




ESFRI



# LESSONS LEARNT & ASSESSMENT OF IMPLEMENTATION

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“Making effective use of Horizon 2020 Preparatory Phase Funding”

ROAD  
MAP  
2015  
2016

# OVERVIEW

## PART I: ASSESSMENT OF IMPLEMENTATION

- rationale
- methodology
- outcomes

## PART II: LESSONS LEARNT

- user strategy & access policy
- governance & management
- funding
- commitment
- integration

## PART III: WAY FORWARD

- recommendations & monitoring
- Preparatory Phase & ESFRI
- ESFRI Projects & ESFRI Landmarks

# RATIONALE

1. (periodically) assess progress and review status of ESFRI Projects along lifecycle
2. support ESFRI projects to move towards full implementation within ten years` rule
3. safeguard credible ESFRI roadmaps according to ERA Roadmap 2015 - 2020, Priority 2(B) "Make optimal use of public investments in research infrastructures"

# OUTCOMES

1. CONCLUSIONS
2. RECOMMENDATIONS
3. OVERALL STATUS

PROJECT	STAKEHOLDER COMMITMENT	USER STRATEGY & ACCESS POLICY	PREPARATORY WORK	PLANNING	GOVERNANCE & MANAGEMENT	HR POLICY	FINANCES	RISKS
A	Yellow	Green	Green	Yellow	Yellow	Green	Yellow	Yellow
B	Yellow	Orange	Yellow	Yellow	Orange	Orange	Orange	Yellow
C	Orange	Yellow	Yellow	Yellow	Orange	Yellow	Orange	Orange
D	Orange	Orange	Orange	Orange	Yellow	Red	Orange	Yellow
E	Orange	Orange	Orange	Orange	Orange	Red	Orange	Orange
F	Orange	Yellow	Green	Green	Yellow	Orange	Orange	Yellow
G	Orange	Yellow	Green	Yellow	Orange	Yellow	Orange	Yellow
H	Yellow	Green	Green	Green	Yellow	Yellow	Yellow	Green
I	Orange	Orange	Green	Green	Yellow	Green	Yellow	Green
J	Yellow	Green	Green	Green	Yellow	Yellow	Orange	Yellow
K	Red	Red	Red	Yellow	Red	Red	Red	Red
L	Orange	Yellow	Orange	Orange	Orange	Orange	Orange	Yellow
M	Red	Green	Green	Yellow	Yellow	Yellow	Orange	Orange
N	Yellow	Orange	Yellow	Yellow	Yellow	Yellow	Orange	Yellow
O	Yellow	Green	Yellow	Yellow	Orange	Yellow	Yellow	Green
	<p>Well on Track</p> <p>Additional Effort Needed to Stay on Track</p> <p>Substantial Effort Needed to Stay on Track</p> <p>Extra-Ordinary Effort Needed to Stay on Track</p>							

# USER STRATEGY & ACCESS POLICY

The Access policy of a Research Infrastructure should define the Access in terms of Access Units, state the specific Access mode, clarify the conditions for Access, describe the processes and interactions involved in the Access and elaborate on the support measures facilitating the Access, if existing.

European Charter for Access to Research Infrastructures (2016)

- link scientific case (operation) to implementation (management, administration & facilities)
- are prerequisites and basis for business plan
- are essential for data & IPR policies and Data Management Plan (DMP)
- are key to progress towards full implementation

Distributed RI need to demonstrate a **common** access policy and provide for a **single** point of access for all users!

# GOVERNANCE & MANAGEMENT

- identify and agree upon measurable & credible KPI and define governance with clear responsibilities and reporting lines, incl. Supervisory and other Advisory Boards
- achieve division and balance of power between scientific, operational and strategic management (and between central hub and nodes)
- are defined from grand design to details
- must be compliant with envisaged legal entity
- avoid misunderstandings about perceived disadvantages of an ERIC and advantages of a private legal entity
- safeguard financial stability of RI through commitment at governmental level

# FUNDING

Most projects fail to meet financial maturity often with a clear link to stakeholder commitment.

Some projects are nearly `under implementation`, but cannot move on because involved countries do not take final decisions on funding (particularly with regards to central hub).

There are clear links between issues concerning **STAKEHOLDER COMMITMENT, GOVERNANCE & MANAGEMENT** and **FINANCES**.

# STAKEHOLDER COMMITMENT

		LEGAL COMMITTMENT	
		UNILATERAL	MULTILATERAL
LEVEL OF COMMITMENT	INSTITUTIONAL	1	2
	GOVERNMENTAL	3	4

- distributed pan-European RIs are strong instrument to invest in national/regional RI of strategic importance
- investments in distributed RI are coordinated and in line with common strategy amongst stakeholders
- countries cooperate in investments to avoid duplication and build pan-European RIs that are far beyond what single country could achieve alone



# INTEGRATION

(Some) distributed RI hesitate to grant central hub strong influence resulting in (too) lean central hub without substantial coordinating powers raising doubts about level of integration of national nodes and about added value of being a RI rather than a research cooperation network.

A distributed RI thus should provide its Central Hub with substantial coordinating powers (such as common access policy, harmonised and coherent IPR & data policies; adequate central resources; procurement and upgrading of technological infrastructure; human resources policy allowing for staff exchange and secondment).

# WAY FORWARD

## RECOMMENDATIONS:

- are meant to support you
- address different players
- constitute task lists
- are to be followed up
- will be monitored

## MONITORING will:

- occur periodically (every 2 to 3 years)
- include generic and specific elements
- be more targeted
- involve closer interaction between ESFRI Projects, IG, SWG & e-IRG
- result in new conclusions and recommendations determining status

**MIND TEN YEARS` RULE!**

# PREPARATORY PHASE & ESFRI

ESFRI has developed and applied a lifecycle approach to its assessment of the RIs in the 2016 ESFRI Roadmap. This approach will be further refined and extended to the complete economic analysis. Consistency in methodology and terminology will be pursued at the international level.

2016 ESFRI Roadmap

- two separate processes
- follow lifecycle approach based on UK gateway process and AEG matrix, i.e. minimal entry-level key requirements to phase in life cycle of RI on eight dimensions
- are consistent and coherent
- closer interaction between ESFRI and EC

Preparatory Phase is devoted to refinement of technical design, development of governance, definition of legal status and financial sustainability, leading to start of implementation.

ESFRI demands a **firm agreement** by stakeholders to proceed to adoption of a legal status engaging substantial funding for implementing RI.

# ESFRI Landmarks

are RIs that are under implementation/were implemented (under ESFRI Roadmaps) and are now established as reference pillars of competitiveness of ERA. ESFRI Landmarks need continuous support for successful operation and upgrade in line with optimal management and maximum return on investment policy

- are prioritised for regional, national and European (e.g. ESIF) funding
- might access special financing under Horizon 2020, e.g. support for implementation
- may receive *ad hoc* targeted and specific (confidential and non-monetary) support to move towards full implementation

# ESFRI Projects

were assessed for scientific excellence and maturity and included in order to gain special attention and support to carry out path towards implementation. They can be at different stages of their preparation according to date of inclusion and can stay maximally ten years on ESFRI Roadmap.

- are prioritised for regional, national and European (e.g. ESIF) funding
- may access special financing under Horizon 2020, e.g. Preparatory Phase
- may receive *ad hoc* targeted and specific (confidential and non-monetary) support to move towards full implementation

Thank you for your attention!  
Questions?

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