



## Briefing for the panel and audience discussion

InRoad aims to contribute to mutual learning and stronger coordination among policy and decision-makers in Europe regarding different aspects relevant to Research Infrastructure (RI) roadmapping. The goal is to harmonize processes and encourage long-term sustainability of the RI ecosystem in Europe. In order to obtain a comprehensive picture of national RI policies in Europe, InRoad conducted a **broad online-consultation**, which targeted the national organisations in charge of national RI roadmapping, to collect information **about national RI policies**. The consultation concerned decision-making processes, funding and business plans for RI as well as their link to RI roadmapping. The collected information allows comparative analyses of the national practices to identify challenges and best practices. The InRoad consultation report identifies 10 preliminary policy insights that will be discussed during this session of the workshop.

### Session objectives

- Validate and refine the InRoad preliminary policy insights.
- Identify further challenges that were not tackled by the InRoad consultation or where the findings were not complete enough.
- Propose and explore areas of further investigations for the second half of the project.
- The outcome of the session will be summarised in a policy brief released after the workshop.

### Session programme

- The session tackles three aspects covered by InRoad, namely the synchronisation of national RI roadmap processes, the coordination of funding instruments for RI and the link between RI business plans and national RI roadmap processes.
- The session will go over each aspect sequentially, starting with the national roadmap processes. The moderator will ask each panellist to reflect from his own perspective (5') on the insights given below and complement them with additional recommendations, if needed.
- Following the statements from the panellists, the moderator will ask a series of questions (see below) to the panellists, followed by a discussion with the audience.
- The session lasts 2 hours, which gives around 40 minutes per topic.

### Preliminary policy insights

The preliminary policy insights come from the analysis of the InRoad consultation. They are preliminary statements that will be discussed with the audience during the workshop.

#### A. National roadmap processes

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##### **Insight 1: Planning of national RI roadmap processes**

When planning national RI roadmap processes, a clear joint discussion among researchers, potential future users and policy makers on the RI roadmap process, is essential to foster a common understanding of the definition and understanding of relevance of RI as well as the purpose and process of the national RI roadmapping.

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### **Insight 2: Sustainability of RI Roadmaps**

National RI roadmaps should also include:

- inventory of available RI (using national and international RI data bases) and landscape analysis of the current R&I system to identify strengths and gaps;
- monitoring of the implementation and relevance of new and existing RI;
- mechanisms to guarantee quality of bottom-up inputs, e.g. strategic prioritisation within institutions and scientific fields.

To guarantee the robustness of a national RI roadmap:

- A regular update of the national RI roadmap and the monitoring of its implementation is recommended.

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### **Insight 3: Synchronisation of National RI Roadmap Processes**

In order to enhance the adaptability of national RI roadmaps to supranational RI roadmaps, the following points are recommended to be taken into account:

- The purpose and process of the national RI roadmap needs to be defined and clearly communicated. In this view, a publicly accessible guide providing criteria, processes and timelines is essential.
- A common RI classification would contribute to a better synchronisation of the RI roadmap process, for example, by developing of a common framework.
- An alignment of timelines of the national RI roadmap processes with regards to international RI roadmap processes, e.g. ESFRI, GSO, OECD.

At the same time, aspirations to enhance the adaptability of national RI roadmaps to supranational roadmaps need to acknowledge and respect the sovereignty of each country in setting their specific priorities for their national research policy.

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### **Insight 4: Selection of RI for the Inclusion/Update in National RI Roadmaps**

Identifying “good practices” on methodologies for RI selection, taking into account differences related to the scientific area, level of investment, etc., could be of potential value, to improve the process and the coordination between European countries at this level.

Questions to panellists on national roadmap processes:

- a. What mechanisms are needed for a better synchronisation of RI decision-making processes? What bottlenecks can you identify?
- b. How can national RI roadmaps be made more ‘robust’? Are regular analyses of national (and regional) RI landscapes needed?
- c. Under which framework the synchronisation of national RI roadmap processes must be discussed?
- d. What is the added-value of having synchronised RI roadmap methodologies in Europe?

## **B. Funding for RI**

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### **Insight 5: Sources for Public Funding of RI**

European Structural and Investment Funds (ESIF) are a relevant source of funding investment for RI in some countries. Therefore; it is important that their rules are suited for this purpose and also well understood by the relevant stakeholders. In this context, there is need for targeted interventions aimed at encouraging the use of these instruments by:

- analysing the limits and restrictions of the individual funding instruments, especially their coherence with European and national processes;
- ensuring better alignments of the implementation rules between ESIF and other European sources of RI funding;
- improving the availability of information;

- fostering mutual learning through the organization of trainings for stakeholders willing to familiarize themselves with the funding sources available, e.g. RI managers/operators.

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#### **Insight 6: Link between Strategic Priorities and Funding Decisions on RI**

Linking funding decisions on RI with strategic priorities is not only perceived as important by the majority of the consulted countries but can also be regarded as a major achievement of the national R&D policies. On the one hand, aligning the investment with the previously established strategic priorities would contribute to the effectiveness and the socio-economic impact of the investments made. On the other hand, the inclusion of such approach in the decision-making process provides a predictable environment for future R&D investments. Furthermore, taking into account the strategic priorities of neighbouring countries may also be useful to work towards stronger macro-regional networks of RI.

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#### **Insight 7: Consideration of Coordination Potential of Funding Instruments**

The coordination of RI funding instruments is an area that requires further improvement. Better understanding the rules of existing RI funding instruments enables better coordination to cover the whole life-cycle stages of RI. Furthermore, better understanding and coordination contributes to more effective use of available funding in helping to design new instruments to fill gaps in the existing RI funding scheme. In this context, benchmarking would help to improve the coordination of RI funding instruments among countries, thereby providing valuable information on good practices in terms of what works and what does not when combining different funding instruments.

Questions to panellists on funding for RI:

- a. What are the bottlenecks in a better coordination of regional, national and Europe funding streams for RI?
- b. What can be done to facilitate this coordination and what added-value would that bring?
- c. How can national funding, EU funding and European Structural and Investment Funds (ESIF) be better used for large RI?

### **C. RI Business plans in the context of national RI roadmap processes**

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#### **Insight 8: Business Plan as an Eligibility Criterion**

Member States and Associated Countries are encouraged to make business plan assessment part of their strategic consideration, as sound financial planning is crucial for the long-term sustainability of RI. An approach could be sought in which:

- a description of the main RI business plan components is made available to the scientific community, that takes into account the varied needs of different types of RI (e.g. excellence-driven access facilities vs market-driven access facilities);
- a standard baseline (a set of common indicators) is developed among countries to facilitate the initial evaluation, monitoring and follow-up of RI.

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#### **Insight 9: Business Plan Criteria**

Considering the importance of financial planning for the operational sustainability of RI, it is relevant that the stakeholders have a better understanding of the parameters involved in a sound financial and operational planning. Support measures alongside clear guidelines (in terms of scoring and criteria) in form of a collection of the experiences with existing support measures and their uptake by the scientific community could be a beneficial input.

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#### **Insight 10: Access Policy**

To guarantee coherence in the European RI landscape it is crucial to boost the understanding and application of the European Charter for Access to RI and to better link access policies to user strategies and funding models. Access policy is an important part of a RI business plan. This is why better understanding is needed in terms of the different parameters that constitute access policies, as well as their implications for funding of RI. RI access policies are relevant to grasp

some of the issues surrounding the financial and operational sustainability of RI in member states and associated countries. Therefore, the link to the access policies, user strategies and funding models could be properly addressed in the in RI as well as in the evaluation process.

Questions to panellists on business plans:

- a. Are business plans actually important for RI roadmap processes? At what stage should they be assessed when drafting a national RI roadmap?
- b. How can we get to a common understanding of which elements should be part of a business plan?
- c. Which challenges exist in drafting and evaluating RI business plans?

## Programme

### Monday 15 January 2018

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12:00 – 13:00	<b>Registration and light lunch</b>
13:00 – 13:10	<b>Welcome and presentation of InRoad: objectives and activities</b> Martin <b>Müller</b> , InRoad coordinator
13:10 – 13:30	<b>Opening keynote: challenges and gaps for a more effective coordination of national RI policies</b> John <b>Womersley</b> , Director-General European Spallation Source
13:30 – 14:00	<b>Presentation of InRoad first findings</b> - Main findings from the InRoad consultation report and the regional workshops as well a preliminary policy insights Isabel <b>Bolliger</b> , University of Lausanne
14:00 – 14:15	<b>Coffee break</b>
14:15 – 16:00	<b>Panel and Audience Discussion on InRoad preliminary policy insights</b> <b>Panel Members:</b> Riitta <b>Maijala</b> , Vice President for Research at the Academy of Finland Christian <b>Chardonnet</b> , Head of Department Large Research Infrastructures at French Ministry of Higher Education and Science David <b>Bohmert</b> , ESFRI Executive Board Member
16:00 – 16:30	<b>Coffee break</b>
16:30 – 18:00	<b>InRoad second data collection round: case studies and interviews</b> Stéphanie <b>Lecocq</b> , CNRS Presentation and audience discussion on InRoad second data collection round <ul style="list-style-type: none"><li>- Identification of areas of further investigation;</li><li>- Main challenges and bottlenecks ahead;</li><li>- Linking InRoad's outputs to the interests of participants.</li></ul>
18:00 – ...	<b>Networking reception</b>

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### Tuesday 16 January 2018

9:00 – 9:15	<b>Opening words: wrap up of day 1 and introduction to day 2</b> Martin <b>Müller</b> , InRoad coordinator
9:15 – 9:45	<b>The European Commission perspective on Long-term Sustainability of RI</b> Philippe <b>Froissard</b> , Deputy-Head of Unit Research Infrastructures, Directorate-General for Research and Innovation
9:45 – 10:00	<b>InRoad's response to the European Commission Longterm Sustainability report</b> InRoad Advisory Board
10:15 – 10:45	<b>Coffee break</b>
10:45 – 11:30	<b>Sustainable funding for research infrastructures: findings from the regional workshops in Prague and Rome and outlook for Hamburg</b> Carme <b>De Andres Sanchis</b> , Helmholtz Association
11:30 – 12:00	<b>Closing keynote: filling the gaps and challenges with InRoad</b> Barbara <b>Haering</b> , Board member of ETH Board
12:00-...	<b>End of workshop and light lunch</b>