

Pilot 1 "Governance of support mechanisms for framework programme participation and professionalisation of research management"

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Framework for Pilot 1

- Support systems for capacity building in FP implementation and their interaction with governance structures in the territory –
 - Governance structures to support the coordinated implementation of ESIF and H2020 activities (Wales)
- Professionalism of research management –
 - achievement and impact (Catalonia, Spain)
- Use of structural funds for training and capacity building purposes – increasing regional human capacity for supporting synergies
 - use of ESIF to fund training activities for research support (Centro, Portugal)

Issues – Features of R&I systems

Issue	Wales	Centro	Catalonia
Develop own innovation policy	Yes - Elected legislature	No – Portugal is not regionalised (except for Azores and Madeira)	Yes - Statue of Autonomy of Catalonia
Importance of ESIF for research and innovation	More important for R&I than other areas of UK.	High dependence on ESIF compared to H2020	Not considered to have high dependence on ESIF
Scientific excellence/investment	The R&D investment is below that of the UK on average. Strong innovator.	R&D investment is comparable to the Portuguese average. Strong innovator.	At 1.5% of GDP R&D intensity higher than average for Spain. Moderate + innovator.

Issues - Identified problems in the R&I system

Issue	Wales	Centro	Catalonia
Lack of support structure and necessary human capacity	Need to improve support structures including training and develop experts and evaluators.	Writing a successful proposal is a 'professional' task and access to support and skills are needed.	Need to develop dedicated research management structures.
Level of coordination	Better coordination needed to support synergies so H2020 office in the MA.	TO1 and TO3 calls are launched at the national level. Little scope to address RIS3 priorities.	Lack of synergies between the regions.
Misplaced perception – need for behavioural changes	Avoid H2020 as ESIF an easier, less competitive, source of funding.	Less enthusiasm about H2020 due to availability of structural funds.	Change in attitude to coordination when realised support from project offices.
Combination of funds and alignment of instruments	Developing the regional innovation system through different funding sources – stairway to excellence.	Challenge to align regional, national and European according to the needs of the regional strategy.	Using different funding sources adds to complexity.

Overall framework issues

- **Structural context**
 - structural constraints
 - core actors
- **Coordination approaches/mechanisms**
 - adopted solution
 - other approaches attempted
 - similar approaches in other regions
- **Specific case details**
 - required changes
 - shifts in responsibility?
 - role of ESIF funding
 - other stakeholders involved
 - new relationships, processes, etc.
- **Assessment/monitoring**
 - Reactions (public/private actors)
 - relationship with national bodies
 - have changes been successful - how is success defined/measured?
 - key factors for this success
- **Barriers and next steps**
 - significant challenges met
 - remaining challenges
 - next steps
 - adaptability to alternative contexts

Wales - ecosystem



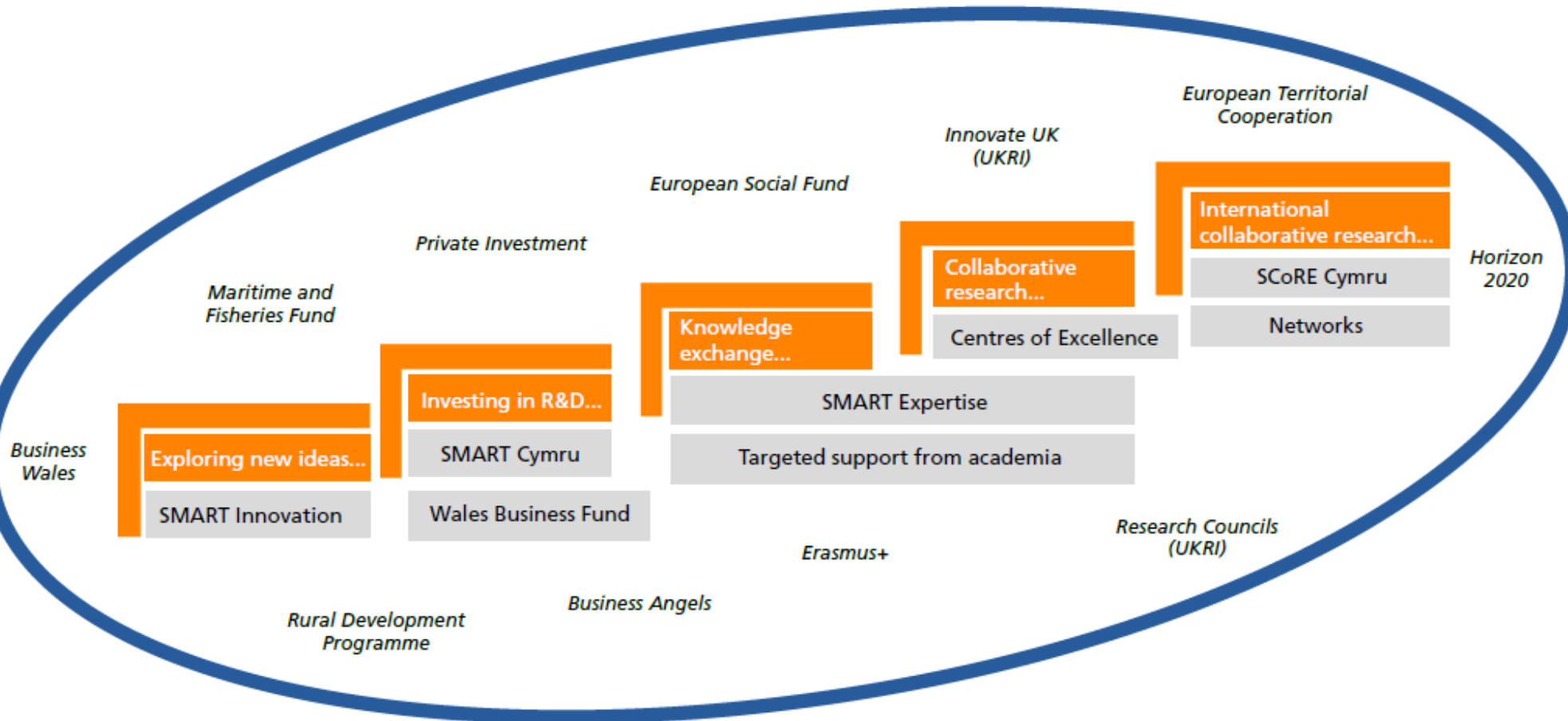
Key

- Welsh Contact Point Network
- Horizon 2020 community
- Research and innovation ecosystem

Wales - H2020 Unit role

The Unit has a flexible operating model in order to allow resources and skills to be built up over time and allow the Unit's role to evolve as required. It is demand - rather than supply-driven, **and seeks to avoid duplicating existing support, for example, the support available from the UK National Contact Points for Horizon 2020.**

Wales - Funding synergies – Stairway to Excellence



Key

■ Main stages in the stairway to excellence

■ Direct supporting activity mostly supported through the European Regional Development Fund

■ Wider support environment

Centro – Context and challenges

- Centro has no independent regional budget
- Alignment difficult – Calls launched at national level and difficult launch calls to meet RIS3 priorities
- Lack of a Centro office in Brussels
- Availability of ESIF – low incentive for H2020

- BUT CCDR Centro manages ROP and can launch some initiatives

1 - Calls for proposal launched

✓ Incentives Scheme to R&TD, R&D Projects at the European Scale

It aims at co-financing the national counterpart of regional actors participation in European R&D projects (namely EUREKA and EUROSTARS, JU and ERA-NET).

- 2 calls already launched

Call	TO and IP	Budget allocation	Number of total applications	Number of applications with investment in Centro Region	Number of applications with investment in Centro Region approved	Number of applications with investment in Centro Region not approved
25/SI/2017 - Incentives Scheme to R&TD – R&D Projects at the European Scale	TO1 IP 1.2	Total - 8 M€ (ERDF) ROP - 1 M€ (ERDF)	13	6	4	2
18/SI/2018 - Incentives Scheme to R&TD – Industrial R&D Projects at the European Scale	TO1 IP 1.2	Total – 7,5 M€ (ERDF) ROP - 1 M€ (ERDF)	13	7	No data available yet	No data available yet

2 - Calls for proposal launched

✓ Incentives Scheme to R&TD, Internationalisation, Individual Projects

It aims at supporting the participation of companies in European programmes, in particular H2020, supporting the preparation of applications.

- 2 calls already launched

Call	TO and IP	Budget allocation	Number of total applications	Number of applications with investment in Centro Region	Number of applications with investment in Centro Region approved	Number of applications with investment in Centro Region not approved
24/SI/2017 - Incentives Scheme to R&TD – R&D Projects at the European Scale	TO1 IP 1.2	Total – 6 M€ (ERDF) ROP – 500k € (ERDF)	11	1	1	0
02/SI/2019 - Incentives Scheme to R&TD – Industrial R&D Projects at the European Scale	TO1 IP 1.2	Total – 3,625 M€ (ERDF) ROP - 1 M€ (ERDF)	No data available yet	No data available yet	No data available yet	No data available yet

3 - Calls for proposal launched

✓ Incentives Scheme to R&TD, Individual Demonstrators, Seals of Excellence

It aims at financing companies that applied for the European SME Instrument - Phase 2 and that did not get any funding but were highly evaluated (thus obtained a Seal of Excellence).

- 2 calls already launched

Call	TO and IP	Budget allocation	Number of total applications	Number of applications with investment in Centro Region	Number of applications with investment in Centro Region approved	Number of applications with investment in Centro Region not approved
19/SI/2018 - Incentives Scheme to R&TD – Individual Demonstrators, Seals of Excellence	TO1 IP 1.2	Total - 13,25 M€ (ERDF) ROP - 3 M€ (ERDF)	34	8	5	3
05/SI/2019 - Incentives Scheme to R&TD – Individual Demonstrators, Seals of Excellence	TO1 IP 1.2	Total - 8 M€ (ERDF) ROP - 1 M€ (ERDF)	No data available yet	No data available yet	No data available yet	No data available yet

Calls for proposal foreseen

✓ **Employment of highly qualified human resources (to be launched)**

It aims at supporting the employment of highly qualified human resources in interface entities/ technological infrastructures and to boost the active participation of the scientific and technological system (increasing the collaboration with companies).

- TO 8, Investment priority 8.5, ESF

✓ **Capacitation of interface entities for the internationalisation of R&I (in preparation)**

It aims at contributing to the increase of regional participation in European Programmes - interface entities/ technological infrastructures and other regional agents - to promote their inclusion and potential leadership in European networks and Platforms and to make them able to support other entities in their internationalisation processes.

- TO 11, Investment priority 11.2, ESF

Catalonia - Issues

- To professionalise the role of the research manager
- Used region's own funds
- 2010 report on 'Professional and curricular profile of the Research and Innovation International Managers'
- Increasing number of R&I managers but no professional recognition and training required
- Agency for the Management of University and Research Grants (AGAUR) – services to support research managers

AGAUR incentives - 1

- **Grants to boost the management structures of R&I in universities – LiderEU 1.**
 - These aim to promote the professional management of European projects, in particular, through supporting the strategic plans for fund-raising.
- **Grants to boost the leadership of R&I projects – LiderEU 2.**
 - A global incentive mechanism to increase the critical mass of Catalan entities who submit proposals

AGAUR incentives - 2

- **Grants for the participation in collaborative R&D projects to FP7 – ConnectEU.**
 - These aim to support the preparation of FP7 proposals in which companies and public and private centres in Catalonia collaborate in the same R&D project
- **Grants for H2020 proposal preparation by research groups, including NGOs – INTCO.**
 - These aim to boost collaboration between research units and NGOs in Catalonia.

AGAUR Training

- A training itinerary was designed to increase the number of research management professionals to cover the increasing demand - *delivered by experienced research managers from the Catalan university system*
 - Basic training on research & innovation project management
 - Strategy and RDI Project Planning
 - Specific project management workshops on preparation of proposals, consortium agreements (IPR), Justification of costs and audits, Lobbying.

Drivers and success factors

- Developed R&I system but scope to improve H2020 participation
- Need to remove perceived and real administrative and policy silos
- Using structural funds to build capacity at same time as developing behavioural changes
- Coherent strategic approach required – internationalisation (Centro), Professionalise research management (Catalonia), Stairway to Excellence (Wales)

Barriers

- Better use of funding synergies and problems associated with funding synergies
- As well H2020/ESIF regulations – problems also come from national and regional regulations
- Need to change attitudes and get “buy in” from stakeholders

Transfer to other regions

- No ready made framework for each region to adopt – issues, and hence the needs, are very context specific
- 3 regions can offer inspiration and possible approaches to take
- Use of ESIF combined with scientific excellence that already exists – MAYBE, approaches not appropriate for regions still needing to develop research system