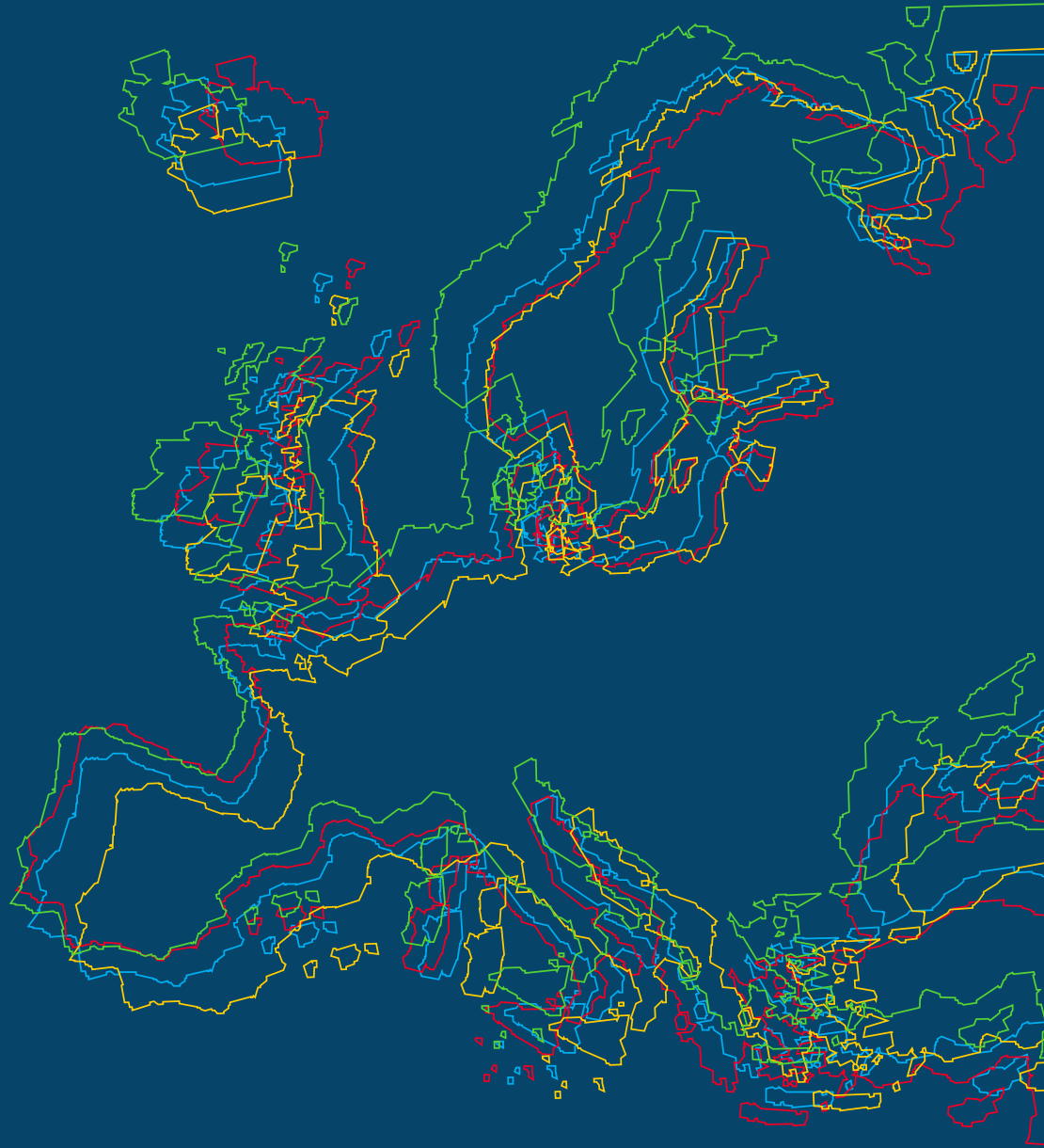




InRoad synchronising research infrastructure
roadmapping in Europe



The Role of Regional, National, Institutional & EU Frameworks in the Long-term Funding of Research Infrastructures

Report from an InRoad regional workshop

Hamburg, 1-2 March 2018



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1. Executive summary

This report provides information on the content and format of the third InRoad Regional Workshop, co-organised by the German Electron Synchrotron (DESY) and the Helmholtz Association in Hamburg on 1-2 March 2018. The two-day event gathered a total of 39 participants from research infrastructures (RI), national and European funding organisations and from the European Commission Directorate-General for Research and Innovation (DG RTD). The workshop aimed at sharing experiences among the different stakeholders to develop a set of recommendations that can help better align scientific policies and funding regulatory frameworks at an institutional, regional, national and European level and support the robust development of RIs.

2. Workshop programme

The workshop programme built upon information gathered in previous InRoad workshops (Prague and Rome in 2017). Specifically, the following points were addressed during the different sessions:

- The main bottlenecks encountered during the different RI phases
- The importance of the national roadmap process, timing and funding
- Experiences with regard to the long-term funding of RIs
- Recommendations for a better coordination of the different levels of RI funding

Six representatives from research infrastructures from different scientific domains and typologies presented their case with respect to the points stated in the paragraph above. In addition to these speakers, the programme also included representatives from the Helmholtz Association, the Federal Ministry of Education and Research of Germany, the European Commission and the Centro Regional Coordination and Development Commission of Portugal. These parties contributed to the content of the programme by bringing the policy perspective to the workshop.

The workshop was structured into three blocks:

- The first block, moderated by Dr. Martin Müller of the Swiss National Science Foundation focused on the coordination of institutional, national and European regulatory frameworks for RI long-term funding.
- The second block, moderated by Dr. Jan Hrušák, Advisor to the Academy of Sciences of the Czech Republic, dealt with the experiences of RI Operators when combining regional, national, institutional and European Union level programmes for the long-term funding of RI, including the bottlenecks identified during the different phases.
- Initially a third block with 2 parallel sessions had been planned to discuss in groups the above topics in more detail. However, it was replaced with a plenary session including all participants due to time constraints.

The full agenda can be found in Annex I, p. 10.

3. Workshop findings

The conclusions under the relevant workshop themes were summarised by two rapporteurs: Dr. Michael Räß, Head of General Management of Infrafrontier GmbH and Professor Dr. Ulrich Schurr, Coordinator of EMPHASIS and Head of Plant Sciences at the Institute of Bio-and Geosciences at Jülich Research Centre GmbH. The following paragraphs include key points

identified during the workshop's discussion, as well as the observations and recommendations covered in the rapporteur's outcome statement.

3.1 General observations & recommendations

- Despite efforts to align terminology and definitions, after all these years, further action is still needed to improve and facilitate a shared understanding of the RI domain among different European scientific communities and government institutions. Notably the concept of "RI Roadmap" varies significantly between different European countries.
- Diversity can be seen as both a challenge and an opportunity. More qualified experts able to navigate the complex financial and regulatory contexts are needed to develop and maintain the efficiency of RIs.

Recommendations

- *If anything, an alignment of the definitions and terms would be useful to help with the classification of facilities and the application of specific terms. A few examples include:*
 - *What is a research infrastructure?*
 - *What is a national RI roadmap?*
 - *What is a single-sited research infrastructure?*
 - *What is a distributed research infrastructure?*
 - *What is an international research infrastructure?*
 - *What is a national research infrastructure?*
- *Human Resources are necessary to successfully manage the different available funding schemes to support the development and operation of RIs.*

3.2 Regional cohesion policy structural funds

- Aligning a pan-European mission with regional policy can be challenging. While the former looks at Europe as an assembly of Member States, the latter looks at Europe as a separated group of regions, leading to considerable consequences, e.g. divergent and misaligned objectives in the use of structural funds and RTD Framework Programmes.
- The use and implementation of European Structural & Investment Funds across regions is diverse. The application process, the setting of objectives and their practical implementation represent some of the difficulties involved in the application of this instrument in distributed infrastructures.

Recommendations

- *Consideration should be given to detecting and acknowledging both differences and connecting points between the structural funds and EU Research Framework Programmes, where new measures are proposed.*
- *Either the simplification of regulations in the current funding mechanisms or the provision of centralized expertise for RI Operators could help navigate this complex regulatory environment.*
- *Assessing the suitability and the potential of the Interreg scheme as a model for funding of cross-border activities in connection to RIs could be of use.*

3.3 Operational phase funding

- The diversity of available funding instruments for earlier phases, e.g. planning, construction, and implementation stages of an RI stands in contrast to the scarcity of funding instruments and the financial challenges experienced by RI Operators during the operational phase.
- In recent years, operational phase funding has acquired even more importance due to two factors: the increasing number of RIs entering the operational phase and the new breed of RIs whose operational costs are relatively higher than those of its construction phase.
- Concerning European-level policy making for the operational phase: if the operational budget in the end quite often is to be covered by the organisations operating the facilities, are they also responsible for the overall pan-European vision and strategy?

Recommendations

- *Create a new platform or empower an existing one for systemic analysis of required strategies, policies and instruments in all stages of an RI's life cycle, notably the operational phase – for this, RI involvement is vital.*
- *A systematic review of the transnational access instrument could help determine for which RIs it is suitable and which ones have experienced problems with it.*
- *National governments should consider providing dedicated (national, not institutional) funding lines to cover operational costs of their RIs. In this context, the European Commission should look into its role as facilitator of this process.*

3.4 Further key points identified during the workshop's discussion

3.5 Alignment of instruments

Building on existing competences is important. National calls for proposals, European Research Area Networks (currently ERA-Nets in H2020), European Joint Programmes (EJPs) and Joint Programming Initiatives (JPIs) offer a good model to maximize synergies by bringing future scientific communities and users closer to research infrastructures.

Recommendation

- *Synergies between national calls for proposals, ERA-Nets, EJPs and JPIs with RIs could be fostered to cultivate coordinated joint activities in areas of significant strategic value and relevance to the European Research Area.*

3.6 In-kind contributions

In-kind contributions can generate value in the development and operation of an RI. Nevertheless, aspects such as ownership transfer, tax and legal matters, and determining the value of certain goods and services can sometimes involve challenging, lengthy processes for the stakeholders involved. A lack of understanding of the specific know-how of a partner can thus have an impact on the provision of suitable resources to an RI.

Recommendations

- *Understanding the capabilities and know-how of the different contributing partners to a research infrastructure can help to effectively manage and allocate in-kind contributions in international large-scale facilities.*
- *Agreeing on a standard cost equivalent for a good or service provided by a contributor to a RI (irrespective of the real cost of origin or of execution) not only offers a solution to arduous negotiations/calculations on in-kind contributions among international partners, but also helps achieve further convergence among countries.*

3.7 National roadmaps

Updated lists, maps or documents of already existing research infrastructures in Member States and Associated Countries are not always available for consultation.

Recommendation

- *To the extent possible, the development and periodical update of a list/database of already existing national facilities, including those involved in ESFRI projects or preparatory phases could facilitate a comprehensive overview of the RI landscape in each country for consultation purposes.*

4. Next steps

Bringing together representatives from different regional scientific communities and national funding organisations in the last three regional workshops has evolved into a useful format for progress reporting and knowledge sharing. The observations and recommendations made will be included in the final reports D4.4 and D4.5, due in months 19 and 24 respectively. In the meantime, the progress reporting shall be continued in further regional workshops:

- Aveiro, Portugal (12-13 April 2018)
- Wroclaw, Poland (24-25 May 2018)

These events will serve as a tool to advance into more concrete conclusions and policy recommendations. However, consecutive action items depend on the discussions and agreements reached in the validation workshop that will take place in Brussels on the 1st-2nd of October 2018.

5. Participant list

No.	Name	Institution	Field	Position	Role	Country
1	AXT, Kathrin	SHARE-ERIC	SOCIAL & CULTURAL INNOVATION	Head of Financial Affairs	Participant	DE
2	BAUCK, Sönke	Swiss National Science Foundation	N/A	InRoad Project Coordination	Observer	CH
3	BROTTIER, Franck	Euroopportunities OÜ	PHYSICAL SCIENCES & ENGINEERING + ENVIRONMENT	Responsible of the funding model of DANUBIUS and ELI	Participant	EE
4	CAPRIA, Ennio	ESRF	PHYSICAL SCIENCES & ENGINEERING	Deputy Head of Business Development	Participant	FR
5	DE ANDRES SANCHIS, Carme	HGF	N/A	Project Manager	Observer	DE
6	DE LUCA, William Ernesto	Georg Eckert Institute	E-INFRASTRUCTURES	Head of Digital Information and RI	Participant	DE
7	EITELBERG, Georg	DNW	PHYSICAL SCIENCES & ENGINEERING	Director	Speaker	NL
8	FRANZ, Hermann	PETRA III	PHYSICAL SCIENCES & ENGINEERING	Deputy Director of Photon Science	Speaker	DE
9	GLIKSOHN, Florian	ELI-DC	PHYSICAL SCIENCES & ENGINEERING	Associate Director - Integrated Organisational Development	Participant	CZ
10	GRIFITHS, Alexandra	SwissCore	N/A	Project Manager	Observer	CH
11	HARLE, Isabella	BMBF	R&D POLICY	Policy Officer	Participant	DE
12	HRUŠÁK, Jan	Academy of Sciences of the Czech Republic	R&D POLICY	Advisor to the Council	Participant	CZ

13	ISEMER, Hans Jörg	DANUBIUS	ENVIRONMENT	Head of International Projects	Participant	DE
14	JORGE, Teresa	CCDRC	N/A	Head of Cooperation & Promotion	Observer	PT
15	KRELL, Ute	DESY	N/A	Head of European Projects	Observer	DE
16	LECOQ, Stéphanie	CNRS	N/A	Project Manager	Observer	FR
17	LEHNER, Frank	DESY	PHYSICAL SCIENCES & ENGINEERING	Head of International Cooperation and Strategic Partnerships	Speaker	DE
18	MIGUEIS, Ricardo	CESAER	R&D POLICY	Senior Advisor for Research and Innovation	Participant	BE
19	MÜLLER, Martin	SNSF	N/A	InRoad Coordinator	Observer	CH
20	PACI, Augusta	CNR	N/A	Technology Director	Observer	IT
21	PAHL, Deike	XFEL	PHYSICAL SCIENCES & ENGINEERING	Grant Manager	Participant	DE
22	PASTERK, Markus	BBMRI-ERIC	HEALTH & FOOD	Administrative Director	Participant	AT
23	RÄß, Michael	INFRAFRONTIE R	HEALTH	Head of General Management	Rapporteur	DE
24	RITTER, Claudia	DLR -RI	N/A	Head of Coordination Unit	Observer	DE
25	RÜCKER; Gerd	DLR	N/A	Project Manager	Observer	DE
26	RUZICKA, Vlastimil	Technology Centre ASCR	STRATEGIC STUDIES	Analyst	Participant	CZ
27	SCHUMACHE R, Marcus	ICOS	ENVIRONMENT	Atmosphere Programme	Participant	DE

28	SCHURR, Ulrich	IBG-2 , JÜLICH (EMPHASIS)	HEALTH & FOOD	Coordination, Head of Plant Sciences at the Institute of Bio-and Geosciences	Rapporteur	DE
29	SILVEIRA, Silveira	CCDR	N/A	Project Manager	Observer	PT
30	SOBCZAK, Dominik	European Commission (DG RTD)	Scientific Policy	Executive Secretary ESFRI	Speaker	N/A
31	STAREV, Svet	CERN	PHYSICAL SCIENCES & ENGINEERING	Section Leader - EU Projects Management & Operational Support	Participant	CH
32	THIES, Annika	Helmholtz Association	N/A	Director	Observer/Sp eaker	DE
33	TSCHECHTSCH ER, Thomas	The European XFEL	PHYSICAL SCIENCES & ENGINEERING	Scientific Director/Member of the Management Board	Speaker	DE
34	ULLMANN, Petra	DESY	N/A	Assistant EU Project Office	Observer	DE
35	VOGEL, Patricia	NWO	N/A	Project Manager	Observer	NL
36	VOIEVODA, Natalia	CNRS	N/A	Project Manager	Observer	FR
37	WENZEL- CONSTABEL, Peter	BMBF	Policy	Director of Research Infrastructures	Speaker	DE
38	WIESENFELD T, Sören	Helmholtz Association	Policy	Head of Research	Speaker	DE
39	YENES FERNÁNDEZ, Iñigo	PRACE	E-INFRASTRUCTURES	Financial and Legal Officer	Participant	BE

6. Annex I. Hamburg Regional Workshop Agenda



HELMHOLTZ
RESEARCH FOR GRAND CHALLENGES



Workshop agenda

THE ROLE OF REGIONAL, NATIONAL, INSTITUTIONAL & EU FRAMEWORKS IN THE LONG-TERM FUNDING OF RESEARCH INFRASTRUCTURES Hamburg, 1-2nd March, 2018

Day 1- Thursday, 1st of March 2018

09h00 – 09h30	Registration
10h00 – 11h00	Visit to Petra III facility
12h00 – 12h45	Lunch
12h45 – 13h15	Opening session
12h45 – 13h00	Welcome: Dr. Frank Lehner (Head of International Cooperation and Strategic Partnerships at DESY).
13h00 – 13h15	Aims of the workshop, short overview of the InRoad project: Annika Thies (Director of the Helmholtz Association's Brussels Office (Helmholtz Association)).
13h15 – 14h30	Block 1 Moderator: Dr. Martin Müller (InRoad Coordinator, Swiss National Science Foundation (SNF))
Context	The coordination of regional, national, institutional and EU frameworks for RI long-term funding. How do these four levels interact? Current policies, bottlenecks and differences between scientific communities.
13h15 – 13h45	The role of national funding in RIs: Peter Wenzel-Constabel (Head of the Research Infrastructures Section, Federal Ministry for Education and Research (BMBF)).
13h45 – 14h15	The role of institutional funding in RIs: Dr. Sören Wiesenfeldt (Head of Research, Helmholtz Association).
14h15 – 14h30	Wrap-up with recommendations from speakers.
14h30 – 14h45	Coffee break
14h45 – 18h15	Panel (part 1)

Context	Experiences of RI Operators combining regional/national/institutional/EU-level programmes for the long-term funding of RI. Bottlenecks identified during the different phases and recommendations for the future.
Panel (part 1)	Moderator: Dr. Jan Hrušák (Advisor to the Council at the Academy of Sciences of the Czech Republic, Member of ESFRI Executive Board)
14h45 – 15h15	The German-Dutch Wind Tunnels Foundation (DNW): Prof. Dr. Georg Eitelberg (Director DNW).
15h15 – 15h45	The European XFEL: Dr. Thomas Tschentscher (Scientific Director, Member of the Management Board of the European XFEL and member of EIROforum).
15h45 – 16h15	Infrafrontier: Dr. Michael Räß (Head of General Management, INFRAFRONTIER).
16h15-16h30	Wrap-up with recommendations.
16h30–17h00	Coffee break
Panel (part 2)	Moderator: Dr. Jan Hrušák (Advisor to the Council at the Academy of Sciences of the Czech Republic, Member of ESFRI Executive Board)
17h00 – 17h30	Petra III: Dr. Herman Franz (Deputy Director of Photon Science at DESY)
17h30 – 18h00	EMPHASIS: Prof. Dr. Ulrich Schurr (Coordinator; Head of Plant Sciences, Institute of Bio-and Geosciences at Jülich Research Centre GmbH)
18h00 – 18h15	Wrap-up with recommendations from panelists
19h00–22h00	Dinner at Au Quai, Große Elbstraße 145 b-d, 22767 Hamburg

Day 2 - Friday, 2nd of March 2018

09h00 – 09h30	Coffee
09h30–10h30	Block 1 Moderator: Dr. Martin Müller (InRoad Coordinator, Swiss National Science Foundation (SNF))
09h30 – 10h00	The Role of the European Commission funding RI + status of long-term sustainability action plan: Dominik Sobczak (ESFRI Executive Secretary, Research Infrastructures Unit, DG RTD).
10h00–10h30	InRoad: aims, interim results and next steps: Dr. Teresa Jorge (Head of Cooperation and Promotion at the Centro Regional Coordination and Development Commission).
10h30–10h40	Format and expectations of the parallel sessions: Carme de Andrés Sanchis (Project Manager at the Helmholtz Association).
10h40–12h40	Block 2 (Parallel sessions) Moderators: Ute Krell (Head of the EU Project Office at DESY) and Annika Thies (Helmholtz Association)
10h40–12h40	Recommendations for the future: Funding and the National roadmap process. Group 1 Moderator: Ute Krell ; Group 2 Moderator: Annika Thies .

12h40 –13h30	Lunch
13h30–16h00	Block 3 (Wrap-up, closure and visit to XFEL facility) Moderators: Ute Krell (DESY) and Annika Thies (Helmholtz Association)
13h30–14h00	Summary of rapporteurs of the break-out sessions and conclusions.
14h30 – 16h00	Visit to the European XFEL.

END of workshop