>
<td>Agency of a region (2)</td>
<td>7</td>
<td>no</td>
<td>yes</td>
<td>no</td>
<td>Not to be disclosed</td>
</tr>
<tr>
<td>Partner</td>
<td>JIC - Zajmove Sdruzeni Pravnickych Osob (South Moravian Innovation Centre)</td>
<td>CZ</td>
<td>Agency of a region (3)</td>
<td>3</td>
<td>yes</td>
<td>yes</td>
<td>yes</td>
<td>BISONet PLUS ENH</td>
</tr>
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</table>

Two interviews with NCPs (i.e. NL, RO)
Two interviews with officials of the European Commission (i.e. JRC, REA)
# Qualitative analysis of LRAs participation (2/2)

## Findings of the interviews (Part 3)

<table>
<thead>
<tr>
<th>Key relevance of human resources</th>
<th>All but two have a ‘department’ to provide coordination and support activities to EU-funded projects + <strong>external agencies/bodies</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>Importance of previous experience in EU-funded projects</td>
<td>All confirmed the involvement in other EU-funded projects, mainly territorial cooperation programmes and FP7.</td>
</tr>
<tr>
<td>LRAs’ preference is for Societal challenges</td>
<td>Main themes addressed by interviewees are ‘Secure, clean and efficient energy’, ‘Climate action, environment, resource efficiency and raw materials’, ‘Smart green and integrated transport’, and ‘Health, demographic change and wellbeing’.</td>
</tr>
<tr>
<td>LRAs’ preference is for grants and CSA</td>
<td>Among the funding options of H2020, preference is for grants in collaborative projects. Among the actions, CSA are preferred.</td>
</tr>
<tr>
<td>Reasons behind the decision of participating (as coordinator or partner)</td>
<td><strong>Coordinators:</strong> institutional responsibility and awareness of currently debated issues at the EU level. <strong>Partners:</strong> invitation to join a consortium.</td>
</tr>
<tr>
<td>Heterogeneity of factors fostering/hampering LRAs participation in H2020</td>
<td><strong>Fostering factors</strong>: presence of areas/topics of interest, financial support, gains of valuable knowledge. <strong>Hampering factors</strong>: limited in-house human resources for applying to H2020, cumbersome rules for application, low chances of success.</td>
</tr>
</tbody>
</table>
The issue of synergies’ creation between Horizon 2020 and ESIF is still immature and on-going institutional initiatives such as the ‘Stairway to Excellence’ project or the compilation of showcase examples represent the main reference points to measure progress.

Functions of LRAs in the pursuit of synergies at different levels: awareness, governance and programming, implementation.

Some suggestions: awareness campaigns on the potentiality of synergies, exposure to on-going institutional efforts, gathering and sharing of evidence (good practices, including on successful examples of governance systems), well-prepared strategies, strengthened innovative partnerships.
Recommendations (1/2)

For overcoming the reasons for LRAs for not applying to the H2020 programme

1. Recognition of the value LRAs may add in specific H2020 topics
2. Set up of in-house ‘participation in H2020 strategy’ by LRAs
3. Provision of administrative assistance to LRAs
4. Giving NCPs a clear mandate to target LRAs
5. Creation of shared knowledge and expertise environments at the territorial level
6. Extending to more topics those H2020 actions which better tailor the needs of LRAs: the case of the Coordination and Support Actions (CSA)
7. The coverage of thematic domains of evident interest to LRAs is effectively communicated: the case of agriculture and rural development
For overcoming the reasons **hampering an effective contribution of LRAs to H2020 projects**

8. Identification within the LRAs of the appropriate organisational and cultural model for managing H2020 projects

9. Assessment and valorisation of the contribution in research of the LRAs in H2020 projects: the case of ‘big data’

10. Valorisation of the function of exploitation of innovation results of the H2020 project at the territorial level

**Cross-cutting (applying to H2020 programme + contribute to H2020 projects)**

11. Enhancing the facilitator function of LRAs

12. A shared EU capacity building initiative in H2020 for LRAs
Thank you for your attention!

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