European Regional Development Fund (ERDF)
European Social Fund (ESF)
European Agricultural Guidance and Guarantee Fund (EAGGF)

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FOREWORD

The strengthening of economic and social cohesion, and particularly the support of disadvantaged regions, is assuming pre-eminence in the European Union.

For this reason, the European Structural Funds has substantially supported the major efforts of Berlin and its citizens, from the very outset, to overcome insufficiencies in the city’s infrastructure and commercial development caused by the division of Germany.

The Land Berlin is using the funds provided by the European Union to expand its infrastructure, strengthen its businesses, further educate and qualify its workforce, relieve the environment and to stimulate research and development for measures aimed at urban and rural regional development. Funding in excess of € 1.3 billion, which is being provided between 2000 and 2006, will subsequently contribute to increasing entrepreneurial initiative, local employment and community development. Improvements toward integrating the city’s two halves into one functional entity are already visibly noticeable in many places.

The EU strategy for improving its economic competitiveness also challenges Berlin to provide vital impulses for increased employment and real net output by encouraging the city toward innovations, entrepreneurial spirit and advanced qualification. The purpose of this brochure is to give Berlin's citizens the opportunity to inform themselves about the kinds of support provided by the European Structural Funds.

I wish you immense success in your task of continuing Berlin’s transformation into Germany’s capital and a major European city.

Danuta Hübner
European Commissioner

PREFACE

Berlin has been benefiting from the European Structural Funds for over 10 years. Many of the investments in the city’s future could not have been implemented without resources from the European Structural Funds, i.e., restoration of the underground connection at Potsdamer Platz at the early 1990’s or expansion of the technology sites in Adlershof or Buch.

The same applies for labour market policy. Over xxx Berliners (one half women / one half men) participated in qualification and occupation projects of the European Social Fund (ESF) by the end of 2004 and prepared themselves for new challenges on Berlin’s employment market, which still remains difficult.

Approximately € 1.3 billion from the Structural Funds will be available to the city until 2006. I would like to take this opportunity to express my explicit gratitude for this support.

The Structural Funds will predominantly be available for new challenges after 2006. The Funds’ main focus after 2006 will be on the new EU Member States in Central and Eastern Europe. Investments in a modern transportation infrastructure or environmental protection in the neighbouring countries east of Berlin-Brandenburg, e.g., Poland or the Czech Republic, will also benefit Berlin and will provide new opportunities for Berlin’s economy.

Yet Berlin itself will continue to require support after 2006 so that it can consistently benefit from these new opportunities. This is why I have been following with major interest the discussion in the European Union to give greater consideration to the needs of major cities within the framework of the Structural Funds. Berlin already plays a pioneering role in this regard by incorporating city district management into the European Regional Development Fund (ERDF).

Due to the restructuring of government departments in Berlin, responsibility for the regional fund, the social fund and the agricultural fund now rest in the hands of the Senate Administration for Economic, Labour and Women’s Affairs. This is a unique situation in Germany, and it offers ideal organisational conditions for intelligent, efficient and co-ordinated use of Structural Funds resources.

Many of Berlin’s citizens are not yet as familiar with the European Structural Funds as I would hope they would be, despite their significance for our city. I hope that this brochure will contribute to making the funds better known among the general public and to making more transparent the allocation procedures and the opportunities for their use.

Harald Wolf, Bürgermeister und Senator for Economic, Labour and Women’s Affairs
1. INTRODUCTION

This brochure is meant to give you a general overview of the tasks and activities of the European Structural Funds in the Land Berlin during the 2000 – 2006 Programming Period.

The first part of this brochure gives you a general overview of the European Structural Funds and the role assigned to them in Berlin, followed by descriptions of individual Funds and their activities in Berlin, each illustrated by presenting a sponsored project. The second part of this brochure gives you an overall view of the conditions in effect for funding from the European Structural Funds. It also contains a glossary and an index of the most important addresses and contacts where it is possible to apply for funding from assistance programs or to get further advice on them.

Berlin will continue to require support from the European Union in future. We give you a brief synopsis of the tentative, future developmental setting and Berlin’s position on structural policy after 2007.

Europe is placing major emphasis on the aspect of equal opportunities for women and men in the economy. It is in Berlin’s own interest, as an innovative and stable economic centre, to increasingly utilise the vast potential of qualified and motivated women for its further development. Please read the “Cross-Section Tasks” part of this brochure for detailed information on this subject.

Berlin has a large funding structure available to it and offers a vast body of information on it. The breadth of this information cannot be described in this brochure. You can find further, detailed information on our assistance offers and numerous other addresses and links on our web page at:

www.berlin.de/strukturfonds

2. EUROPEAN STRUCTURAL POLICY

The European Union supports disadvantaged regions among its Member States. About one third of the Community’s budget is used to diminish economic and social disparities within the EU. The European Structural Funds constitute the most significant financing instruments of EU regional policy. A total of € 195 billion in funding is available for the 2000 – 2006 Programming Period.

THE OBJECTIVES OF THE STRUCTURAL FUNDS

Funding is distributed within the framework of the Structural Funds according to established funding objectives (see p. 12 for Berlin):

<table>
<thead>
<tr>
<th>Objective</th>
<th>EU-wide € bil.</th>
<th>Berlin € bil.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Objective 1</td>
<td>135,9</td>
<td>0,72 (1)</td>
</tr>
<tr>
<td>Objective 2</td>
<td>22,5</td>
<td>0,4</td>
</tr>
<tr>
<td>Objective 3</td>
<td>24,1</td>
<td>0,19</td>
</tr>
<tr>
<td>CI</td>
<td>12,5</td>
<td>0,015 (URBAN II only)</td>
</tr>
</tbody>
</table>

1) Plus € 62.567 million as part of a federal program. Berlin additionally received € 10.11 million from the interregional Federal ESF Program at the beginning of 2005. All figures include the performance reserve.
2) The European Social Funds may also finance these measures in Objective 1 regions.
3) Also augmented by CI shares in EQUAL and INTERREG III.

In Berlin: the former western half of the city. The European Union moreover supports specific objectives within the framework of four Community Initiatives (CI). Berlin participates in three of them, i.e., URBAN II, EQUAL, and INTERREG III. Participation in EQUAL and INTERREG III transpires within the framework of federal and interregional programs.
THE FOUR STRUCTURAL FUNDS

The four European Structural Funds are the European Union’s most important instruments for balancing regional developmental differences:

<table>
<thead>
<tr>
<th>European Regional Development Fund</th>
<th>European Social Fund</th>
</tr>
</thead>
<tbody>
<tr>
<td>p. 17 et seq.</td>
<td>p. 22 et seq.</td>
</tr>
<tr>
<td>ERDF</td>
<td>ESF</td>
</tr>
<tr>
<td>The ERDF particularly supports productive investments in companies for creating or preserving sustainable jobs, infrastructure investments, measures geared toward stimulating and supporting local development and job initiatives, local development projects, assistance for small and medium-sized enterprises (SME’s) and investments in environmental protection. See Chapter 5 starting at p. 17 et seq.</td>
<td>The ESF serves to promote measures that are geared to labour market, social and occupational policy. This fund primarily finances projects that promote qualification and employment and contribute to developing the potential of the work force. See Chapter 6 starting at p. 22 et seq.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>European Agricultural Guidance and Guarantee Fund</th>
<th>FIFG</th>
</tr>
</thead>
<tbody>
<tr>
<td>p. 26 et seq.</td>
<td></td>
</tr>
<tr>
<td>EAGGF</td>
<td></td>
</tr>
<tr>
<td>Guidance Department: The EAGGF supports the competitiveness of rural enterprises and the development and diversification of rural areas. See Chapter 7 starting at p. 26 et seq.</td>
<td>Financial Instrument for Fisheries Guidance:</td>
</tr>
<tr>
<td></td>
<td>The FIFG finances the modernisation of fishing structures in order to secure the future of the fishing industry4).</td>
</tr>
</tbody>
</table>

CROSS-SECTION TASKS

Modern development policy should not only serve to create income and employment. It should simultaneously contribute toward broadening the parallel tasks of policy. The following cross-section tasks were therefore defined for the Structural Funds. These are to be taken into account in all interventions related to the Structural Funds.

- Support of sustained (economic, ecological and socially-compatible) development,
- Equal opportunities for women and men (gender-mainstreaming),
- Promoting the information society.

The Land Berlin has moreover set the goal of giving special consideration to projects with local relevance.

All of the funds shall contribute to meeting cross-section objectives. The Land Berlin has worked out a dual strategy for this purpose:

First: special assistance measures were defined for all three cross-sections. ERFD measures cover the information society and environmental protection, with prime importance given to ESF Policy Field E (specific initiatives for women) for promoting equal opportunities. Both funds implement measures for projects with local relevance.

Second: all assistance measures are audited in line with how, for example, matters of equal opportunities and environmental protection can be accounted for within the scope of investment assistance. These aspects are considered in as far as possible the process of selecting and evaluating projects.

4) Given the limited significance of this sector for Berlin’s economy, Berlin is only allotted a small sum within the scope of a federal program. For detailed information on the FIFG, please go to the web site: http://europa.eu.int/comm/fisheries/policy_de.htm
Funding Principles

Structural Funds are being utilised in accordance with the following principles:

- **Concentration**: Structural Funds are primarily destined to benefit the most impoverished regions. This is why assistance is limited to the specific objective regions defined in the programs and transpires within the scope of sanctioned programs.

- **Partnership**: Decisions on how to use allocated funding are made jointly in close agreement among the region, the Member State and the European Commission.

- **Program Planning**: The results of the above agreement process are recorded in planning documents (so-called "Operational Programs" or "Standardised Program Planning Documents"). These documents establish the assistance measures that come into consideration for co-financing from the Structural Funds.

- **Sponsorship**: Funding from EU Structural Funds may only be used if the region (e.g., the Land Berlin) co-finances it. Funding may not be used to refinance obligatory tasks of the Member States.

It is not necessary for an interested individual or company to turn “to Brussels” to benefit from the assistance provided by the Structural Funds. In accordance with the subsidiarity principle, decisions on allocating funding are made where the assistance is intended to take effect, i.e., in the region itself. (See Chapter 10 for persons and offices to contact.)


Berlin is the European Union’s only city and region where all three funding objectives are currently being implemented:

- The former eastern part of Berlin is receiving transitional funding from Objective 1 for the 2000 – 2006 Programming Period.

- Essential parts of Berlin’s western city districts fall under Objective 2, and a smaller part is receiving transitional funding from Objective 25).

- The ESF is making its own contribution toward combating unemployment throughout the western part of the city within the scope of Objective 3.

However, a harmonised and extensively uniform assistance strategy has been developed within the framework of all three objectives to optimally support integration of the city’s former two halves into one entity and to avoid distortions of competition.

Berlin received over € 1.4 billion from the Structural Funds between 1989 and 1999. Within this context, the eastern part of the city received about € 950 million and West Berlin received about € 480 million.

During the current programming period, the eastern part of Berlin is receiving Objective 1 funding until 2005 as a transition region. The major portion of the former “western half” of the city is benefiting from Objective 2, i.e., over 1 million persons live in the regular Objective 2 region (until 2006) and an additional 500,000 persons are included in transitional support up to 2005. Berlin has over € 1.3 billion available to it for funding within the framework of Objectives 1, 2 & 3 during the 2000 – 2006 Programming Period.

5) A few areas of Berlin’s western city districts are not part of an ERDF Development Region.
**How much funding does Berlin receive?**

The Land Berlin has the following sums available to it until 2006 (Figures stated in € millions):

<table>
<thead>
<tr>
<th>Fund</th>
<th>Objective-1</th>
<th>Objective-2</th>
<th>Objective-3</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>ERDF</td>
<td>519.5</td>
<td>246.4</td>
<td>---</td>
<td>765.9</td>
</tr>
<tr>
<td>ESF</td>
<td>190.1</td>
<td>154.9</td>
<td>186.0</td>
<td>531.0</td>
</tr>
<tr>
<td>EAGGF</td>
<td>7.3</td>
<td>---</td>
<td>---</td>
<td>7.3</td>
</tr>
<tr>
<td>FIFG</td>
<td>0.4</td>
<td>---</td>
<td>---</td>
<td>0.4</td>
</tr>
</tbody>
</table>

The above sums are augmented by separate contributions from national public sector and private sector funding for “co-financing”.

In addition, Berlin benefits from the “Community Initiatives” (CI). CI’s are smaller, special programs of the Structural Funds, e.g., € 15 mil. of ERDF funding from URBAN II is available for developing an area around the Ostkreuz railway station. Berlin also participates in the EQUAL and INTERREG III Community Initiatives. Funding for Community Initiatives is also being co-financed by domestic contributions from national public or private funding resources.

Please go to p. 28 in Chapter 7 of this brochure for further information on Community Initiatives.

**Berlin’s Development Regions**

![Map of Berlin's Development Regions](image)

**Contents of the Programs:**

Support from the European Structural Funds transpires within the framework of firmly established assistance programs and measures. They are outlined in the program planning documents negotiated with the European Commission. The documents are as follows:

- Operational Program Objective 1 for the East Part of Berlin (OP)
- Uniform Program Planning Document Objective 2 for the West Part of Berlin (UPPD)

Assistance conditions for projects or respective companies according to the various funding guidelines are established in so-called Supplemental Program Planning Documents (SPPD). They are prepared for both objectives.

The program planning documents are available online at: [www.berlin.de/strukturfonds](http://www.berlin.de/strukturfonds) on the ERDF Service/ News pages.

The following five main focal fields of assistance will be supported from the Structural Funds in Berlin during the 2000 – 2006 Programming Period:

<table>
<thead>
<tr>
<th>From ERDF</th>
<th>1. Developing the competitiveness of the industry</th>
<th>Page 18</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>2. Developing infrastructure</td>
<td></td>
</tr>
<tr>
<td></td>
<td>3. Protecting and improving the environment</td>
<td></td>
</tr>
<tr>
<td>From ESF</td>
<td>4. Developing the potential of the workforce and equal opportunities (integrated in focal points)</td>
<td>Page 23</td>
</tr>
<tr>
<td>From EAGGF</td>
<td>5. Rural development (in Objective 1 regions only)</td>
<td>Page 26</td>
</tr>
<tr>
<td>All Funds</td>
<td>Technical Assistance to implement assistance programs and strategies</td>
<td></td>
</tr>
</tbody>
</table>

Please see the respective chapter for each fund for additional, detailed information on measures supported within the scope of the respective fund.

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6) Including the performance reserve.
8) Within the scope of federal programs.
9) ESF-promotion possible from objective-3.
4. STRUCTURAL FUNDS IN BERLIN 2007 – 2013

BERLIN WITHIN THE FRAMEWORK OF COHESION POLICY

Berlin will continue to urgently require support from the EU Structural Funds after 2006. The chances are good for receiving ongoing, appreciable support from the European Union.

In February 2004, the European Commission (EU COM) published its third cohesion report, in which it presented its recommendations for organising the Community’s regional funding. A major portion of the EU Commission budget of € 1.026 billion shall be allocated to regional policy. Within a period of seven years, € 336 billion of said budget sum shall be allocated as EU funding to regions of the 25 Member States. The number of Member States will increase to 27 after 2009.

However, the availability of these funds depends upon reaching an agreement on the financial forecast for the 2007 – 2013 fiscal period. The financial forecast is a kind of framework plan that establishes the benchmark figures for EU income and expenditures for respective seven-year periods. It is the starting point used by the Commission to prepare its annual budgets that are subsequently submitted to the European Council and the European Parliament for adoption.

The EU Commission’s original timetable foresaw that the decision on financial forecast for the 2007 – 2013 fiscal period was to have been made in the first half of 2005. Following the failure of the June 2005 EU Summit, this decision will now have to be made either under British or Austrian presidency, i.e., in the second half of 2005 or the first half 2006.

The regulations regarding Structural Funds assistance will be up for adoption after an agreement has been reached on fiscal benchmark figures.

In view of commencement of the new programming period on 1 January 2007, strategic planning for use of funding in Berlin would already need to start in 2005, notwithstanding the aforementioned delays.

BERLIN’S CLAIMS

The financial forecast is not available yet. A number of Member States are fervently appealing for a reduction in the total EU budget and therefore also in Structural Funds assistance. The scope of concentration on new Member States and the convergence objective (new Objective 1) is also at dispute.

Berlin can no longer be supported within the framework of Objective 1 as of 2007. Thus the crucial issue for Berlin is how the “Regional Competitiveness and Employment” Objective (new Objective 2) will be organised in terms of funding and content. The following points are relevant in this respect:

- Total cuts in total EU expenditures may not unilaterally burden structural expenditures.
- In recognising the priority for Objective 1 funding, viable regional assistance must remain intact outside the scope of Objective 1, also in the event of a reduction in structural expenditures.
- Regional assistance within the scope of Objective 2 has to benefit the regions suffering from special socio-economic problems, such as higher unemployment rates and lagging growth.
- Urban needs are to be adequately considered. It is essential that ERDF funding that is used for such needs can be applied to measures that improve economic development in urban areas.
- The European Social Funds’ funding resources within the scope of Objective 1 will have to support regional labour market policy.
- A 100 km demarcation zone on both sides of the border is to be provided for promoting cross-border cooperation.
- Berlin’s subsidy status under support law pursuant to Article 87, III c) Rome Convention10 will have to be preserved after 2006.

10) Article 87 III c), Rome Convention permits aid to facilitate the development of certain economic activities or of certain economic areas, were such aid does not adversely affect trading conditions to an extent contrary to common interests. Without this subsidy status, support of the commercial economy in Berlin would only be possible to a minor extent.
HOW CAN RESOURCES OF THE STRUCTURAL FUNDS BE USED AS OF 2007?

The EU Commission proposes three objectives for the new programming period:

1. Convergence: Support of growth and employment in the under-developed Member States and regions (previous Objective 1)
   Support of growth and employment in the under-developed Member States and regions:
   - less than 75% gross domestic product per capita income in the EU 25
   - regions affected by the following statistical effect: under 75% in the EU 15, but over 75% of the average EU 25

2. Regional competitiveness and employment: anticipation and support of the transformation (previous Objectives 2 & 3)
   First field: regional competitiveness:
   - a society based on innovation and knowledge
   - Environment and risk prevention
   - Improvement of access to transportation and telecommunication services
   Second field: employment
   - Adaptability of employees and businesses
   - Promoting employment
   - Access to the labour market for especially disadvantaged groups
   - Mobilisation of employment and integration reforms

3. European territorial co-operation
   - Cross-border co-operation

5. ERDF IN BERLIN (OBJECTIVES, IMPLEMENTATION, FUNDING)

The European Regional Development Fund is the most important regional assistance instrument of the European Union. Via ERDF, the European Union contributes to diminishing the development inequalities among different regions and reducing the underdevelopment of Europe’s most disadvantaged regions. Job creation is the most important objective of ERDF assistance.

The ERDF is a central pillar for implementing a future-oriented and long-term structural policy for Berlin. It supports both major infrastructure projects, such as expansion of new technology sites in Berlin-Adlershof (in the Treptow-Köpenick City District) and on the Berlin-Buch campus (Pankow City District). It also supports a number of research and development projects in business (please see project example on the next page), and investments for improving Berlin’s environmental situation.

A number of small and medium-sized enterprises (SME’s) have benefited from the ERDF. ERDF Funds have supported hundreds of start-ups and a broad number of investments in modern technologies.

HOW MUCH ERDF FUNDING DOES BERLIN RECEIVE?

Berlin will receive a total of nearly € 766 million from ERDF during the 2000 – 2006 period:

<table>
<thead>
<tr>
<th>Main focal points of funding</th>
<th>Objective 1 (Berlin’s Eastern Districts)</th>
<th>Objective 2 (Parts of West-Berlin)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Direct investments</td>
<td>200,968 mil. €</td>
<td>107,261 mil. €</td>
</tr>
<tr>
<td>3. Environment</td>
<td>54,050 mil. €</td>
<td>27,587 mil. €</td>
</tr>
<tr>
<td>(ERDF Technical Assistance)</td>
<td>(5,178 mil. €)</td>
<td>(2,846) mil. €</td>
</tr>
<tr>
<td>Total</td>
<td>519,537 mil. €</td>
<td>246,426 mil. €</td>
</tr>
</tbody>
</table>

The above sums are augmented by additional funding provided by the Land Berlin, the federal government and the companies receiving aid. Federal or private co-financing is a requirement for receiving EU funding.
WHAT IS BEING SUPPORTED? (MAIN FOCUS OF SUPPORT)

The ERDF funding policy aims towards a competitive and future-oriented economic structure. The creation and long-term preservation of jobs is its eminent objective.

The Berlin Senate has therefore developed a strategy of funding for the current 2000 – 2006 Programming Period that stresses funding of innovations. Both the city’s research landscape and innovative businesses and its business start-ups particularly benefit from this strategy.

The following priorities were defined for utilising ERDF:

1. Promoting trade and industry’s competitiveness
   - Promoting of productive investments, e.g., through investment subsidies within the framework of the project „Improving the regional economic structure”, jointly financed by the German federal (Bund) and the federal states (Länder).
   - Promoting of research and development, particularly for small and medium-sized enterprises, e.g., by funding research projects with subsidies, loans or holdings within the framework of the “Program for Funding Research Innovations and Technology” (ProFIT).
   - Strengthening entrepreneurial potential in small and medium-sized enterprises, e.g., by funding business participation in international trade fairs abroad within the framework of “Developing New Markets”, the foreign trade support program.

2. Infrastructure development
   - Funding the infrastructure used by businesses, e.g., by developing industrial areas.
   - Infrastructure in the fields of science, research and development, e.g., by supporting research institutes.
   - Infrastructures in the fields of continuing education, training and post-graduate training, e.g., by expanding advanced level education centres.
   - Urban and local infrastructure, e.g., by supporting troubled zones (“Sector Management”).
   - Transportation infrastructure, e.g., by extending major street connections.

3. Protecting and improving the environment
   - Environmental relief program, e.g., by promoting resource-protecting investments.
   - Environmental relief program, e.g., by promoting resource-protecting investments.

4. “Technical Assistance”

Financial support for preparing, developing and implementing ERDF aid programs and strategies, e.g., by funding of workshops and studies.

WHAT DOES ERDF SUPPORT? – AN EXAMPLE

SUPPORT OF RESEARCH AND DEVELOPMENT IN A SME

Supporting research and development of future-oriented processes in small and medium-sized enterprises (SME’s) is an important factor for the structural transformation of Berlin into a major European city. The ERDF largely contributes to further expansion of this area by providing subsidies, loans and holdings to SME’s within the framework of its Program for Funding Research Innovations and Technology (ProFIT). This program was re-launched at the beginning of 2004 and has merged various support guidelines – including the prior Innovation Assistance Program.

The objective of the program is to stimulate R&D activities in Berlin’s economy, to initiate research and development co-operations between companies and scientific institutes and thus to promote the transfer of technology from research institutes to the business sector. In this way, funding shall contribute to concentrating regional competencies and to sustained strengthening of competitiveness, growth and employment in the Land Berlin. The following project example was supported within the framework of the Innovation Assistance Program.

Project example: development of a video endoscope constructed from modules based on micro-system technology.

Project timeframe: 1 September 2001 – 31 August 2004

The project’s objective is to develop a highly integrated video endoscope for purposes of minimally invasive surgery, so called keyhole operations, and for monitoring automated production processes. The final goal is to produce a prototype of the video endoscope, a pre-production run of demonstration units and to sell them at cost.

The project is conceived as an integrated project with three partners. Intensive, project-based networking of the three partners will enable effective co-operation for the planned development of the instrument. Berlin is a centre for technology-linked medicine. The project’s successful realisation allows us to expect of a multiplying effect that can contribute to strengthening Berlin’s economy on a long-term basis.

The integrated project brillianty weds the different competencies...
of two Berlin companies. The Research Institute of the Technical University Berlin was also integrated into the project. This step gave both companies beneficial access to new processes and materials in the field of micro system technology. The project is currently in its development phase. A wear-with-all practical solution is to be achieved further along the line. Current project results indicate that we can expect successful completion of this project.

In general, this project was sponsored with about € 387,000.00, of which € 290,000.00 came from ERDF funding. The project’s total volume amounted to about € 721,700.00.

**How do you get ERDF funding?**

An individual company does not have to turn directly “to Brussels” in order to get funding. Rather, ERDF funds are used within the framework of various assistance programs that are co-financed from EU resources.

ERDF assistance is being implemented on a decentralised basis in Berlin. This means that Senate administrative authorities and city district offices, which are responsible for an individual specialised field, issue approval for assisted projects and implement funding.

For a number of assistance measures, especially in the field of business promotion, implementing measures (such as processing and approving the applications) are delegated to a service partner, primarily to the Investment Bank Berlin (Investitionsbank Berlin) (IBB). The IBB implements a major part of the assistance programs, particularly for productive investments in SME’s and for technology programs.

Please see the Berlin Funding Primer for further information on these assistance programs. It can be ordered from the Investitionsbank Berlin or viewed online at [www.investitionsbank-berlin.de](http://www.investitionsbank-berlin.de).
6. ESF in Berlin (Objectives, Implementation, Funding)

The purpose of the European Social Fund (ESF) is to contribute to increasing employment by promoting employability, entrepreneurial spirit, adaptability, equal opportunities and investments in human resources.

The European Union is supporting Berlin’s labour market and employment policies with funds from the ESF. Between 1994 and 1999, numerous measures for the qualification and support of unemployed persons and those threatened by unemployment were undertaken in our city. The European Union will continue to commit ESF funds to combating unemployment throughout Europe and Berlin. The ESF is the European Commission’s main policy support instrument for the labour market, and it aims at implementing the European Employment Strategy.

ESF implementation in Berlin is managed by the ESF Funds Managing Authority, a subdivision of Senate Administration for Economic, Labour and Women’s Affairs, which works closely with the following partners:

- Approval offices / specialised divisions (Senate Administrative Divisions)
- City districts (units in city district administrative offices, Federal Welfare Act implementation until 31/12/2004)
- Service companies (Zukunft im Zentrum GmbH, Gesellschaft für soziale Unternehmensberatung, SPI Consult GmbH)

The following service agencies assist the ESF in the area of program development and support:

- ECG – advice on application, reporting and control procedures;
- Mummert Consulting and Prognos – scientific support of the ESF.

A number of sponsors also provide support at the level of each individual project.

How much EFS funding does Berlin receive?

Between 2000 and 2006, Berlin will receive approx. €541.659 million from the European Commission. The funds are being awarded within the scope of ESF objective funding. This sum breaks down among the three objectives as follows:

- Objective 1: €190,135 million
- Objective 2: €154,863 million
- Objective 3: €186,560 million
- Total: €531,558 million

What is being supported? (Main focus of support)

The Land Berlin has developed an integrated strategy for ESF within the scope of its program planing for the 2000 – 2006 Programming Period. Implementation of ESF in Berlin within all three objective regions occurs in accordance with the aforementioned strategy and breaks down into the following six policy measures:

- Policy Measure A (46% of the funds): active labour market policy for promoting employment (combating youth and long-term unemployment, reintegration into the labour market).
- Policy Measure B (19% of the funds, 20% in Objective 2 regions): “Society without Exclusion” (equal opportunity, social and occupational integration of disadvantaged groups, etc.).
- Policy Measure C (10% of the funds): promotion of employability, qualification, and mobility through lifelong learning (improvement of vocational training and general education).
- Policy Measure D (14% of the funds): promotion of adaptability and entrepreneurial spirit (promotion of competitiveness, economic growth and innovation, strengthening the knowledge potential at universities and companies and transfer of such knowledge).
- Policy Measure E (10% of the funds): specific programs that benefit women.
- Policy Measure F (1% of the funds for Objective 1 and Objective 3): risk capital for social policy.

11) Names and addresses available in this brochure starting on p. 36 in Chapter 10.
12) Plus €10,101 million from an Objective 1 Federal ESF Program
The following cross-sectional tasks are additionally considered in all policy measures:

- Equal opportunities for women and men (gender mainstreaming)
- Sustained development
- Consideration of the information society and promotion of local development projects.

For this purpose, all ESF projects are subject to a scoring-procedure\(^{13}\).

**WHAT DOES ESF SUPPORT? - AN EXAMPLE**

*Society without Exclusion*: equal opportunities, social and occupational integration of disadvantaged groups.

The “FAZIT” Project, sponsored by SPEKTRUM Gesellschaft für berufliche Bildung mbH (a vocational training company)

Timeframe for the project: 1 June 2001 – 31 December 2003

The project’s content and objective is to combat unemployment in Berlin’s eastern city districts by providing counselling and by practical qualification of unemployed adults with emotional disabilities or a prior illness. Activities rooted in office-based and computer-based systems constitute the priority focus under consideration of new office and computer technologies.

Qualification and occupational integration of handicapped program participants transpires within the scope of an integrated counselling and qualification approach, based upon a two-stage assistance program that matches the individual learning needs with the mental capacity of each person. The project offers three months of basic training and a one-year main course. In addition to providing required technical competencies, the program also improves the individual’s psychosocial resources and social competencies by offering psychosocial support. The program exhibits in an exemplary manner how equal opportunity can be created or respectively promoted via a combination of adapted qualifying methods and up-to-date qualifying subject matter in the field of information technologies.

In general, this project was supported by approx. € 682,770.00, with € 400,460.00 thereof from ESF funding.

For more project descriptions please go online to the ESF Communication Platform (Best-Practice Section) at:

www.europe-net.de/esf

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\(^{13}\) Model-based developed method for the ESF in Berlin for assessing the cross-section tasks of equal opportunities for women and men, the consideration of the information society and the promotion of local development projects.
7. EAGGF in Berlin (Objectives, Implementation, Funding)

The European Agricultural Guidance and Guarantee Funds (Guidance Department) (EAGGF-G) supports development of rural areas and improvement of agrarian structures. The competitiveness of rural enterprises is to be enhanced within the scope of the improving the agrarian structure. The development of rural areas is especially significant for using EAGGF funding in Berlin.

The concentration and growth of Berlin’s settlement area necessitates development of rural areas as recreational space for the population and for ecological balance.

For the 2000 – 2005 Programming Period, Berlin will receive approx. € 7.315 mil from EAGGF Objective 1 funding of the European Union.

What is being supported?

EAGGF-G funding transpires in Berlin within the scope of the Objective 1 program for the former eastern part of the city. The funding is concentrated in two areas in Berlin:

1) aid for individual companies and
2) development of rural areas

Funding is channelled into the in following measures:

- Investment in agrarian enterprises.
- Village renewal and development and protection and preservation of the rural cultural heritage.
- Development and improvement of agriculture-related infrastructure.
- Protection of the environment in conjunction with farming, countryside landscaping and improvement of animal protection.

How much EAGGF funding does Berlin receive?

Berlin receives approx. € 7.169 mil. in EAGGF funding and Technical Assistance (TA) funding:

<table>
<thead>
<tr>
<th>Funding areas</th>
<th>Objective-1 (Berlin’s Eastern Districts)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Aid to individual companies</td>
<td>0.023 mil. €</td>
</tr>
<tr>
<td>Development of rural areas</td>
<td>7.146 mil. €</td>
</tr>
<tr>
<td>Total</td>
<td>7.169 mil. €</td>
</tr>
</tbody>
</table>

How do you get EAGGF funding?

Please send an informal application to the Senate Administration for Economy, Labour and Women’s Affairs. This office will also issue the assistance notice.
What does EAGGF support? – An example

Aid to Village renewal

Renovation of a field barn roof in Falkenberg (Lichtenberg City District)

Arable land & pasture surround the barn on three sides. It is located 1 km from the village centre of Falkenberg along the extended Hausvaterweg. The field barn is 30.7 m long, 20.5 m wide and 8.1 m high. It was built in 1955 / 1956 for the former state-owned farm in Berlin-Falkenberg and was used as a storeroom for straw and hay.

The field barn is built on a pressed-cement foundation, the walls are made of lime sandstone (on the gable end 24 cm thick and 12 cm on the side walls). The supporting structure is made of wooden beams, and its four gates are made of wood.

EAGGF funding has made it possible to re-cover the roof with a hardtop and to carry out repairs on the wooden beam supporting structure.

The unique feature of this field barn is the barn owl (Tyto alba) that nests inside it. The owls accepted the nesting box rather quickly after it was installed in 1986. The barn owl couple successfully breeds offspring almost every year. The field barn was and is used as a storeroom for hay. As a result, the barn owl is able to raise many offspring (the field barn offers optimal conditions due to its favourable food supply). The barn will continue to be used as a hay storeroom, or for storing equipment. Preservation of the field barn as an agricultural storeroom and preservation of the barn owl’s nesting place were the priorities of the restoration task.

This project was funded with a total of € 40,660.00, with € 32,990.00 thereof from EAGGF funding. The total volume of the project was around € 43,833.00

8. Community Initiatives

Community Initiatives (CI) are smaller special programs for surmounting specific problems. They insofar complement funding in the objective regions. Each CI is financed by one of the four Structural Funds. The European Union has provided a total of € 12.5 billion in the 2000 – 2006 Programming Period for the four Community Initiatives INTERREG III, URBAN II, LEADER+ and EQUAL.

Berlin is participating in the following three Community Initiatives during the 2000 – 2006 Programming Period:

- **EQUAL** supports funding of new methods for tackling discrimination and inequality in conjunction with the job market. In the first round of support, funding from the Federal “EQUAL” Program supported eight development partnerships, and seven development partnerships were supported in the second round of support. About € 484 mil. in ESF funding is available throughout Germany for the 2000 – 2006 Programming Period. For further information on CI EQUAL in Germany please go online to: http://www.equal.de/

- **INTERREG III** is used for cross-border (Axis A), transnational (Axis B) and interregional co-operation (Axis C) support in Europe. Berlin and Brandenburg jointly participate in INTERREG III B projects. Berlin furthermore participates in INTERREG III C with 19 projects. Within the scope of INTERREG III B, a tentative sum of up to € 30 mil. will be available from ERDF funding for the Baltic Sea Region and 28 mil. € for the Southeast European Region. For further information on the CI INTERREG III B and on CI INTERREG III, please go online to the following web sites: INTERREG III B: http://www.spatial.baltic.net/ and http://www.cadses.net, INTERREG III C: http://interreg3c.net. Berlin does not participate in the agriculturally oriented LEADER+ Community Initiative, which funds studies with EAGGF aid during the 2000 – 2006 Programming Period. For further information on LEADER+, please go online to: http://europa.eu.int/comregar/ruagführungs/plus/index_de.htm
9. **Conditions for Funding**

**Who is Responsible in Land Berlin?**

The Senate Administration for Economic, Labour and Women’s Affairs is responsible as an administrative authority for implementing Structural Funds aid (ERDF, ESF and EAGGF) in the Land Berlin. It is the contact office for the European Commission and the federal government. It maintains contacts with business and social partners and informs the public about the activities of the Structural Funds.

Funding assistance from the Structural Funds is implemented within the scope of established assistance programs, and it is linked to a series of conditions for potential recipients.

**Conditions for Funding**

The most important requirements for support are:

- **A Business site in Berlin:**
  - The ERDF can only assist companies with a business site in Berlin, and more specifically in one of the objective regions (Objective 1, Objective 2, Objective 2 Transition). All people domiciled in Berlin can receive a qualification from ESF funds.
  - The EAGGF can only assist rural businesses, associations and other entities that have their business site or respective sphere of activity (for individuals: their domicile) in Berlin’s Objective 1 region. The respectively valid framework plan for the Community Task “Improvement of Agricultural Structure and Coastal Protection” constitutes the basis for support.

- **Ban on dual support:** No assistance available from the Structural Funds may have been allocated or be currently allocated to the project subject to funding. A project or a measure may be funded only from one of the three funds. Separate partial projects are to be defined in instances of integrated projects that combine economic and labour market policy.

- **Programming Period:** The programming period fundamentally covers the years 2000 to 2006 and an added two-year delay disbursement period, i.e., until 2008, during which aid may be approved and disbursed. A one-year shorter disbursement period, i.e., until 2007, is in effect for so-called transition regions (the entire eastern part of town = Objective 1 Transition and parts of West Berlin = Objective 2 Transition). The projects must be completed by the end of the disbursement period. As a rule, the applications must approved before implementation of the supported project.

- **Additional Financing and financial handling:** The Structural Funds only assist additional projects, which means that co-financing has to transpire via federal funds (of the Land Berlin or the Federal State) and private funds of the supported company, business or other service entity. The principal of reimbursement applies for the Structural Funds, which means that the aid may only be paid out to the support recipient upon presentation of paid and audited bills.

**Principles of implementation**

The following principles moreover apply for funding assistance from the European Structural Funds in addition to the conditions of support:

- **Objective-linked intervention charge:** Funding assistance from the Structural Funds occurs commensurate with a specific percentage of public expenditures (intervention charge) depending on the respective objective region. The intervention charge is up to 75% in Objective 1 regions. In Objective 2 regions, the intervention charge is up to 50%. In objective 3 regions (ESF only), the intervention charge is 44%. The remaining funding has to be contributed from national and/or private co-financing.

- **Supplementary support and assessment:** The Member States are responsible for the implementation, effectiveness and supplementary support of Structural Funds interventions. The assessments of Structural Funds interventions will take place beforehand at the end of 2003 (with an update in 2005) and after the program has expired. The European Commission retains 4% of Structural Funds’ money as “performance reserve”. The reserve is allocated to the Member States mid-term in the programming period only in the event of a positive evaluation of the effectiveness of the Structural Funds’ support.

- **Supplementary support and partnership:** In Berlin, the Berliner Begleitausschuss (BGA – Supplementary Support Committee) is in charge of following up implementation of the programs. Berlin administration authorities, funds managing authorities, appropriate federal government and the European Commission service offices, implementing Berlin offices, business and social partners and the city district offices are represented on this committee. The task of the BDA is, among others, to propose program modifications and to sanction or approve annual reports and supplemental program planning documents.

- **Information and publicity:** The general public and parties participating in implementing the Structural Funds are to be informed on the European Union’s involvement. This also applies for support recipients, who are required to indicate that the European Union has co-financed their projects.
Control: The Member States bear responsibility vis-à-vis the European Commission for ensuring that their systems of control and correction are effective and that the abuse of public funds is prevented. The European Commission also verifies these systems on site.

Compatibility with the Community’s policies: All initiatives and all projects must be aligned with the legal principles of the European Union. This particularly applies in terms of competition law, the fair-trading law, laws governing award of contracts, environmental protection law, the data protection act and the principle of equal opportunities for men and women.

Legal regulations


10. Small Glossary of the Structural Funds in Berlin

Approval Authorities: Senate administrative agencies, city district offices and service agencies manage contingents of EFS funding under their own responsibility for special fields.

EAGGF: European Agricultural Guidance and Guarantee Fund.

EAGGF Managing Authority: Co-ordinates EAGGF assistance measures in a given region.

ERDF: European Regional Development Fund.

ERDF Fund Managing Authority: Co-ordinates ERDF assistance measures. The fund management offices are the first point of contact for specific fund-related issues for all parties in Land Berlin who are involved both inside and outside of administration. ERDF offices in charge of carrying out the program are responsible for specifically implementing each assistance measure.

Uniform Program Planning Document (UPPD): A form of intervention of the European Structural Funds; as a rule, for Objective 2 and Objecting 3 assistance programs. The Objective 2 UPPD is in effect in some parts of the former western half of the city. Article 9 g, Article 15 and 19 Regulation (EC) No. 260/1999.

Supplemental Program Planning Document (SPPD): A regional planning document that is prepared based on an Operational Program (OP) or a Uniform Program Planning Document. It lists specific funding guidelines for implementing the assistance strategies of the OP or the UPPD. Article 9 m and Article 18, subsection 3, Regulation (EC) No. 1260/1999.

ESF: European Social Fund.

ESF Funds Managing Authority: Co-ordinates ESF assistance measures in a given region. In Berlin, the ESF approval offices are responsible for specifically implementing respective assistance measures.


European Regional Development Fund: ERFD particularly promotes infrastructure projects, job-creating business investments, local development projects, and assistance for SME’s and investments for protecting the environment. Articles 1 & 2, Regulation (EC) No. 1783/1999.

European Structural Funds: The most important financing tools for bolstering economic cohesion in the EU. The EU has established the Structural Funds, and it uses them to support structural development of disadvantaged regions within the framework of its three defined funding objectives. Also see: ERDF, ESF, EAGGF, FIFG.


Community Initiatives (CI): Four smaller special programs addressing specific problems that exist everywhere in the European Union. The four CI’s during the 2000 – 2006 Programming Period are: INTERREG III (cross-border, transnational and interregional co-operation), URBAN II (economic and social regeneration of troubled urban areas), LEADER+ (development of rural regions) and EQUAL (supporting new methods for combating discrimination and inequality in conjunction with the labour market). Article 20-21, Regulation (EC) No. 1260/1999.

CDC: Community Development Concept

Investment Bank Berlin (Investitionsbank Berlin) (IBB): Berlin’s development bank. The Investment Bank implements a major part of business-related assistance measures and programs of the Land Berlin. A good number of these assistance programs are being financed with the financial resources from the European Structural Funds.

SME’s: Small and medium-sized enterprises

Small and Medium-sized Enterprises: Companies with less than 250 employees, a maximum annual turnover of € 50 million or an annual reported balance sheet sum of maximum € 43 million Euros, with 25% or more of their share capital or voting shares not mutually owned by one or more companies that fail to meet the SME criterion. The essential task of the European Structural Funds, and primarily the ERDF, is to offset disadvantages caused by the size handicap that confronts SME’s, especially when accessing capital markets. Regulation (EC) 70/2001 of 12 January 2001; new definition of SME’s pursuant to Recommendation of the COM pertaining to the definition of smallest companies and small and medium-sized enterprises C (2003) 1422 of 6 May 2003.

Operational Program (OP): A form of intervention of the European Structural Funds. Development program for a regional target area based on a Community Support Framework (CSF). While CSF is valid for all regions of a Member State included in the given objective (e.g., in Germany: all East German [Objective 1] States), the OP defines the development framework in the respective region. As a result, the OP has more policy significance than the CSF in terms of development practice on site. In Berlin, the Operational Program applies to the former eastern half of the city. Article 9 f and Article 18, Regulation (EC) No. 1260/1999.

Program(s): The Structural Funds do not finance separate projects; rather they finance regional development programs spread over several years. The regions, the Member States and the European Commission mutually establish these programs, taking into account the Commission’s guidelines that are valid for the entire EU. The Community Support Framework (at the Member State level), including integrated regional Operational Programs, applies for Objective 1 regions. The Uniform Program Planning Documents apply for Objective 2 regions and Objective 3 funding. Article 9 a, b and Article 13-15, Regulation (EC) No. 1260/1999.

Program-Implementing Offices: Service offices individually in charge of implementing, supervising and checking respective assistance programs in compliance with appropriate funding regulations. As a rule, specialised departments under the responsible Senate Administration exercise the function of service offices in Berlin for ERDF. They have partially delegated their tasks to agency offices (such as the Investment Bank Berlin). In terms of ESF, the city districts or so-called service companies may take over this task as approval authorities. The EAGGF Managing Authority implements EAGGF assistance programs itself in Berlin.


Managing Authority: The Managing Authority is the European Commission’s central point of contact for the Structural Funds’ support in a given region. It co-ordinates the work of the managing authorities of the three funds and is in charge of broad tasks (e.g., public relations). In Berlin, the Managing Authority is located at the Senate Administration for Economic, Labour and Women’s Affairs, Martin-Luther-Strasse 105, 10825 Berlin. Article 9 n, Regulation (EC) No. 1260/1999.

Objective 1: Promotes development of regions whose economy is lagging behind. Objective 1 regions are regions where the population’s per capita income is lower than 75% of the average EU gross domestic product. In Berlin, the eastern half of the city has passed this mark, yet still receives transitional support. Article 3, Regulation (EC) No. 1260/1999.

Objective 3: Theme-related objective that encompasses EU support for adapting and modernising the education, qualification and employment systems outside of Objective 1 regions (Objective 1 funding promotes these themes in Objective 1 regions). In Berlin, Objective 3 funding comes exclusively from the ESF. In Berlin, Objective 3 funding applies to the entire former western part of the city. Article 5 & 6, Regulation (EC) No. 1260/1999.

A detailed glossary of the EU Structural Funds in Berlin is available at the following internet address:

www.berlin.de/strukturfonds

11. CONTACTS AND ADDRESSES

MANAGING AUTHORITY
Senatsverwaltung für Wirtschaft, Arbeit und Frauen
Verwaltungsbehörde für die Europäischen Strukturfonds
(Senate Administration for Economy Business, Labour and Women’s Affairs)
Martin-Luther-Straße 105
10825 Berlin
Tel: (030) 9013-0
E-Mail: strukturfonds@berlin.de

MANAGING AUTHORITIES FOR THE THREE FUNDS
Senatsverwaltung für Wirtschaft, Arbeit und Frauen
(Senate Administration for Economy, Labour and Women’s Affairs)
EFRE-Fondsverwaltung, ESF-Fondsverwaltung
und EAGFL-Fondsverwaltung:
(ERDF Managing Authority, ESF Managing Authority and EAGGF Managing Authority)
Office building: Martin-Luther-Straße 105
10825 Berlin
Tel: (030) 9013-0
E-Mail: strukturfonds@berlin.de

GENDER MAINSTREAMING IN THE EU STRUCTURAL FUNDS
Gender Advisory Committee:
Senatsverwaltung für Wirtschaft, Arbeit und Frauen
Referat Frauenförderung – Frau Zauner –
(Senate Administration for Economy, Labour and Women’s Affairs
Women’s Support Office: Mrs Zauner)
Martin-Luther-Straße 105, 10825 Berlin
Tel: (030) 9013-0
E-Mail: Margrit.Zauner@senwaf.verwalt-berlin.de

ERDF PROGRAM IMPLEMENTING OFFICES AND ESF APPROVAL OFFICES
Specialised Divisions/ Approval Offices of the Senate Administration

ERDF, ESF and EAGGF Projects:
Senatsverwaltung für Wirtschaft, Arbeit und Frauen
(Senate Administration for Economy, Labour and Women’s Affairs)
Office building: Martin-Luther-Straße 105
10825 Berlin
Tel: (030) 9013-0

ERDF and ESF Projects:
Senatsverwaltung für Wissenschaft, Forschung und Kultur
(Senate Administration for Science, Research and Culture)
Brunnenstr. 188-190, 10119 Berlin
Tel.: (030) 9228-0

Senatsverwaltung für Bildung, Jugend und Sport
(Senate Administration for Education, Youth and Sports)
Beethovenstr. 8-8, 10117 Berlin
Tel.: (030) 9026-0

Senatsverwaltung für Stadtentwicklung
(Senate Administration for Urban Development)
Württembergische Str. 6, 10707 Berlin
Tel.: (030) 9025-0
ESF projects:

Senatsverwaltung für Gesundheit, Soziales und Verbraucherschutz
(Senate Administration for Health, Social Affairs and Consumer Protection)
Oranienstr. 106, 10969 Berlin
Tel.: (030) 9028-0

ESF Approval Offices at Berlin
City District Offices

Berlin’s City District Offices are also in charge of approving ESF measures. You can find the Addresses for the responsible city district office in your current telephone book.

ESF Service Companies

Gesellschaft für soziale Unternehmensberatung mbH (gsub)
Oranienburger Str. 65, 10117 Berlin
Tel.: (030) 284 09-0

SPI Consult GmbH
Hildegardstr. 28, 10715 Berlin
Tel.: (030) 69 00 85-0

Zukunft im Zentrum GmbH (ZIZ)
Rungestr. 19, 10179 Berlin
Tel.: (030) 27 87 33-0

Investment Bank of the Land Berlin:
Investitionsbank Berlin
Bundesallee 210
10702 Berlin
Tel.: (030) 2125-0
Senatsverwaltung für Wirtschaft, Arbeit und Frauen

Verwaltungsbehörde für die Europäischen Strukturfonds in Berlin

Martin-Luther-Straße 105
10825 Berlin

E-Mail: strukturfonds@berlin.de