



GOBIERNO
DE ESPAÑA

MINISTERIO
DE ECONOMÍA, INDUSTRIA
Y COMPETITIVIDAD

Experiences of the host country on Synergies Topic 5, Spain

Seals of Excellence

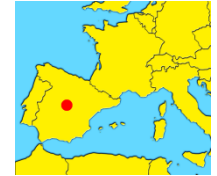
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Secretary of State for Research, Development and Innovation

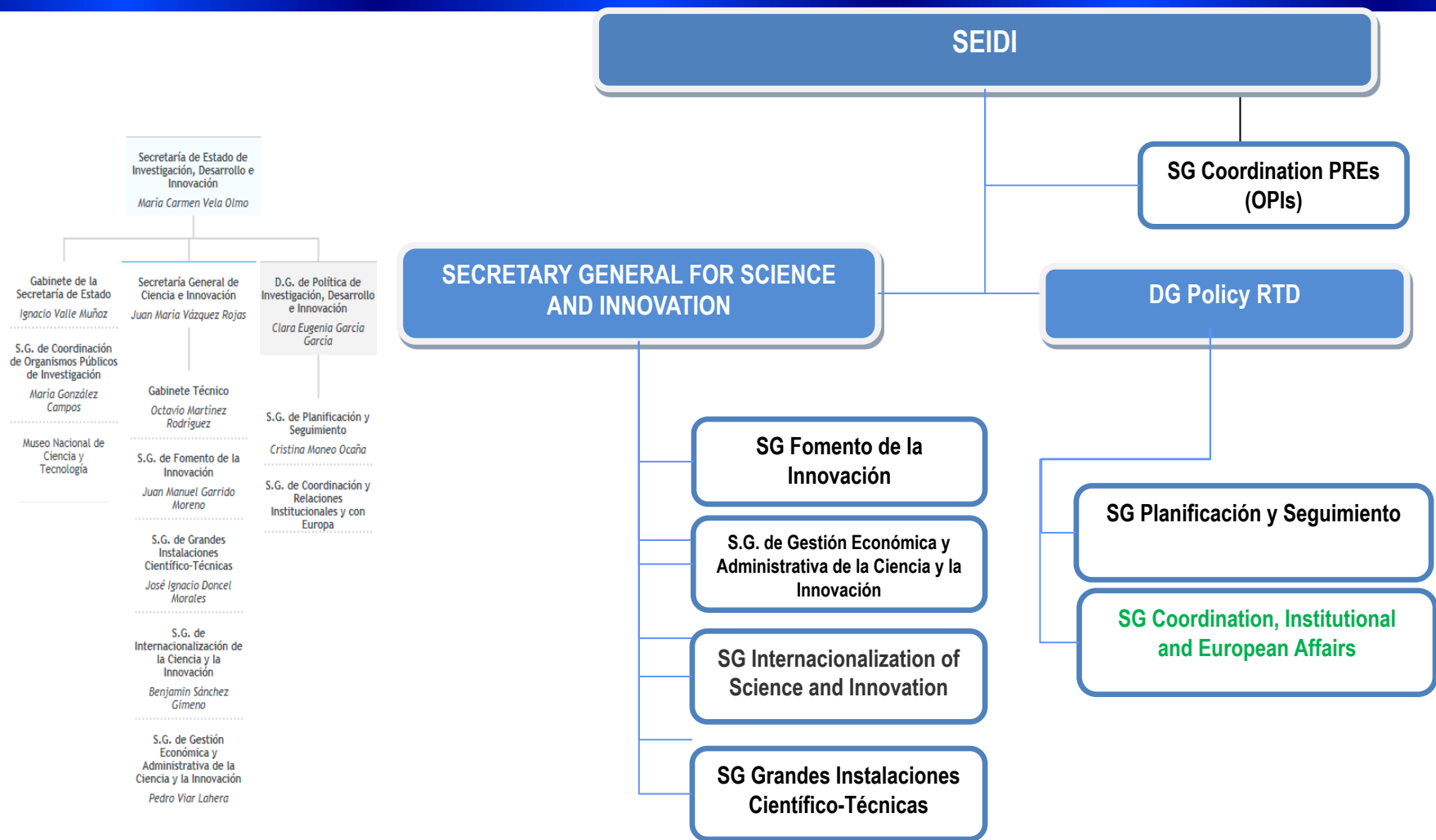
Where are we?



The Ministry: Economy, Industry and Competitiveness
(former Ministry: Economy and Competitiveness, MINECO)



The Secretary of State of Research, Development and Innovation (SEIDI) assumes the responsibility for fostering research and innovation, and the management of international relations in this area and the Spanish representation in programs and international organizations and the EU.



Spain and the European Research Area.



Spanish Science Law (2011)

Strategy aligned with ERA: Spanish ERA Roadmap

National State Plan: Programs/subprograms

Annual plan (€)- Terms and Conditions order and Calls



The Spanish commitment to ERA is seen in the goals and measures incorporated under the Spanish Law of Science, Technology and Innovation (The Law, hereinafter), adopted in 2011 with a broad parliamentary consensus.

The European Research Area Roadmap 2015-2020 Top action priorities includes as priority 1 (out of 7): **Effective National Research Systems**
*by Strengthening the evaluation of research and innovation **policies** and seeking complementarities between, and rationalisation of, **instruments** at EU and national levels.*



Strategic Framework and Guiding Principles for the Spanish ERA Roadmap 2016-2020

The Spanish Strategy of Science, Technology and Innovation 2013-2020 provides the framework for the **SPANISH ROADMAP FOR THE ERA DEVELOPMENT 2016-2020** with a shared vision with Europe2020 Strategy, the Innovation Union Flagship and the H2020 enabling funding instruments for achieving strategic objectives.

The Strategy is the context for the mid-to-long term planning of RDI policies for the State Administration and the Regions. It contains specific measures to promote the development of ERA in its core principles and in its crosscutting priorities.

In summary, both the Law and the Strategy contain principles and measures that contribute towards the consolidation of ERA.

The Spanish ERA Roadmap objective is to identify and prioritise the activities to be promoted during 2016-2020 that contribute to the effectiveness of the Spanish System of Science, Technology and Innovation.

The activities of the Spanish ERA Roadmap are distributed along the ERA priorities. They are the outcome of a throughout diagnosis and analysis of the national situation,

PRIORITY 1 of the Spanish ERA Roadmap 2016-2020 IMPROVING THE EFFICIENCY OF THE SPANISH SYSTEM OF SCIENCE, TECHNOLOGY AND INNOVATION

Six areas of action are identified with the objective to increase the efficiency of the Spanish System of STI and related to the identified weaknesses.

and many of them have been incorporated in the new State Plan of Scientific and Technical Research 2017-2020, recently approved by the Council of Ministers (29/12/2017).

Spanish ERA Roadmap 2016-2020: Improving Efficiency through SoE

PROMOTION OF SPANISH RESEARCH GROUPS AND COMPANIES IN H2020 is one of the areas of action:

- To support the participation of agents in H2020 by raising the collaboration between public and private agents, promoting the openness of the System, to execute projects with a European added value, **to raise the efficiency and alignment among the national and European funding sources** contributing towards the ERA strengthening.

We are consolidating schemes similar to the "Seal of Excellence" and that are associated to the H2020 calls, by recognising and fund applicants that have passed the international evaluation threshold, but have not been supported due to the lack of availability of funds.

IMPACT OF RDI PUBLIC INVESTMENT AND POLICY COORDINATION BETWEEN THE CENTRAL GOVERNMENT AND THE REGIONAL GOVERNMENTS

- The model of governance referred in the Law and the establishment of the Council of STI Policy, its Executive Committee, facilitates this State RDI coordination. However, improving public investment impact and efficiency still requires a **framework and tools** that facilitate collaboration and joint programming between **the state and the regions, and optimise the use of available funds, including Structural and Finance Funds from Europe.**

We need to prioritize and foster the «Seal of Excellence» between the regions for all those calls from the State Administration that allow it, such as in RDI projects.

Spanish National Plan for Scientific and Technical Research and Innovation for 2017-2020

While the Strategy defines the main objectives, the Plan defines the funding instruments on the RDI activities.

The **Plan** continues to show the Strategy's areas of action in order to gain efficiency and effectiveness of the system:

The Management and governance of the Plan include this prioritization by strategically aligning the actions included in the Plan with the sectorial at EU, National and regional level.

The need to the design of actions that allow the use and foster the impact of public funds including the including Structural and Finance Funds from the EU.

Spanish National Plan for Scientific and Technical Research and Innovation for 2017-2020

In detail, the objectives of the **new State Plan include Objective 6** that refers to the coordination, synergy and implementation of efficient RDI policies and funding at Regional, National and European Level.

We need to prioritize and foster the «Seal of Excellence» to applicants to **H2020 calls** in the quality threshold interval to receive funding and **between the regions for all those calls from the State Administration** that allow it, such as in RDI projects, taking into account the objective of the **regional RDI policies and their RIS3**.

Spanish National Plan for Scientific and Technical Research and Innovation for 2017-2020

The Plan is instrumentalised in 4 different programs and subprograms



State Plan toolbox: Dinamization actions

The **Dinamization actions** are grants whose primary objective is to foster aspects that contribute to reach the objectives of the State Plan. The design and duration of these actions are **flexible**.

These actions are crucial to enhance the internationalization of the Spanish System of RDI and its agents and to contribute to the consolidations of the ERA.

The idea behind these Dinamization actions linked to SoE is to offer a gateway to applicants to the Horizon 2020 Programme that, despite of meeting all the stringent thresholds of the calls, they were not be funded due to the lack of available budget.

Funding threshold due to H2020 budget availability

Quality threshold:

Funded

Meriting funding

Rejected: not ready for funding

Dinamization actions

«EUROPA EXCELENCIA» (funded by the State Research Agency)

«HORIZONTE PYME» (funded by the CDTI, previously implemented by the DG Innovation and Competitiveness of the SEIDI)

Dinamization actions: Horizonte PYME



Funding Phase 1 to
Spanish SMEs by SoE

Dinamization actions: Horizonte PYME

«HORIZONTE PYME» (Centro para el Desarrollo Tecnológico Industrial).

The HPYME SoE offers a clear added value to national and regional authorities as a reliable selection of promising companies with international ambition, meriting an European funding but unable to achieve it, but still worth to be supported.

These grants have been positively evaluated (marked over 13) by the EC in their SME instrument calls (H2020 2015, 2016 and 2017) but not funded.

Limited for the phase 1, Spain has been able to launch at 3 national calls channelled through the "de minimis" regime (<200.000€).

The HPYME grants goes up to between 40-90k€ and fund viability studies including business plans.

HPYME: Regulatory Framework

24.12.2013

ES

Diario Oficial de la Unión Europea

L 352/1

II

(Actos no legislativos)

REGLAMENTOS

REGLAMENTO (UE) Nº 1407/2013 DE LA COMISIÓN

de 18 de diciembre de 2013

relativo a la aplicación de los artículos 107 y 108 del Tratado de Funcionamiento de la Unión Europea a las ayudas *de minimis*

(Texto pertinente a efectos del EEE)

200.000 Euros in 3 fiscal years

100.000 Euros for the road
transport sector

Regulatory framework: COMMISSION REGULATION (EU) No 1407/2013 *minimis*

Artículo 1

Ámbito de aplicación

1. El presente Reglamento se aplicará a las ayudas concedidas a las empresas de todos los sectores, con excepción de:

- a) las ayudas concedidas a las empresas que operan en los sectores de la pesca y la acuicultura, regulados por el Reglamento (CE) n° 104/2000 del Consejo (1);
- b) las ayudas concedidas a las empresas dedicadas a la producción primaria de productos agrícolas;
- c) las ayudas concedidas a las empresas que operan en el sector de la transformación y comercialización de productos agrícolas, en los casos siguientes:
 - i) cuando el importe de la ayuda se determine en función del precio o de la cantidad de productos de este tipo adquiridos a productores primarios o comercializados por las empresas interesadas,
 - ii) cuando la ayuda esté supeditada a que una parte o la totalidad de la misma se repercute a los productores primarios;

1

- d) las ayudas a actividades relacionadas con la exportación a terceros países o Estados miembros, es decir, las ayudas directamente vinculadas a las cantidades exportadas, al establecimiento y la explotación de una red de distribución o a otros gastos corrientes vinculados a la actividad exportadora;
- e) las ayudas condicionadas a la utilización de productos nacionales en lugar de importados.

General conditions:

- **Aid must be within the Scope of the Regulation (Article 1)**

- **Maximum amounts detailed in Article 3:**

- **EUR 200,000 – general maximum**

- **EUR 100,000 - transport**

- **Amount must be expressed as a Gross Grant Equivalent (Article 4)**

- **Must comply with cumulation rules set out in Article 5**

- **Member State obliged to grant new de minimis aid only after having checked that this will not raise the total amount of de minimis aid above the ceiling and that all other conditions laid down in Regulation are**

Regulatory Framework: Terms and conditions order



BOLETÍN OFICIAL DEL ESTADO



Núm. 159

Sábado 4 de julio de 2015

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III. OTRAS DISPOSICIONES

MINISTERIO DE ECONOMÍA Y COMPETITIVIDAD

- 7484** *Orden ECC/1333/2015, de 2 de julio, por la que se aprueban las bases reguladoras para la concesión de ayudas públicas del Programa Estatal de Liderazgo Empresarial en I+D+I, en el marco del Plan Estatal de Investigación Científica y Técnica y de Innovación 2013-2016.*



Regulatory Framework: Evaluation criteria

Modalidad 3. *Acciones complementarias para actividades necesarias para la obtención de resultados y la valorización de los mismos no contempladas en los proyectos de I+D+I, y otras ayudas*

Las solicitudes serán evaluadas de acuerdo con los siguientes criterios, que podrán subdividirse en subcriterios en las convocatorias, debiendo, en todo caso, indicarse en las convocatorias las puntuaciones otorgadas a dichos subcriterios:

Criterios	Puntuación
a) Impacto económico: Mercado potencial para el objeto de la innovación, teniendo en cuenta el diagnóstico del mercado, la demanda existente, la estrategia de la empresa, su crecimiento y sus planes de comercialización y propiedad industrial	0-5
b) Excelencia: la solución propuesta supone nuevas oportunidades de mercado frente a las otras existentes, teniendo en cuenta el estado del arte y los riesgos y oportunidades de su introducción en el mercado	0-5
c) Implementación de la Actuación: Adecuación de los recursos disponibles y de la experiencia para desarrollar las actividades	0-5

Regulatory Framework: Call



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III. OTRAS DISPOSICIONES

MINISTERIO DE ECONOMÍA Y COMPETITIVIDAD

7843

Resolución de 9 de julio de 2015, de la Secretaría de Estado de Investigación, Desarrollo e Innovación, por la que se convocan ayudas Horizonte Pyme para el año 2015, del Programa Estatal de Liderazgo Empresarial en el marco del Plan Estatal de Investigación Científica y Técnica y de Innovación 2013-2016.



Regulatory Framework: Call

Artículo 4. *Entidades beneficiarias.*

1. Podrán ser beneficiarios de las ayudas que se concedan al amparo de esta resolución, las entidades que dispongan de personalidad jurídica propia, desarrollen actividades económicas, tengan un establecimiento válidamente constituido en España de acuerdo con la Directiva 2006/123/CE del Parlamento Europeo y del Consejo, de 12 de diciembre de 2006, relativa a los servicios en el mercado interior, y **tengan la consideración de pyme** de acuerdo a la definición del artículo 2. b) de la Orden de Bases.

2. Las pymes deberán **haber presentado una propuesta individual**, no en cooperación, a **alguna de las convocatorias de la Fase I del Instrumento Pyme** del Programa Horizonte 2020 de la Unión Europea en los años 2014 y/o 2015 y haber obtenido, de acuerdo con el documento «Informe resumido de evaluación» emitido por la Unión Europea, una puntuación igual o superior a **12 puntos**, y **no haber recibido financiación** para este mismo propósito en otras convocatorias.

1. Considered SMEs
2. Applicant to the EU H2020 SME Instrument
3. ESR over 12 points
4. Not funded

Regulatory Framework: Call

Artículo 5. *Entidades que no pueden obtener la condición de beneficiarias.*

No podrán obtener la condición de beneficiarias las siguientes entidades:

1. Aquellas en quienes concurra alguna de las circunstancias descritas en el artículo 13 de la Ley 38/2003, de 17 de noviembre.

2. Aquellas que se encuentren incursas en un procedimiento de recuperación de ayudas por haber sido éstas declaradas ilegales e incompatibles con el mercado interior por la Comisión Europea.

3. Aquellas que pertenezcan a los sectores de actividad indicados en el artículo 1.1 del Reglamento (UE) n.º 1407/2013 de la Comisión, de 18 de diciembre de 2013.

Para clasificar a las entidades a estos efectos se utilizará el código CNAE de la entidad que deberá consignarse en la solicitud de ayuda.

The sector of the Company's activity, according to the national classification of economical Activity (CNAE) which is included in the application in HPYME and crosschecked with the minimis regulation.

Dinamization actions: Horizonte PYME

Plan Estatal de Investigación Científica y Técnica y de Innovación
2013-2016

PROGRAMA ESTATAL DE IMPULSO AL LIDERAZGO EMPRESARIAL EN
I+D+I

Acciones de dinamización. "Horizonte PYME"

	Granted	Status	Invested HPYME calls	Phase 2 EU SME Instrument	
				Applications per HPYME*	Obtained*
Horizonte PYME 2015	end 2015	ongoing 2016	8.6M€	1> per HPYME grant	11.6M€.
Horizonte PYME 2016	march 2016	ongoing	3.3M€	0-1	1.99M€
Horizonte PYME 2017	2017	ongoing	3,5M€	0	

LEIT ICT; LEIT NMPB; LEIT Biotec; SC1 Health; SC2 Bioeconomy; SC3 Energy; SC4 TRS; SC5 ECO; SC6; SC7 Security; eHEALTH; BIOTEC

* As of January 2018

Dinamization actions: Europa Excelencia

«EUROPA EXCELENCIA» (funded by the Agencia Estatal de Investigación)

These grants allow former applicants of the ERC Starting and Consolidator Grant that were shortlisted, A-ranked, but not funded due to the lack of funds. These young PIs would be receiving up to 100.000€ per grant and 1 year of duration.

These grants have been proved to help strengthening the participation of young Spanish applicants in the ERC Starting and Consolidator Grant calls.

Dinamization actions: Europa Excelencia

Plan Estatal de Investigación Científica y Técnica y de Innovación 2013-2016

Programa Estatal de Fomento de la Investigación Científica y Técnica de Excelencia

Subprograma Estatal de Generación de Conocimiento

Acciones de dinamización. "Proyectos Europa Excelencia"

	Granted	Status	Invested EExcelencia calls	ERC	
				EExcelencia applicants approved	Funds requested*
Europa Excelencia 2013	end 2013	finished	0,58M€ (8)	14	32M€
Europa Excelencia 2014	end 2014	finished	0,56M€ (7)		
Europa Excelencia 2015 &Cons	end 2015	ongoing 2016	1,95M€ (41)		
Europa Excelencia 2016	march 2016	ongoing	0,71M€ (10)		
Europa Excelencia 2017	2017	ongoing	0,75M€ (11)		

Conclusions

- The experience of SoE is very positive, increases the impact and integration of the Spanish STI System in the ERA. HPYME and EEXCELENCIA represent **clear success stories** that need longer term monitoring.
- Further tools** and instruments are needed and improving public investment impact and efficiency still requires the **development of a framework** and tools that facilitate collaboration and joint programming between the EU, State and the regions.
- The debate is needed and is intimately linked to **optimizing the use of available funds**, including Structural and Finance Funds and to establish a common framework that eases the implementation of SoE tools.



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Thanks!