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LA STATALE

Verso l'FP9: il Rapporto Lamy Dibattito in corso
Il punto di vista della LERU (League of European Research
Universities)

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LE
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PUSHING
THE FRONTIERS
OF INNOVATIVE
RESEARCH



C O D A U

Convegno dei Direttori generali
delle Amministrazioni Universitarie

Incontro Codau Gruppo di Lavoro Ricerca
Università degli Studi di Catania - 24 novembre 2017



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Lund University - University of Milan - Ludwig-Maximilians-Universität München

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Université Paris-Sud - University of Strasbourg - Utrecht University

University of Zurich

LERU was founded in 2002 as an association of research-intensive universities sharing the values of high-quality teaching in an environment of internationally competitive research.

The League is committed to:

- education through an awareness of the frontiers of human understanding;
- the creation of new knowledge through basic research, which is the ultimate source of innovation in society;
- the promotion of research across a broad front, which creates a unique capacity to reconfigure activities in response to new opportunities and problems.

The purpose of the League is to advocate these values, to influence policy in Europe and to develop best practice through mutual exchange of experience.

20.06.2017



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LERU Office
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Press release
20.06.2017

Beyond the Horizon

What LERU wants from FP9

On 20 June LERU publishes its newest advice paper "*Beyond the Horizon: LERU's views on the 9th Framework Programme for Research and Innovation.*" Research and innovation should, also in the future, top the list of what the European Union should (continue to) invest in. The EU Framework Programmes have made a significant contribution to Europe's research and innovation landscape and to its competitiveness. In the new advice paper, LERU makes concrete and detailed recommendations on how to further increase the Framework Programme's efficiency and impact.

<http://www.leru.org/index.php/public/news/beyond-the-horizon-what-leru-wants-from-fp9/>

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03.07.2017

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LERU Press Release - 3 JULY 2017

LERU wants more for EU research and innovation than "Lab-fab-app"

LERU welcomes the report "*LAB-FAB-APP, Investing in the European future we want*" on maximising the impact of EU research and innovation programmes by the "Lamy high-level group" published today. Mr Pascal Lamy and colleagues have produced a thought-provoking paper, containing some expected, but also unexpected and novel ideas, some of which will need to be better understood and unpacked. LERU is convinced the Lamy report will help all stakeholders to prepare for the next Framework Programme (FP) for Research and Innovation (R&I), and to foster a broader discussion on the future of the research policy landscape in Europe, especially in light of the ongoing discussions about the future EU budget.

<http://www.leru.org/index.php/public/news/leru-wants-more-for-EU-research-and-innovation-than-lab-fab-app>

Incontro Codau GDL Ricerca – 24 novembre 2017



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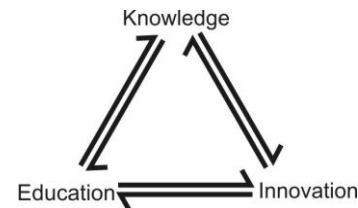
ADVICE PAPER
No.22 - JUNE 2017

Beyond the Horizon:

LERU's views on the 9th Framework
Programme for Research
and Innovation

EU needs research, research needs EU

- FP has clear EU added value,
EU needs research and innovation
- Increase investment in R&I to at least 3% of GDP: **both EU and Member states**
- FP9 (as proposed in paper) at least € 120 billion
- FP focus on parts with strongest EU added value: ERC, MSCA and collaborative R&I
- Close the knowledge triangle



Key principles of FP9

- Excellence
- Impact
- Trust
- Simplification
- Grants focused
- Input instead of output-based



ERC

- ERC Scientific Council to continue the good work
- Increase budget substantially
- Guarantee autonomy
- Focus on research not administration

MSCA

- More central role in FP
- Increase budget substantially
- Focus on core actions:
ITN and IF
- Role of MSCA in widening:
synergies yes, but no to two-level excellence
- Evaluation:
consensus meeting
– face to face or virtual

One programme for all collaborative R&I:

- Avoids silo formation, nurtures true ecosystems

Values triple 'I' collaboration:

- Intersectoral, Interdisciplinary (also SSH) and International

Supports the **entire process of knowledge** production and innovation and stimulates research uptake

- frontier research, quick wins and follow-up funding

Has a robust evaluation system

- Quality control on selection of evaluators, proper briefing
- Standing panels
- Detailed feedback for applicants

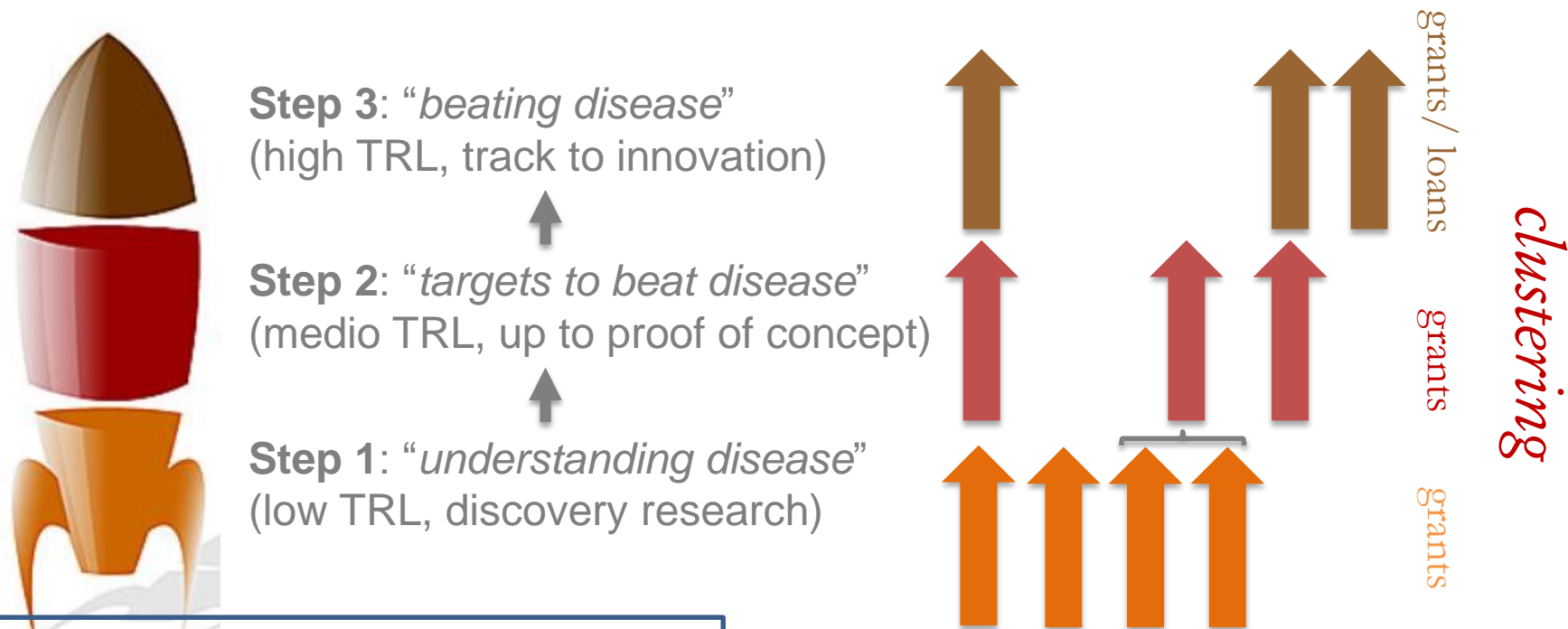
Has a **transparent process for topic-identification** and work programme development and allows creativity

- New bottom-up / top-down balance
- FET-Pro-active-like participatory approach in topic design

Three-stage rocket



- Recurrent calls (hence predictable), broad and open ‘topics’
- Harvesting results at different steps, allowing continuation to a next step, as well as embarking at all steps
- Long-term broad ‘topics’, e.g. *“Fighting chronic disease”, “efficient electricity storage”, “migration”,...*

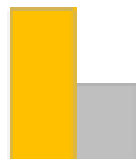


Revised approach for PPPs/JTIs, JPIs/ERA-Nets

Current situation: leveraging investments via externalisation

Member States

ERA-Nets, Joint
Programming Initiatives,
FET Flagships,...



Horizon 2020

Industry

Joint Technology Initiatives



cPPPs

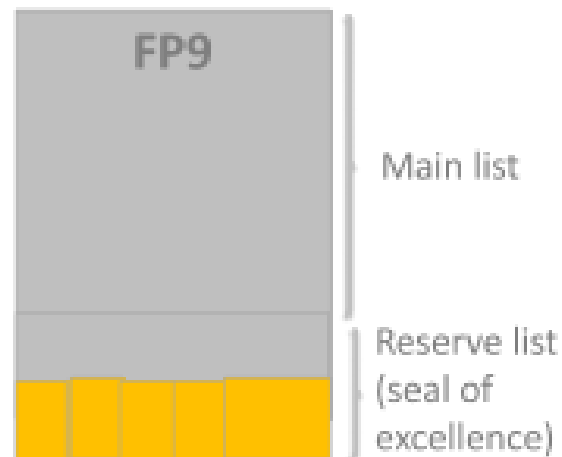
EFSI

External entities ⇒ separate administration, evaluation, procedures,...

Different concept

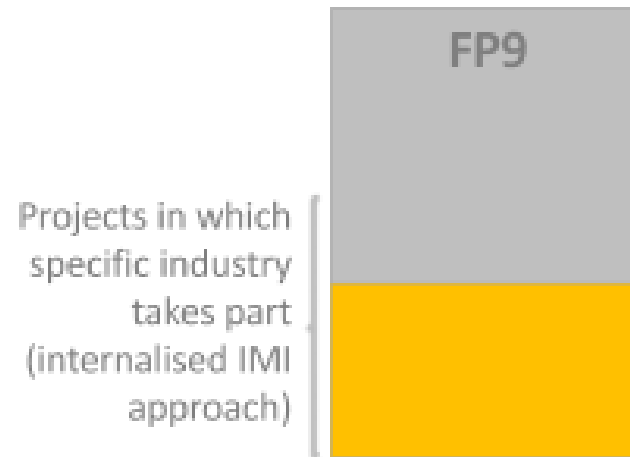
Instead of externalisation: internalisation (co-investments)

e.g. FP9 topic "beating
Alzheimer's"



Member States
step in call with €€€

e.g. FP9 topic "electricity
storage"



Industry steps in call
with €€€

*One entity,
one set of rules*

- Addressing widening participation in FP
= important but **many different actions needed**
 - Internal reforms: **Ec to stimulate but MS to implement**
 - Old boys networks: not a question of lack of interest or unwillingness, often perception and lack of resources
 - Building partnerships
 - Focus of widening activities on synergies between Structural Funding and FP9:
 - Earmark a specific part of the SF for synergies with FP9, exempt from State Aid Rules
 - Develop opportunities for synergies within existing funding streams.
- Some concrete ideas in paper, e.g. return phase for MSCA Intra European fellowships, seal of excellence.
- **Use Structural Funding also to support other initiatives addressing widening participation**
 - FP9 funding model: introduce a 'floor' for reimbursement of personnel cost

Other important sections in paper



- Innovation instruments and EIC
- EIT
- Evaluation
- Responsible research and innovation: gender, ethics and research integrity
- Open Science
- Research infrastructures
- Defence research
- Other EU research funding programmes



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LERU POLICY BRIEF
3 JULY 2017

LERU's comments on the Lamy report on maximising the impact of EU research and innovation programmes

As stated in the LERU press release of 3 July 2017, LERU welcomes the report "**LAB-FAB-APP, Investing in the European future we want**" on maximising the impact of EU research and innovation programmes. The report is an important element in the larger discussion of the EU budget. LERU is convinced the report is useful to all stakeholders to reflect on, to prepare for the next Framework Programme (FP) for Research and Innovation (R&I), and to foster a broader discussion on the future of the research policy landscape in Europe.

Commenting on the 11 recommendations of the Lamy report, LERU wishes to point out the following:

1/ Prioritise research and innovation in EU and national budgets



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**LERU calls on all stakeholders to commit
to a strong EU budget for R&I.**

We welcome the fact it mentions
**pooling research at EU level can avoid duplication
and have a clear EU added value.**

Since we know the development and approval process of each of them to be
long and complicated,

**LERU is concerned that
a timely delivery of FP9 may become compromised,**

especially since there will be
elections for
a new European Parliament and a new Commission will be appointed in 2019.



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2/ Build a true EU innovation policy that creates future markets



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Although LERU agrees with the innovation-oriented agenda, it is also evident that frontier research is the bedrock of innovation and “garage innovation” is the exception. Of course, social and non-research-based innovation play a certain role, but

let us not forget that innovation crucially depends on research performed at universities and other research organisations.

The nascent **European Innovation Council (EIC)** is too focused on a narrow definition of innovation.

No academic innovation experts are part of the present High Level Group;
one or more should be appointed as soon as possible.

EIC’s primary role should be to advise the EC on innovation policy and on the development, use and efficiency of the EC’s innovation instruments.

The EIC should not act as a funding mechanism.

3/ Educate for the future and invest in people who will make the change



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LERU would therefore prefer to stimulate open science through FP9's rules of participation (and the model grant agreement) instead of creating e.g. a European university label.

LERU wants a better link between research, innovation and education but underlines this should be done by concretely linking education to FP9-funded projects, e.g. by engaging students in FP9 projects or stimulating researchers to teach about their FP9-funded research, as suggested in the LERU FP9 paper.

FP9 should promote, wherever appropriate, teaching and professional development, as part of an academic career.

The LERU paper on FP9 argues that interdisciplinary projects should be the core of collaborative research in the next FP and that interdisciplinarity must be part of the evaluation criteria.

Not ALL EU funding programmes should have innovation objectives, i.e. it is not only about “labs-fabs-apps”.



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4/ Design the EU R&I programme for greater impact



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LERU very much supports the focus on purpose and impact for FP9, instead of instruments, TRLs, disciplines, prescriptive topics or industry sectors, as proposed in the Lamy group report.

However, **industry, society and the scientific community should together set the agenda for how the next FP will support collaborative projects involving all these actors.**

More flexible, overarching and non-prescriptive calls for proposals, both top-down and bottom-up,
echo very well the LERU ideas

for a collaborative research and innovation programme in FP9.

The Lamy group report does not provide any detail
on how this should be put into practice.

LERU does not agree with the proposal for the EIC to be the driver for designing new evaluation and selection processes, especially if these are across the board.



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5/ Adopt a mission-oriented, impact-focused approach to address global challenges



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Although the wrapping might be different, the content of what the Lamy group proposes is well in line with LERU's FP9 ideas.

Broad topics are 'missions', with the UN's Sustainable Development Goals (SDGs) as reference framework.

Two important ideas of the LERU FP9 proposal do not surface in the Lamy group report, namely clustering of projects addressing the same 'mission' and providing follow-up funding for FP projects, two ideas which LERU believes crucial to maximising the impact of the FP.

Defining expected impact across an entire portfolio of activities, as suggested in the Lamy group report, could be a good alternative.

LERU wishes to stress that all SDGs would and should benefit from contributions of social sciences and humanities (SSH) research.

6/ Rationalise the EU funding landscape and achieve synergy with structural funds



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LERU agrees with the Lamy group that synergies between the R&I FP and the Structural Funds should be stimulated and facilitated instead of hampered by State Aid rules.

LERU however opposes the call for ring-fencing budgets within the R&I FP for widening participation.

It is within the Structural Funds that budget should be earmarked for synergies, to support core R&I activities or projects
(examples can be found in the LERU FP9 paper).

It should not be the R&I FP that supports Structural Funds' objectives or smart specialisation strategies.

LERU agrees that different EU instruments and policies should reinforce each other. There must however remain a clear difference between the aim of each EU policy domain and the related funding programmes.



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The continued emphasis on **simplifying the FP, accepting usual accounting practices of beneficiaries and reducing the audit burden can only be applauded**, especially by an organisation like LERU that has been a champion for simplification of the FP for almost a decade.

The choice proposed in the Lamy group report between **cost-based or lump-sum payments is however not likely to lead to further simplification, on the contrary.**

Offering this choice could extend the time to grant, create two ‘types’ of beneficiaries or complicate things for project coordinators. And before considering any choice, the use of lump-sum funding should be assessed on the basis of the upcoming pilots in H2020. Also for the use of lump sums, the proof of the pudding is in the eating.



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8/ Mobilise and involve citizens



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LERU supports citizen science because it can broaden the scope of research, increase the quantity of research results and improve the quality.

But to do so it **must also adhere to what are considered fundamental research principles, methods and procedures to ensure accuracy and validity.**

A [recent LERU paper on citizen science offers 13 recommendations](#) for universities, research funding organisations and policy makers, from raising awareness and supporting citizen science in ethically sound ways, to developing ways of assessing and recognising citizen science in research funding and evaluation processes.



LERU hopes that the European Commission will continue to develop and stimulate citizen science, which fits very well with its “Open Science” and “Responsible Research and Innovation” policy making agendas.



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9/ Better align EU and national R&I investment

LERU agrees that EU and national R&I investment should be better aligned and that it is a difficult task.

A division of labour should be established and mutually respected, taking into account complementarities and added value. An appropriate governance model for such an alignment must be carefully thought through, since it will have important financial and other consequences.

While member states have to take care to remove local barriers to a smoothly functioning ERA,

LERU would not go as far as subjecting national R&I strategies “to EU- supported international peer review”. Instead, they should continue to be dealt with in the European Semester exercise.



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10/ Make international R&I cooperation a trademark of EU research and innovation



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Stimulating third-country participation is important and aligning the FP9 collaborative research and innovation programme with the UN sustainable development goals could help attract these partners, as stipulated in both the LERU FP9 paper and the Lamy report.

LERU agrees with the Lamy report that except in cases of specific strategic relevance,

**the accessibility to funding for research
by international partners should be reciprocal.**

It is important that association to FP9 is limited to countries of strategic importance (excellence-based) to the EU's research and innovation landscape, as both LERU and the Lamy report argue.

From that perspective, LERU reiterates the point made in its FP9 paper and in the Lamy report that **UK universities, irrespective of Brexit, should be able to participate in FP9 since they are an undeniably strong part of the European Research Area.**



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LERU's comments on the Lamy report on maximising
the impact of EU research and innovation programmes

11/ Capture and better communicate impact



LERU agrees with the general approach to impact in the Lamy report, although it has reservations about three points.

Firstly, when expressing the need for a definition of impact beyond GDP,
impact on people's lives is not mentioned.

Secondly, while communicating about science should be part of researchers' careers and it can be required for EU-funded projects, it is up to the universities, as employers of researchers and with the responsibilities this entails, to make sure that researchers' career development and reward systems are attractive, responsive to new needs and flexible to accommodate researchers' varying career circumstances.

Thirdly, LERU agrees with the report's ambition for the EC and the member states to develop an action plan for how to make science and citizens talk, but it is doubtful that an "EU University" is the best label for this.



Grazie

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