

Progress Consulting S.r.l. (IT) (coordinator)
Fondazione FORMIT (IT) (partner)

Framework Contract
CDR/DE/56/2013/1

Horizon 2020 and the Local and Regional Authorities

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LRA's 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)

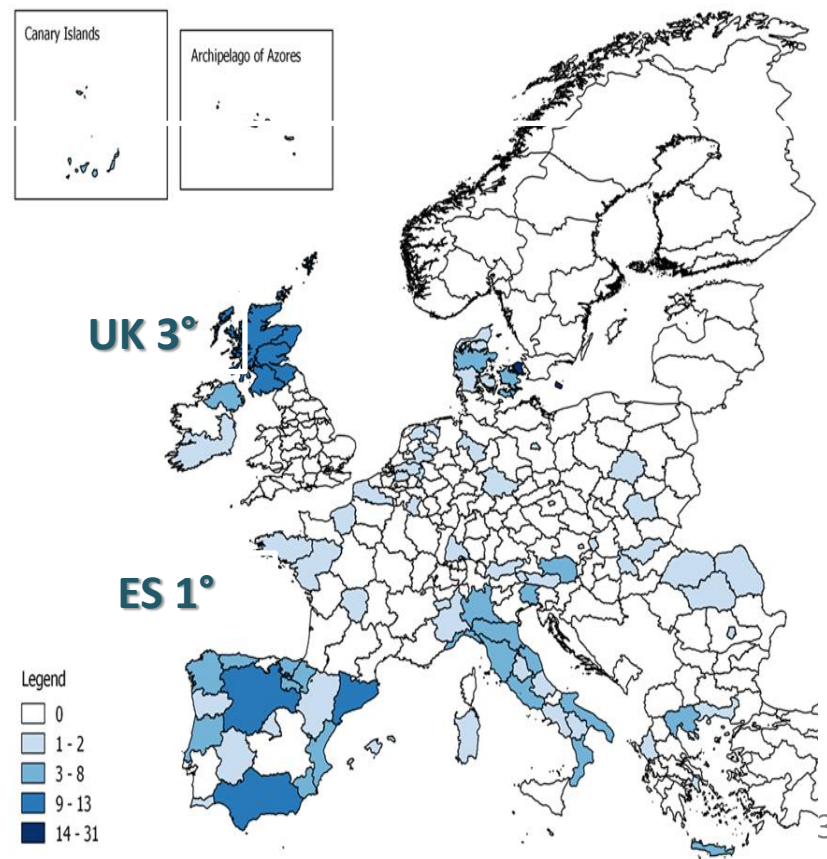
LRAs are included in the profile of Public Bodies (PUB). **Participations of PUB are 2,831 = 6.4% of total participations** (CORDIS database, until January 3, 2017).

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)

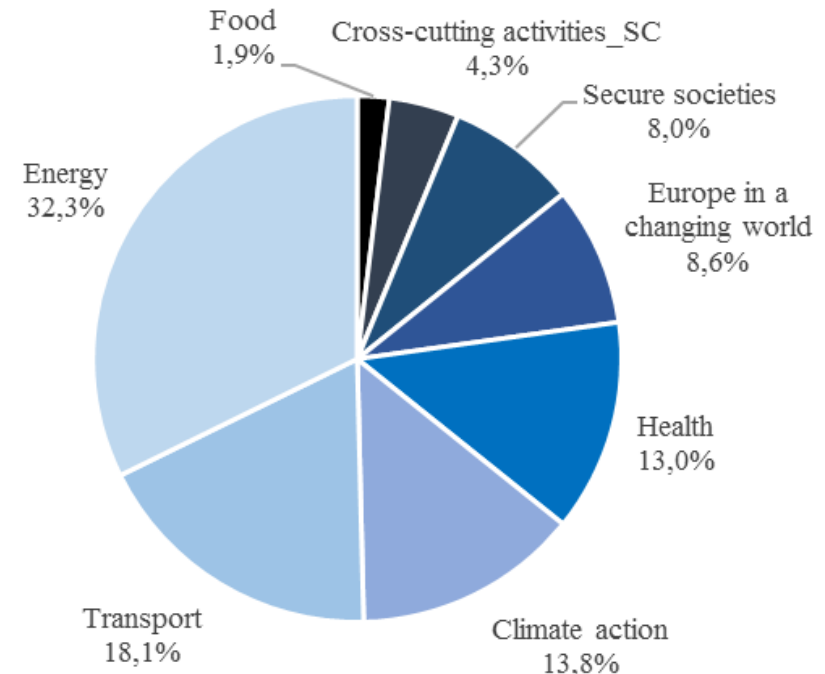
Participation divide

- **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 third 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:



Quantitative analysis of LRAs participation (3/3)

CORDIS database analysis (Part 3)

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 Skłodowska-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)

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

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)

Key relevance of human resources

All but two have a '**department**' to provide coordination and support activities to EU-funded projects + **external agencies/bodies**

Importance of previous experience in EU-funded projects

All confirmed the involvement in other EU-funded projects, mainly territorial cooperation programmes and FP7.

LRAs' preference is for Societal challenges

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'.

LRAs' preference is for grants and CSA

Among the funding options of H2020, preference is for grants in collaborative projects. Among the actions, CSA are preferred.

Reasons behind the decision of participating (as coordinator or partner)

Coordinators: institutional responsibility and awareness of currently debated issues at the EU level. **Partners:** invitation to join a consortium.

Heterogeneity of factors fostering/hampering LRAs participation in H2020

Fostering factors: presence of areas/topics of interest, financial support, gains of valuable knowledge. **Hampering factors:** limited in-house human resources for applying to H2020, cumbersome rules for application, low chances of success.

Synergies between H2020 and ESIF

Findings from the interviews, literature, S2E events (Part 3)

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**

Recommendations (2/2)

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

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Thank you for your attention!

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