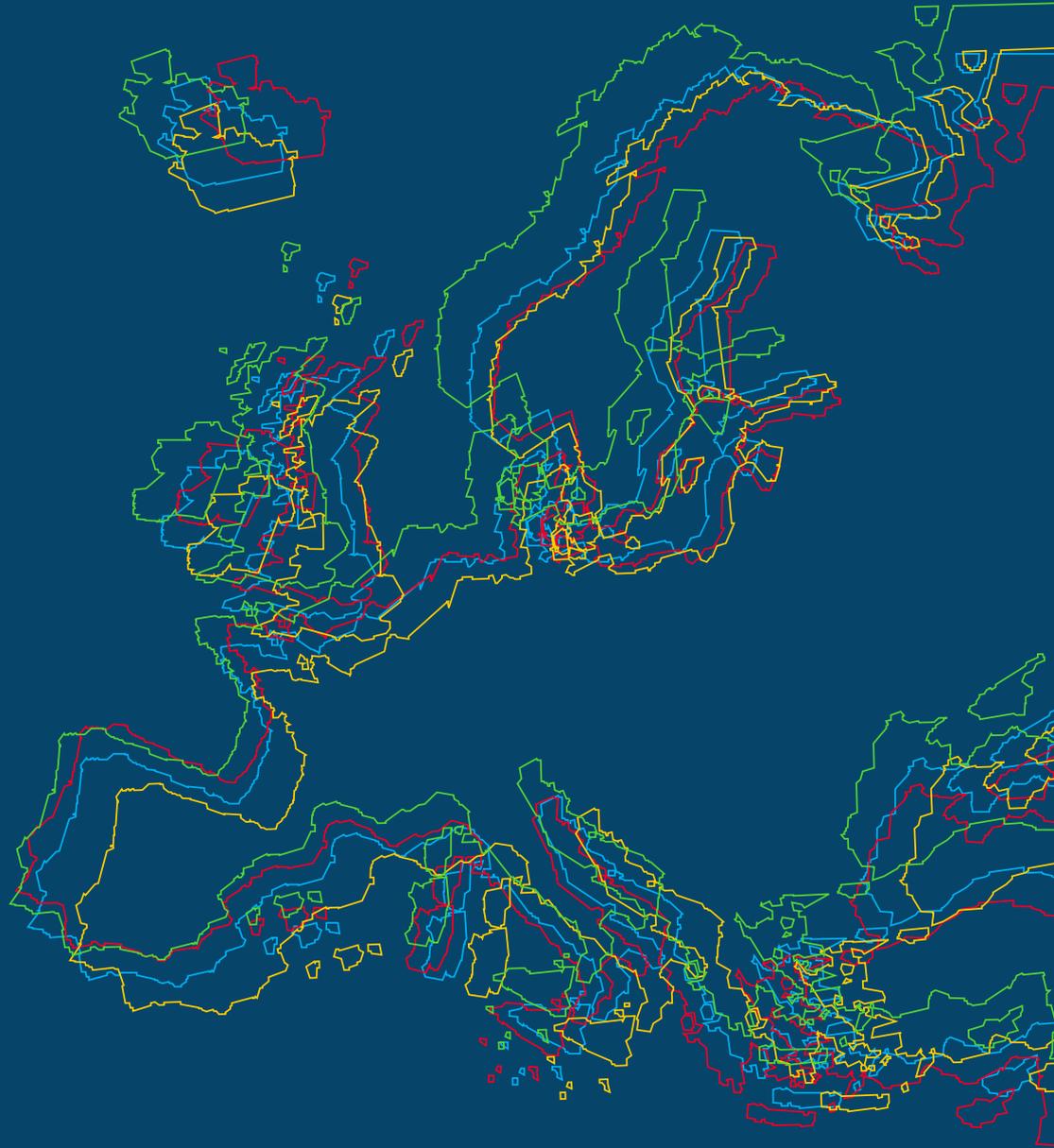




InRoad synchronising research infrastructure
roadmapping in Europe



5th Regional Workshop on Interoperability of funding instruments and governance of Research Infrastructures

Report from an InRoad regional workshop

Wroclaw, 24-25 May 2018



InRoad has been funded by the
European Union's Horizon 2020
Research and Innovation programme
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InRoad Regional Workshop

5th Regional Workshop on
Interoperability of funding
instruments and governance of
Research Infrastructures (RI).

Wroclaw, 24-25 May 2018

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1. Executive Summary

From 24 to 25 May 2018 the Wrocław Research Centre EIT+ held the 5th Regional Workshop on Interoperability of Funding Instruments and Governance of Research Infrastructures (RI). The aim of the workshop was to further explore the different approaches taken by three RI to combine and manage the different funding streams and available resources. The workshop gathered 36 participants including managers, professors and administrative directors of RI. Moreover, the representatives of the Ministry of Science and High Education, responsible for the upgrading of the Polish National Roadmap of Research Infrastructure, and the representative of the National Contact Point (KPK) joined the fruitful discussions. Finally, different InRoad consortium members came to support the development of common recommendations for the European RI ecosystem in order to scheme the funding, along the whole life cycle of the RI.

2. Workshop programme

With the objective to lead the discussion and drive to conclusions, the methodology of the workshop was based on the three case studies presented by Ms. Ute Gunsenheimer, Head of External Relations & European Union Projects at the European Spallation Source, Dr. Ellenor Devine, Project Coordinator at the National Genomics Infrastructure and Dr. Michał Młynarczyk, Deputy Director for Administration and Finance at SOLARIS. After each presentation, the participants were given the opportunity to engage with speakers through a Q&A session, followed by debates in six roundtables. The case studies were chosen in order to illustrate three different issues:

- I. The ERIC status and combinations of funds including structural funds and issues on in-kind contributions from extensive consortium partners - European Spallation Source (ESS);
- II. National financing as the main source of funding and the inclusion of commercial services —The National Genomics Infrastructure (NGI);
- III. The RI that became a national prerogative in facilitating the construction phase after its application to the European Strategic Forum for Research Infrastructures (ESFRI) – Polish Synchrotron Light Source SOLARIS.

Workshop participants commented on the case studies and shared their own experiences, encouraged by InRoad project moderators, to reflect further on the problems and find common solutions to the identified bottlenecks. The challenge for the workshop was to develop solutions within the given set of European Union (EU) rules in view of difficulties to secure finances

according to RI needs, and give concrete inputs to improve the interpretation of the regulations and the formulation of recommendations on funding mechanisms.

Overall, the discussions within the groups tackled the following points:

- I. The need for a better alignment of policies and investments for RI on a national and European level and their influence in the long-term sustainability (LTS) of RI, through:
 - a) the standardization of methodologies for National RI Roadmap preparation and planning, as well as by providing guidance to „new“ Member States (MS) on RI development policy;
 - b) the simplification of the structural fund's application and implementation process, which involves lengthy multi-stakeholder negotiations and coordination among ministries, the European Commission (EC) and funding agencies;
 - c) the alignment of national strategies with smart specialization and the European Research Area (ERA);
 - d) the clarification of state aid regulations and exemptions for RI in order to facilitate their potential and optimize costs; and
 - e) the gradual harmonization of accounting standards to achieve a common and transparent framework that can be used throughout all stages of the life cycle, and that helps to improve the understanding of financial practices in European RI by all parties involved, i.e. funding agencies, delegates, ministries, and Managers.
- II. The importance of timing and coordination in the implementation of structural cohesion funds for regional development, in EU funds for efficiency purposes and assurance of the sustainability in future lifecycle stages. Specifically, flexible frameworks that enable the planning and linking of two financial periods of structural funds, for instance, by prolonging the budget to the next financial period, thereby facilitating a smooth transition from one phase to the other.
- III. The use of business plans (BP) as managerial tools and different approaches to customers, which in the case of RI are the funding agencies, society and the direct users (including industrialists). In regard to BP, three aspects were highlighted:
 - a) the importance of connecting the mission to the RI activities to create social impact;
 - b) their role as a management tool to improve performance and achieve better outputs, outcomes and impacts and economic sustainability;
 - c) the difficulties in estimating the direct impact of research projects (i.e. predictability) through the use of key performance indicators (KPIs) in some scientific disciplines, and the value of employing a different set of KPIs depending on the RI typology (hardware and knowledge driven).
 - d) the possibility of adopting a 'result based management' tool, like the one used by the United Nations, appropriate for fields where it is difficult to monetize the effects.

- IV. Considering that updates in rules are as important as investments in infrastructures: The standardization of purchasing processes for RI in all countries (through big contracts, for example) and the clarification of state aid regulations are issues that continue to elicit debate, particularly the diversity of legal frameworks across Member States (MS) and Associated Countries (AC) when it comes to public procurements, taxing, VAT from in-kind contribution, etc.
- V. Clearer information on Intellectual Property (IP) ownership rules and on funding schemes and processes (which are different from country to country) are needed, particularly from the beginning, when scientific communities across MS and AC are trying to coordinate efforts.
- VI. Audit processes are not without challenges, as different rules apply to different countries, and concepts inherent to the ERIC legal framework, such as taxing and VAT, in-kind contributions and pension schemes, can be difficult to understand for all parties involved, especially for auditors who are unfamiliar with the ERIC legal architecture.
- VII. Among the challenging issues related to LTS: The importance of considering and calculating all costs, including those associated to dismantling the RI from an early stage of the RI development (if relevant); and the idea that decommissioning not just depends on the type of activity but also on the general perception of the full life cycle.
- VIII. The involvement of users from early conceptual stages, who create the intellectual environment and pressure for new services, upgrades and the modernization of instrumentation of RI.
- IX. Different types of research infrastructures should not be financed through one call, or with a single set of evaluation criteria, as there are intrinsic differences to consider in terms of capital and operational costs.

3. Next steps

With the round of the project's regional workshops concluded, InRoad will now compile the main bottlenecks and recommendations put forward by workshop participants into one technical report (D4.4) to be submitted in month 19 to the European Commission. The final conclusions and policy recommendations, on the other hand, will depend on the discussions and agreements reached after the validation workshop in Brussels in October 2018, where a broad number of stakeholders from different sectors and fields are expected.

4. Participants list

Name	Institution
Artur Bednarkiewicz	Wroclaw Research Centre EIT+
Albert Bogdanowicz	The Institute of Biochemistry and Biophysics of the Polish Academy of Sciences
Isabel Bolliger	University of Lausanne
Jolanta Czajkowska-Patyna	Wroclaw Research Centre EIT+
Carme de Andres-Sanchis	Helmholtz Association
Ellenor Devine	SNP&SEQ Technology Platform National Genomics Infrastructure (NGI)
Dariusz Drewniak	Ministry of Science and High Education
Rafał Duczmal	Infrastructures NCP Poland, IPPT PAN
Alexandra Griffiths	Swiss National Science Foundation
Ute Gunsenheimer	European Spallation Source ERIC
Jan Hrušák	Academy of Sciences Czech Republic, ESFRI Vice-Chair
Teresa Pratas Jorge	Comissão de Coordenação e Desenvolvimento Regional do Centro
Agnieszka Korzeniowska-Kowal	Institute of Immunology and Experimental Therapy PAS
Łukasz Kozera	BBMRI -PL Wroclaw Research Centre EIT+
Beata Lubicka	Wroclaw Research Centre EIT+
Petr Lukáš	European Spallation Source Scandinavia-CZ Nuclear Physics Institute
Anna Misiewicz	Institute of Agricultural and Food Biotechnology
Michał Młynarczyk	SOLARIS-PL National Synchrotron Radiation Centre
Janusz Olejnik	Poznań University of Life Sciences
Dorota Olszewska	EPOS-PL Institute of Geophysics, Polish Academy of Sciences
Michał Ostrowski	CTA-PL Astronomical Observatory of the Jagiellonian University

Name	Institution
Ivana Paidarová	J. Heyrovský Institute of Physical Chemistry of the CAS, v. v. i.
Maciej Piasecki	CLARIN-PL Wroclaw University of Science and Technology
Ireneusz Pyka	Central Mining Institute
Ewa Rudnicka	Wroclaw University of Science and Technology
Paweł Siedlecki	The Institute of Biochemistry and Biophysics of the Polish Academy of Sciences
Carlos Silveira	Comissão de Coordenação e Desenvolvimento Regional do Centro
Jakub Socha	University of Warsaw, Biological and Chemical Research Centre
Pavel Straňák	DARIAH/CLARIN Institute of Formal and Applied Linguistics Charles University
Jakub Śliwiński	Wroclaw Research Centre EIT+
Nataliia Voievoda	Institut de Chimie du CNRS
Mariusz Wielec	Centre for Advanced Materials and Technologies Warsaw University of Technology
Naděžda Witzanyová	European Spallation Source Scandinavia-CZ Nuclear Physics Institute
Piotr Zielenkiewicz	The Institute of Biochemistry and Biophysics of the Polish Academy of Sciences
Klaudia Ziemblińska	Poznań University of Life Sciences

5. Workshop agenda



5th InRoad Regional Workshop

Interoperability of funding instruments and governance of Research Infrastructures

** Case studies and recommendations **

Wrocław, 24th -25th May 2018

Venue: Wrocław Research Centre EIT+ (Wrocławskie Centrum Badań EIT+), *Campus "Pracze" street Stablowicka 147, 54-066 Wrocław, tel. to organizer +48502396845*

Thursday, 24th May

12h00-13h00	Registration of Participants and Buffet Lunch
13h00-14h00	OPENING SESSION ○ Welcome ○ Piotr Dytko (President of Wrocław Research Centre EIT+) ○ Drivers and trends in national Research Infrastructures roadmapping ○ Isabel Bolliger (University of Lausanne) ○ The expectations from the InRoad workshop ○ Teresa Jorge (Comissão de Coordenação e Desenvolvimento Regional do Centro)
14h00-14h45	CASE STUDY No 1 ○ ESS European Spallation Source ERIC – How to enhance the synchronization and interoperability of different funding schemes throughout each phase of a Research Infrastructure's life cycle? ○ Ute Gunsenheimer (Head of External Relations & EU Projects), Naděžda Witzanyová , (Head of Unit International Cooperation, Nuclear Physics Institute of The CAS)
14h45-15h15	QUESTIONS TO CASE STUDY No 1 ○ <i>Roundtable discussions, additional questions from the participants and formulation of the recommendations.</i>
15h15-15h45	COFFEE BREAK
15h45-16h30	CASE STUDY No 2 ○ SOLARIS Polish Synchrotron Light Source – Challenges and support to improve business planning on the national level and the links with ESFRI ○ Michał Młynarczyk (Deputy director for administration and finance)

16h30-17h15	QUESTIONS TO CASE STUDY No 2 <ul style="list-style-type: none"> ○ Roundtable discussions, additional questions from the participants and formulation of the recommendations
17h30	Bus Departure to the City Centre
18h45	Sightseeing in Wroclaw starting from Plac Solny
19h30	Social Dinner Restaurant "Jasna" street Pawła Włodkowica 18

Friday, 25th May

8h30	Bus Departure from bus stop Kazimierza Wielkiego (see the map) to WRC EIT+
9h15-10h00	CASE STUDY No 3 ○ NGI The National Genomics Infrastructure <ul style="list-style-type: none"> ○ Ellenor Devine (NGI-facility SNP&SEQ technology platform)
10h00-10h45	QUESTIONS TO CASE STUDY No 3 <ul style="list-style-type: none"> ○ Roundtable discussions, additional questions from the participants and formulation of the recommendations
10h45-11h15	COFFEE BREAK
11h15-12h00	<ul style="list-style-type: none"> ○ The role of public and private funding in designing and operational phase of EPOS-PL (Poland) ○ Dr inż. Dorota Olszewska (Project Manager, Assistant Professor, Institute of Geophysics Polish Academy of Sciences)
12h00-12h45	<ul style="list-style-type: none"> ○ The National Roadmap of Research Infrastructure; the process and the role in the research and innovation ○ Dariusz Drewniak (Counsellor General, Ministry of Science and High Education)
13h00-14h00	Lunch
14h00	Departure