

5th InRoad Workshop

Interoperability of funding instruments and governance of Research Infrastructures

** Case studies and recommendations **

24th -25th May 2018 in Wroclaw, Poland

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

Dear Participant, we are pleased to welcome you in Wroclaw on the 5th Workshop of the project In-Road: for a better Synchronization of Priority Settings and Evaluation and Funding Mechanisms for Research Infrastructures.

To focus the discussion and drive to the areas for recommendations we would like to introduce to you the sets of questions to be tackled by the three case studies presented in the workshop.

Please find below the set of questions for the **Case 1** European Spallation Source ERIC and also **Case 3** NGI The National Genomics Infrastructure and also from your Research Infrastructure perspective.

The questions for discussion and formulating recommendations:

1. Which funding instruments/sources are being or have been used for the RI and at what stages of the RI lifecycle (including the termination phase)? What are the limitations of the different funding instruments/sources for the different stages of the RI lifecycle?
2. What is the role of European Structural Investment Funds and the implications and bottlenecks of using these funds? What about the European Fund for Strategic Investments and European Investment Bank funding?
3. How did the combination of different funding schemes change over time from your perspective and what is foreseen for the future?
4. From the perspective of the Research Infrastructure Manager are you familiar with the bodies, stakeholders, that are involved in the different funding decisions in the country?
5. What are the challenges/difficulties faced when combining the different funding instruments? E.g. Conflicting rules between funding instruments or difficulties complying with any particular regulations?



6. How important are the RI users to sustain your long-term funding? What is your access policy for non-national users? (What percentage do these represent?) What type of access is available (fee structure and commercial policy)? Are in-kind contributions included into the access and commercial policy? Any limitations towards industrial investments/user access?
7. What are the links between funding and roadmaps? (E.g. positioning of the RI on the roadmap, the ex-ante conditionality for funding or existing funding as a pre-requisite to be on the roadmap, etc.)
8. To what extent can the next generation of ESIF and FP9 be aligned to suit RI processes? What parameters would have to be taken into consideration to overcome the identified bottlenecks? Time? Eligibility? National and European regulatory frameworks?
9. Funding of cross-border RI – how does the system deal with it? What are the bottlenecks / issues? How could they be addressed?
10. Timing for funding and road mapping: Any recommendations on that?
11. If you could change one thing about the funding landscape to make funding of RI across European borders more efficient, what would it be?

The case 2 – Polish Synchrotron Light Source will present the issue of business planning in the form of a kind of document, which should describe the organization strategy and vision, how the core activities should be implemented. It covers the expectations regarding the development and adequate finances to secure the life-cycle of a Research Infrastructure, which consists of different phases and each characterized by specific funding and decision-making processes. Moreover the document is for securing funding with long-term commitment based on a solid planning including costs categories and type of income. Last, but not least, the issues of risks are also included.

The questions for discussion and formulating recommendations:

1. Is the Business Plan used as a management tool for the facility and if so, how? (Eg. responsibilities, structure of the facility, mission and the financial planning)
2. Talking about such document, which components are part of the BP? (E.g. RI description, scientific and technological challenges, strategy, implementation, legal framework, governance, management structure, budget, annual full cost, full life-time cost (including termination), cost calculation method (including in-kind contributions), financial sustainability and funding sources, risk analysis, KPIs, socio-economic impact, access policy, data management, IPR, RI in-house research, procurement policy, use of market studies)?



3. Did you use a specific model to draft the BP? Who would be recipient of the BP? financing institution only, which evaluates and approves it before the financing, if so, how was the evaluation done? Does roadmapping process require the financial planning? Are the cost categories the same as for funders?
4. Is the BP regularly revised / updated? Are monitoring mechanisms in place for your research infrastructure? Could you mention the key performance indicators?
5. What are the biggest challenges in drafting the full life cycle cost, including decommissioning for a research facility?
6. Regarding the use of in-kind contributions: What are the pros and cons of using a standard cost equivalent for a good or service provided by a contributor to the RI?
7. Which accounting standards are you currently using? Why? What are the advantages and disadvantages in the use of the International Public Sector Accounting Standards vs. national practices?
8. When involving in a Research (facility) Infrastructure project with European partners, did you have difficulties gathering comparable data on financial issues? If yes, which issues?
9. Do you have a risk management plan in place? And if so, which components are part of the risk analysis? Any suggestions for risk management improvement?
10. Which support measures are in place to draft the BP and the full life cycle cost? Which support measures (from Government, Ministries, funding or policy-making bodies) would be useful to improve RI's long-term sustainability?

After each presentation we all will be encouraged to question further the interesting issues and find common solutions for the identified bottle-necks. Those solutions will feed the recommendations for the European Commission (DG Research and innovation) and EU Member States/Associated Countries to give input for the improvement of regulations and funding mechanisms for research infrastructures in order to ensure their long term viability.

Please consider also your own suggestions and recommendations coming from the experience of running Research Infrastructures on the national and European levels, which you may have prepared in advance.

See you soon in Wroclaw!

