

NATIONAL FUNDING: BUILDING AWARENESS ON POLICY PERSPECTIVES

National Research Council of Italy

Rome, 27-28 November 2017

Rome Report

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2nd REGIONAL WORKSHOP ON FUNDING OF RESEARCH INFRASTRUCTURES

National Research Council of Italy

Rome, 27-28 November 2017

1. EXECUTIVE SUMMARY

The 2nd Regional Workshop on 'National Funding: Building Awareness on Policy Perspectives' provided a space for Italian and foreign experts from research infrastructures (RI) and public research organisations to exchange knowledge and experiences, as well as to raise awareness on a number of relevant issues: 1) national funding instruments and RI roadmaps, including the macro-regional level; 2) research and innovation funding mechanisms to support RI services; 3) monitoring and life-cycle development of RIs; and 4) the formulation of recommendations for RI policy development. More information on the outcome of the sessions can be found in the following paragraphs. Upon request, an extended report with details on the content of the two-day workshop will be provided by the National Research Council of Italy.

2. PLENARY SESSION - DAY 1

2.1 Welcome and Introduction

- Corrado Spinella - National Research Council of Italy - DSFTM
- Isabel Bolliger - UNIL
- Teresa Jorge - CCDRC

2.2 Panel: Perspectives on National funding and RI roadmaps for Pan-European RI including macro regional considerations

2.3 Moderator

Sauro Longhi - Marche Polytechnic University - GARR

2.4 Participants

- Ornela de Giacomo - Central European Research Infrastructure Consortium (CERIC)-ERIC
- Maurizio Peruzzini - National Research Council of Italy
- Carlo Mariani - University of Rome 'La Sapienza'
- Lorenzo Avaldi - National Research Council of Italy
- Floriana La Marca - EIT Raw Materials GmbH
- Virginia Coda Nunziante - National Research Council of Italy



2.5 Conclusions and Recommendations

While there is a general consensus that the financial commitment of Member States (MS) in cash is essential for the operation of RIs, in-kind contributions, on the other hand, are perceived by workshop participants as an additional funding mode that can help capacitate research facilities, as well as fulfil their mission through the provision of products and services like technical equipment and secondment of staff. Operation, however, is a phase in RIs that feeds mainly from cash contributions.

Equally relevant is the involvement of RIs in Public Private Partnerships (PPP). Participants seem to agree that involving research facilities from the beginning in PPPs is important for the long structuring process. Furthermore, according to some participants, Member States (MS) and the European Union (EU) should scale up their investments in Research and Innovation (R&I) to leverage private investment and stimulate the growth of products and services in key global sectors like health, environment and energy. Connecting research and private-sector knowledge through effective models could help break down the silos and foster innovation.

Other points raised throughout the session included the so-called Knowledge Innovation Communities (KICs), which provide favourable place-based conditions for synergies and complementarities with lateral actors such as universities, businesses and research performing organisations in fields like health, climate change and raw materials). These communities provide a critical mass of universities and companies in specific sectors that concentrate specialised knowledge important for the generation of new ideas. The general perception is that involving RIs in the innovation chain of these communities could help bridge the gap between research and market.

Designing and investing in a sound marketing strategy that improves the visibility of a RI is vital for their long-term sustainability. To this end, identifying the core users of a RI and their needs is important to determine appropriate promotional strategies that will increase RI presence among SMEs and academic segments, as well as enable the growth of research and development activities of these facilities. The overall idea is to design policies that place more emphasis on the user dimension.

A one-size fits all approach to RI funding, however, fails to adequately recognise the needs and priorities of state-of-the-art facilities. A favourable regulatory environment for structural funds that takes into consideration the distinctive needs of different RIs is important for the investment and operation of facilities (e.g. hiring of specialised personnel, operational costs, equipment components, grid technology, computing resources, etc.). For instance, the eligibility conditions involved in the use of structural funds have major implications for the operability of research facilities. Given that the usual norm



is that European capital cities are ineligible beneficiaries of ESIF¹, attracting users and qualified personnel to RIs located in regions with limited transport links and school services can become a daunting challenge. These factors should therefore be taken into account when proposing/choosing the location for a new facility.

Also related to structural funds is the perception that socio-economic impact (SEI) in some scientific areas is often only measurable after several years. In consequence, demonstrating the value of the initial investment to policy makers can be a difficult task for RI Operators. This applies in particular to RIs using ESIF. For this reason, workshop participants agreed that exploring the modification of some ESIF rules to suit RI purposes is an area worth further exploring. Moreover, supporting the development of a business plan for the short/mid-term planning and operation of RIs, strikes as a recommendable practice, among workshop participants.

3. PLENARY SESSION - DAY 2

3.1 Block One

3.1.1 Panel: R&I policy mechanisms supporting RIs services

3.1.2 Moderator

- Roberto Senesi - University of Rome 'Tor Vergata'

3.1.3 Participants

- Alberto Morgante - National Research Council of Italy
- Jacqueline Allan - Joint Institute for Innovation Policy
- Roberta Fantoni - Italian National Agency for New Technologies, Energy & Sustainable Economic Development (ENEA)
- Prof. Maria Sabrina Sarto - University of Rome 'La Sapienza'
- Attila Havas - Hungarian Academy of Sciences
- Gian Mattero Fornaro - Agency for the Promotion of European Research (APRE)
- Olga Skalska - Funding Box

3.2 Block Two

3.2.1 Panel: Dialogue with Individual RIs Monitoring and Life-cycle development

3.2.2 Moderator

- Augusta Maria Paci - National Research Council of Italy

3.2.3 Participants

- Antje Keppler - IPS EuroBioimaging ²

¹ European Structural and Investment Funds
(http://ec.europa.eu/regional_policy/sources/docgener/guides/blue_book/blueguide_en.pdf)

² European Research Infrastructure for Imaging Technologies in Biological and Biomedical Sciences
(<http://www.eurobioimaging.eu>)



- Alberto Luini - National Research Council of Italy (EuroBioimaging)
- Carmela Cornacchia - National Research Council of Italy (ACTRIS³)
- Ornella De Giacomo - Central European Research Infrastructure Consortium (CERIC-ERIC)
- Luca Pezzati - National Research Council of Italy (ERIHS)
- Carmela Freda - National Institute of Geophysics and Volcanology (EPOS⁴)
- Corrado Spinella - National Research Council of Italy

3.2.4 Conclusions and Recommendations

There is a recognised need for targeted interventions aimed at fostering synergies between different regional, national and European funding instruments. The coordination of these different levels is important for the sustainability and operability of RIs. Multi-level governance, therefore, should acknowledge the strategic relevance of RIs when designing future scientific policies or deciding R&D funding investments.

The RI landscape in Europe is a diverse one. R&D partnerships between industry and RIs should be promoted, while at the same time the main purpose of many RI, as e.g. Synchrotron facilities should be to provide free access to the research community to enable excellent science. According to a number of participants, financial sustainability is important and should also contemplate supporting a part of the user community through the provision of research vouchers schemes, for example. It is unclear at this point what sort of voucher system could be put in place but this idea is certainly an element for further exploration in upcoming workshops.

Furthermore, availability of information on tools and processes was identified by workshop participants a barrier for the development of collaborations between RIs and the private sector. A stronger focus on raising awareness of regional SMEs, as well as on equipping these with competencies on how to apply, use and understand these state-of-the-art research facilities, is considered to be vital to forge R&D partnerships.

On a more strategic level, participants commented that the link between national science strategy and foresight in some countries is feeble. Connecting the current science strategy of a country to more coordinated future innovation systems requires continuous scanning and monitoring of trends. This analysis is fundamental to evolve quickly and remain competitive globally.

Establishing effective transparent policies that ensure high performance and competition through the principles of non-discrimination, information, accountability and competition are fundamental to sustain scientific excellence in the European Research Area. Connected with the previous point on

³ European Research Infrastructure for the observation of Aerosol, Clouds, and Trace gases (<http://actris2.nilu.no>)

⁴ The European Plate Observing System (<https://www.epos-ip.org>)



availability of information is the idea that feedback from users should be considered to demonstrate the fitness for use of RIs and the fitness for purpose, which is linked to the RIs mission.

Some last suggestions put forward include target actions aimed at raising awareness of young post docs and principal investigators on the products and services offered by RIs. Actions aimed at drawing attention to these segments could help stimulate highly collaborative and interdisciplinary projects among different groups and produce a longstanding (SEI) impact in various fields. Besides this recommendation, the inclusion of an Industry Board in some RIs can be useful to voice their interests, build networks for collaboration and even make small-scale investments in RIs.



4. ANNEX

4.1 Agenda



Agenda	
2nd InRoad Regional Technical Workshop	
National Funding: build awareness on policy perspectives	
27th November Afternoon (14.00-18.00)	
First Session 14.00-15.00	Welcome and Introduction Corrado Spinella (CNR-DSFTM) Isabel Bolliger (UNIL) <i>Key results from InRoad Survey on National Roadmapping</i> Teresa Jorge (CCDR) <i>Funding within life-cycle orientation of RIs of Pan-European relevance</i>
15.00 -15.30 Coffee break	
1st PANEL 15.30-17.00	Perspectives on National funding and RI roadmaps for Pan-European RIs including Macro regional considerations Aim: to discuss major elements and issues for high-level research for breakthrough innovation and long-term sustainability. Moderator: Sauro Longhi (GARR) Speakers: Ornella De Giacomo (CERIC-ERIC), Maurizio Peruzzini (CNR-DSCTM), Carlo Mariani (Univ. La Sapienza), Lorenzo Avaldi (CNR-ISM), Floriana La Marca (EIT-RM), Virginia Coda Nunziante (CNR-RELINT)
17.00-18.00 Discussion	
18.00 Closing of the first day	
20.00 Social Dinner	
28th November Morning (9.30 - 13.30)	
2nd PANEL 9.30-10.30	R&I policy mechanisms supporting RIs services Aim: to discuss the need of flexible and targeted mechanisms to facilitate access to RIs to users and support RIs of Pan European interest. Policy incentives for R&I and cross-country interactions requires EU harmonization. Moderator: Roberto Senesi (Univ. Tor Vergata) Speakers: Alberto Morgante (CNR-IOM), Jacqueline Allan (JIIIP), Roberta Fantoni (ENEA), Maria Sabrina Sarto (Univ. La Sapienza), Attila Havas (HAS), Gian Matteo Fornaro (APRE), Olga Skalska (Funding Box)
10.30-11.00 Discussion	
11.00 -11.30 Coffee break	
3rd PANEL 11.30-12.30	Dialogue with Individual RIs Monitoring and Life-cycle development Aim: to contribute to share experiences, practices and local initiatives fostering an ecosystem of pan European RIs open to research, industry users and policy makers. This to accelerate high-level research and scientific discovery to meet breakthrough innovation. Moderator: Augusta Maria Paci (CNR-DSCTM) Speakers: Antje Keppler (IPS, Euro-BioImaging), Alberto Luini (CNR, Euro-BioImaging), Carmela Cornacchia (CNR, ACTRIS), Ornella De Giacomo (CERIC-ERIC), Luca Pezzati (CNR, E-RHS), Lilli Freda (INGV, EPOS), Corrado Spinella (CNR, Beyond Nano Initiative)
12.30-13.30 Discussion for Key Messages	
Closing, Light Lunch and Departures	



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4.2 Presentations

4.3 Welcome – Dr. Corrado Spinella (CNR)



InRoad has been funded by the European Union's Horizon 2020 Research and Innovation programme under grant agreement No 730928.

Dr. Spinella, Director of Department of Physical Sciences and Technologies of Matter of the National Research Council of Italy, welcomed the audience and presented CNR as the largest nation-wide research institution performing and promoting multidisciplinary research activities through its seven thematic departments. He presented also the CNR engagement in international RIs and facilities supported by an active S&T users' community.

4.4 Key Results from the InRoad Survey on National Roadmapping - Ms. Isabel Bolliger (UNIL)

This presentation provided an overview of the survey results on national roadmapping processes and advanced some preliminary insights summarised below:

- Out of 46 MS and Associate Countries 27 completed the consultation.
- The survey included questions on policies, decision-making, funding of RI and business plans.
- Joint discussions among researchers, potential users and policy makers are important when planning national RI roadmap processes.
- The purpose and process of national RI roadmaps needs to be clearly defined and communicated. A publicly accessible guide providing criteria, processes and timelines is essential.
- Identifying 'good practices' on methodologies for RI selection could be helpful to improve the process and coordination between different European countries.
- ESIF are a relevant source of funding for RI in some countries.
- The coordination of RI funding instruments requires further improvement. A better understanding of the rules of existing funding instruments would enable the coverage of the whole lifecycle of a RI.
- Member States and Associated Countries are encouraged to make business plan assessment part of their strategic consideration. Sound financial planning is crucial for the long-term sustainability of RIs.
- To guarantee coherence in the European RI landscape the understanding and application of the European Charter for Access to RIs is crucial.

4.5 Funding within Lifecycle orientation of RIs of Pan-European relevance - Ms. Teresa Jorge (CCDR)

Jorge's presentation provided an overview of the objectives set in Work Package 4 related to synchronisation and interoperability of regional, national and European RI funding instruments. Jorge's presentation touched upon the following points:

- Presentation of InRoad specific objectives on the funding of RI, namely (i) assessing how the NRIRMP are interlinked with different mechanisms for funding RI and the importance of funding schemes regarding the different life cycle stages of RI; (ii) assessing difficulties RI encounter concerning the short, medium and long term funding, including identifying successful mechanisms for commercial / industrial aspects of RI funding; (iii) identifying good practices of RI that succeeded in combining different funding schemes from EU Member States and/or



with European instruments; and (iv) developing recommendations for effective and sustainable funding of RI

- Presentation of the general approach pursued (and some first findings): desk review and consultation (section on funding in the InRoad Consultation).
- Organisation of regional workshops with relevant stakeholders on the above mentioned issues through reflection groups (undergoing).
- The completion of in-depth case studies with selected RI in order to examine the usage of different funding instruments at regional, national and European levels (foreseen for next year).
- Proposal of issues to be addressed in the workshop, on the role of national and institutional funding of RI, the role of European funding, and the role of ESIF to the funding of RI.
- Food for thought for the workshop debate in the form of questions that already build on the discussions had in the previous regional workshop (Prague, 7-8 November).

4.6 Dissemination

Two news items published on the National Research Council website:

1. '2nd InRoad Regional Technical Workshop'
(<https://www.cnr.it/it/news/7788/2nd-inroad-regional-technical-workshop>)
2. InRoad: i risultati del Regional Technical Workshop
(<https://www.cnr.it/it/news/7822/inroad-i-risultati-del-regional-technical-workshop>)

One press release published on the InRoad Project website:

- Press Release: 2nd Regional Technical Workshop in Rome on National Funding: build awareness on policy perspectives
(<http://inroad.eu/press-room/>)

4.7 Workshop Organization

Organization of the CNR Working Group: Augusta Maria Paci (DSCTM), Anna Rita Appetito (UREI), Mario Figuretti (DSCTM), Cecilia Lalle (RELINT), Nicoletta Palazzo (UREI) and Gelsomina Pappalardo (IMAA)

CNR Contacts: Augusta Maria Paci (augustamaria.paci@cnr.it), Cecilia Lalle (cecilia.lalle@cnr.it)

4.8 Follow-on Activities

Fostering Macro-Regional Collaboration: presented to the Steering Board in December 2017

