

# CNRS EUROPEAN STRATEGY 6 May 2021



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### **CONTEXT AND OBJECTIVES**

An operational strategy to improve the Centre's participation in European research and innovation programmes

Meeting the major challenges of the 21st century will require global research collaborations, spanning borders and disciplines. Now that the European Union has launched Horizon Europe, its new framework programme for research and innovation, and announced plans to extend the scope of the European Research Area, the CNRS has decided to pursue a strategy conceived to facilitate research programmes of excellence in cooperation with the finest laboratories in Europe, as well as with other stakeholders in the European project (businesses, entrepreneur-innovators, public institutions, etc.). The CNRS's engagement in Europe and participation in European programmes are a leverage point for increasing the visibility of its high-level research as well as its prominence in Europe and around the world. Moreover, they make a concrete and determining contribution to the structuring of the European Research Area and the formation of leading-edge European consortia. Lastly, they represent a major source of funding for CNRS researchers and research teams, for example with €1.2 billion allocated to the Horizon 2020 programme (which preceded Horizon Europe).

Building on its status as one of the foremost beneficiaries of the H2020 programme, especially in the "Excellent Science" pillar, the CNRS plans to mobilise its scientific forces in order to make an even greater contribution towards meeting the key challenges facing society today, as specified in the objectives of Horizon Europe. This mobilisation should also enable the Centre to take the utmost advantage of the significant margin of progress enabled by its scientists' research potential with regard to European programmes, especially in the pillars devoted to "Global Challenges and European Industrial Competitiveness" and "Innovative Europe" (Report by the IGF-IGAENR-General Council for the Economy, Industry, Energy and Technologies, French participation in the European research and innovation framework programme, 2016).

In this context, the CNRS European strategy aims to pursue and step up the efforts undertaken by the organisation in recent years to increase its participation in European programmes and expand its influence within the European Research Area. The CNRS's strategy is in keeping with its 2019-2023 objectives and performance contract (COP) with the French government. It will also benefit the entire higher education, research and innovation (HERI) sector in France, for which purpose it was conceived in synergy with the national action plan for improving French participation in European research and innovation funding mechanisms (PAPFE). The first priority target is Horizon Europe, with a strategy based on three complementary objectives:

- **1 Influence** European research and the development of European programmes,
- **2 Support** researchers in the preparation and follow-up of European project proposals,
- **3 Encourage** engagement in Europe and applications to European programmes.

The development of this strategy was made possible by the mobilisation within the CNRS of a great many parties who contributed their expertise and knowledge of the existing system (Section 2). The strategy is spelled out in an action plan conceived to improve and strengthen current mechanisms and create new ones, integrating them as part of a consistent overall vision (Section 3 and appendices).

Its **implementation** will require the mobilisation of everyone concerned within the CNRS (service departments, Institutes, Regional Offices, the Brussels office, research units) in cooperation with our key partners in France and throughout Europe (Section 4). It will also mean having the necessary resources to attain our objectives. The CNRS European strategy must be based on the Centre's primary strengths and the actions that it has already undertaken, making sure to clarify their inner workings, improve their functioning and supplement them with new mechanisms that serve our ambition.

The CNRS's strengths lie mainly in its scientific and support personnel, and in its internationally recognised projects covering multiple fields. This pluridisciplinary coverage is a decisive asset, even though it can pose a challenge for instilling a shared dynamic. For example, our researchers' participation in European programmes varies widely depending on the discipline, the site, and/ or the research unit concerned. On this point, the CNRS is already taking action to foster better coordination among its scientific communities in relation to the major challenges defined in its 2019-2023 COP, in order to address them in the most consistent and effective way possible within the framework of Horizon Europe and France's 4th Investments for the Future programme.

Looking back at the CNRS's participation in H2020, it is worth emphasising the high quality of the projects submitted and a strong success rate of 18% – exceeding the French and European averages (15% and 12% respectively). In addition, our participation in European programmes steadily increased since the early 2000s. Also worthy of mention is the overall positive feedback on European projects from the directors of French research units, in terms of the dynamism of the research activities and the development of partner networks. These results encourage us to continue stepping up our involvement in European programmes, especially given that we have yet to invest our full research potential.

The numerous influence, information, incentive and support mechanisms implemented by the CNRS are often appreciated by the researchers, in particular those who work closely with their research unit. These mechanisms rally the personnel of the Regional Offices' partnership and technology transfer departments (SPVs), at times in cooperation with their HERI partners, the European project engineers, the Institutes or CNRS Innovation. All of these parties play a crucial role in providing day-to-day support to our scientists, who can be put off by the complexity of European programmes and the time needed to participate in them. • In terms of influence, the CNRS was one of the first European research organisations to understand the importance of working closely with European institutions, founding an office in Brussels as early as 1991. A powerful player in the sciences, the CNRS is now one of the main forces behind the Maison Française de la Science et de l'Innovation à Bruxelles (French science and innovation centre in Brussels, or MFSIB), a project uniting the main actors in French HERI. The CNRS needs to further motivate its researchers to play an active role in influence networks at the national level (national thematic groups, national contact points (NCPs), research networks, alliances, channels and infrastructures, etc.), at the European scale (expert evaluators, seconded national experts (SNEs), etc.) and internationally (Belmont Forum, Future Earth, etc.), in particular offering them effective support at the end of their mission.

• Information is another key challenge. At a time when researchers can easily feel overwhelmed by the proliferation of calls for proposals (CFPs), it is vital to help them formulate a viable funding strategy for their research, taking advantage of the complementary nature of local, national and Europe-wide CFPs. Information on those must be updated constantly, but also targeted in order to avoid superfluity and enable all researchers to easily identify the opportunities that directly concern them.

• The CNRS has put in place incentive mechanisms for ERC grant recipients and coordinators of European projects since 2016. There is still room for improvement in this area, especially in terms of recognising and rewarding the contributions of engineers, technicians and administrative staff (ITA) as well as researchers in European projects.

• Lastly, support for researchers in the preparation and management of their European projects is deployed at different scales depending on their nature: it is provided by the managers in charge of Europe within the SPVs (for all European projects) or by the European project engineers (for coordinated projects). They have the benefit of national coordination in terms of training and can share tools and good practices. The challenge for the CNRS in this area is to strengthen its support capacities and improve its researchers' awareness of the existence and roles of these various parties.

## AN ACTION PLAN BASED ON THREE KEY OBJECTIVES

The CNRS European Strategy is spelled out in an action plan based on three objectives directly inspired by the PAPFE presented by the Ministry of Higher Education, Research and Innovation (MESRI). Each related action is described in detail in the appendices

### **Objective 1. Influence European research and the development of European programmes**

It is of key importance for the CNRS to uphold its scientific and policy priorities within the European Union in order to wield greater influence in the definition of European programmes (Horizon Europe, the European structural and investment funds (ESIF), etc.) and in the structuring of the European Research Area (open science, scientific ethics, human resources management, the management procedures for Horizon Europe, etc.). This influence strategy must encompass the CNRS's policy priorities regarding the European Research Area as well as its prime scientific concerns for European funding programmes and its technical preferences in relation to their management procedures.

# Action 1.1. Define and coordinate the CNRS's scientific priorities to be promoted in European programmes.

The CNRS's influence strategy requires first and foremost a capacity to transpose its primary scientific issues, as specified in its 2019-2023 COP, to match the themes of Horizon Europe and other European programmes.

- Mobilise the Mirror Groups (MGs) formed in early 2021 based on the pillars of Horizon Europe, in order to consolidate and transpose the scientific priorities to be promoted within the Framework Programme for Research and Innovation (FPRI).
- Draft a map of Horizon Europe partnerships, initiatives and large-scale consortia, both European and international, in order to strengthen the CNRS's presence and better uphold its priorities.
- Consistently foster a European approach in the portfolios of the Institutes' Deputy Scientific Directors, so that each scientific discipline can develop its own European strategy, whether or not it fits the framework of pre-existing European themes.

### Action 1.2. Rely on national parties and networks to wield influence in Europe.

The promotion of the CNRS's scientific and policy priorities with national networks and individual parties is of key importance for increasing the organisation's influence in European programmes, especially Horizon Europe, and for the structuring of the European Research Area.

- Increase involvement in the national influence networks, both thematic (national thematic groups (GTNs), NCPs, thematic groups of European alliances) and operational (the ANRT European Research Area thematic group), in order to make the CNRS's primary scientific and policy concerns known.
- Pursue close interactions with the MESRI, ANR, SGPI and Hcéres in order to share the CNRS's policy priorities for the European Research Area.
- Work with our socioeconomic partners (large corporations, industrial associations) and institutional partners (ministries, regional administrations) to refine the CNRS's scientific priorities with them and enlist their help in upholding those priorities.

### Action 1.3. Wield influence in Europe at the European level.

The CNRS must maintain and develop the influence channels that its Brussels office has forged with the parties and networks involved in defining programmes and structuring the European Research Area.

- Draft a rolling agenda of the CNRS influence initiatives targeting European parties, in order to have a precise schedule and be able to request any necessary arbitration or other action from the CNRS management beforehand.
- Mobilise the expert networks within the CNRS (or affiliated with the CNRS) that could support its influence initiatives, including specialists consulted in an official capacity by the European Commission, expert evaluators of European projects, SNEs and former staff members recruited by the Commission.
- Maintain regular contacts with European institutions (Parliament, Commission, agencies) and partners represented in Brussels (Permanent Representation of France to the European Union, French and European research organisations and universities, economic and regional delegations).

#### **Objective 2. Support researchers in the prepara***tion and follow-up of European project proposals*

Stepping up the CNRS's participation in European programmes requires allocating the necessary resources to strengthen our support capabilities and further improve the quality of the service we offer our researchers.

Action 2.1. Strengthen support for preparing European project proposals, a key leverage point for improving the quality of submissions.

- Extend the deployment of financial support mechanisms dedicated to the preparation of European projects, which entails increasing awareness of these mechanisms in the units and reviewing their implementation with the goal of making them systematically available (or merging them with a national process, if that seems more appropriate).
  Strengthen individual incentive mechanisms for researchers and ITA staff, including individual bonuses and allowances, career management resources (hiring, upgrade and promotion conditions) and the hosting of academics within the CNRS Regional Offices.
- Expand and reinforce the support services for the preparation of proposals, prioritising the recruitment of managers in charge of Europe in the SPVs and European project engineers, and mobilising the Regional Offices to boost the activities of the European project engineer/EPM networks. Review the results of pooling efforts with on-site HERI partners.
- Be more fully involved in the consortia now being formed, facilitating contacts between our laboratories and SMEs in order to encourage the preparation of collaborative European projects.

Action 2.2. Improve the project implementation context in order to simplify and secure the management of projects and related funds.

- Improve the quality of service for the management of European projects, in particular by mobilising the network of Regional Offices Contract Cells, bolstering interdepartmental efforts, improving integration of interdisciplinary themes (e.g. open science, calling upon the expertise of the DDOR) and strengthening the actions of the ESIF cell in charge of European regional funds (ERDF, INTERREG, etc.).
- Take action to simplify standards and ensure secure project management, with the implementation of a simple and accessible Horizon Europe reference system, a strategy for handling complex topics, and an effort to simplify the rules governing management and professional expenses.
- Deploy new tools to facilitate the management of European projects.
- Introduce coaching tools for communication.
- Expand and publicise the CNRS's training opportunities for European programmes with everyone in charge of European projects.

## *Objective 3. Encourage engagement in Europe and submissions to European programmes*

The incentive and communication mechanisms are a key leverage point for increasing the participation of the CNRS in European programmes, and more generally for boosting its influence within the European Research Area.

Action 3.1. Develop the incentive mechanisms for European engagement by strengthening our existing tools and regularly evaluating their impact as part of an ongoing improvement process.

- Offer an internal funding mechanism within the CNRS for proposals deemed excellent by the European review panels but not granted funding, to reward the risk-taking associated with submissions and provide encouragement after an initial setback.
- Strengthen the role of certain existing CFPs within the CNRS as springboards for preparing submissions to European programmes.

Action 3.2. Improve communication of and highlight successes, with an ambitious and effective strategy for explaining how European programmes work, publicising the CNRS's support for submissions and showcasing its results.

- Explain and clarify European programmes (the operating principles and timetable of Horizon Europe, the benefits for researchers and units of submitting proposals, etc.) and the CNRS's support for submissions (coaching services for the preparation and management of project proposals, liaising with other managerial supervisory bodies, etc.).
- Highlight our successes (accomplishments and concrete results) within and outside of the CNRS, to publicise the winning projects, showcase our overall results and emphasise certain high-profile projects.

#### Action 3.3. Encourage the research units, Regional Offices and Institutes to develop mobilisation strategies targeting European programmes.

Effectively incentivising researchers to submit proposals requires mobilisation at every level of our organisation in order to promote close collaboration in the regions and on-site as well as adaptation to the specific characteristics of each discipline.

• Provide the research units, Regional Offices and Institutes with tools for monitoring European CFPs and profiling ERC candidates in order to help them identify opportunities and elicit projects within their communities.

• Adopt the CNRS's European performance goals at the

scale of the research units, Regional Offices and Institutes so that they can contribute at their level through concrete initiatives, and conduct yearly reviews of their implementation and results.

• Introduce information and awareness events for the Institutes and Regional Offices.

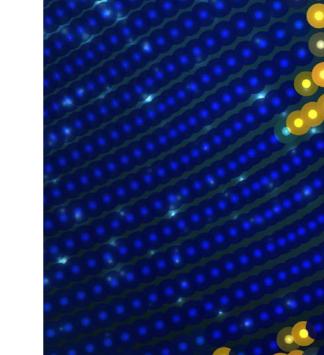
# **APPENDIX: ACTION DESCRIPTIONS**

# OBJECTIVE 1. INFLUENCE EUROPEAN RESEARCH AND THE DEVELOPMENT OF EUROPEAN PROGRAMMES

While its capacity to wield influence is considerable, the CNRS nonetheless has considerable margin for progress in terms of upholding its scientific and policy priorities within the European Union. Exerting influence is a key factor for strengthening the Centre's impact on the definition of European research and innovation programmes as well as the structuring of the European Research Area (open science, scientific ethics, human resources management, management procedures for Horizon Europe, etc.).

## **ORGANISATION AND GOVERNANCE**

Within the European Research and International Cooperation Department (DERCI), the **European Union** unit (the current European Community unit) will be in charge of **implementing the CNRS European strategy and attaining its objectives** in terms of participation in European programmes and exerting influence within the European Research Area. Its mission will be **to drive, coordinate and monitor the implementation of its action plan,** mobilising everyone concerned at the CNRS, whether in the service departments, Institutes or Regional Offices. It will establish and maintain ongoing relations with the other DERCI units – international and, in particular, Bilateral Europe – to ensure the consistency of our global scientific strategy. Externally, for questions concerning the European Research Area, it will be the interface for national and European entities. Lastly, the implementation of the CNRS European strategy requires effective and fast-reacting governance capacities, overseeing all of the departments involved based on indicators for monitoring the impact of the actions undertaken. This oversight will rely on the CNRS governing bodies in charge of European programmes, in particular the Horizon Task Force, along with the service departments covering Europe and the European Operations Committee uniting the Institutes' Europe officers.



ACTION DESCRIPTION 1.1. DEFINE AND COORDINATE THE CNRS'S SCIENTIFIC PRIORITIES TO BE PROMOTED IN EUROPEAN PROGRAMMES

The CNRS must have the resources to transpose the scientific priorities specified in its objectives and performance contract (COP) in order to define and coordinate the topics that it seeks to prioritise among the themes of Horizon Europe (HE) and other European programmes like the European Structural and Investment Funds (ESIF). These scientific priorities will then be put forth and upheld in the European programming work, mobilising the existing influence networks in France (action 1.2) and Europe-wide (action 1.3).

▶ 1.1.1 / Mobilise the Mirror Groups (MGs) formed in early 2021 corresponding to the pillars of Horizon Europe (HE) in order to consolidate and transpose the scientific priorities to be promoted within the FPRI. A mission statement has been drafted for the MG coordinators who will participate in the corresponding MESRI national thematic groups in order to maintain a continuous flow of information (see action 1.2). Each MG will be in charge of coordinating and transposing the different disciplines' scientific strategies in an overall roadmap for Horizon Europe, within their perimeter and for the period 2022-2027. Every two years they will update this guideline upstream from the definition of each Working Programme (WP), adapting it to what was incorporated in the previous WPs. These roadmaps will comprise the topics and sub-topics that the MG recommends be promoted in the programming work, proposing an annual breakdown of funds among the sub-topics. The DERCI European Union unit will be responsible for the ongoing supervision of the MG coordinators network in order to ensure its smooth operation and promote the sharing of information and good practices among MGs.

▶ 1.1.2 / Draw a map of Horizon Europe partnerships, initiatives and large-scale consortia, whether European or international, in order to strengthen the CNRS's presence and better uphold its priorities. A number of largescale initiatives and structures have been launched in the form of partnerships between the EC and various countries (member states or extra-European), such as the HE institutional partnerships, the Belmont Forum, Future Earth, the European Southern Observatory, and many other theme-based international associations, foundations and organisations. These consortia enjoy considerable influence in the development processes of European programmes, in which the CNRS is often involved through its Institutes, making highly significant contributions in many cases. This action is to be based on an inventory of the CNRS's participation in strategic initiatives of this type, especially the institutional partnerships. It will also facilitate harmonisation with the organisation's policy concerning the research infrastructures of the ESFRI. The latter are very high-profile arenas for co-constructing and exerting influence on European programming, including in the theme-based clusters. Many calls for proposals in the Horizon Europe clusters now require the participation of one or more research infrastructures or very large research facilities related to the ESFRI.

### ► 1.1.3 / Consistently foster a European approach in the mission statements of the Institutes' Deputy Scientific

**Directors**, so that each scientific discipline can develop its own European strategy, whether or not it fits the framework of a cluster or a current mission, in order to be a driving force for proposals, e.g. for Horizon Europe, between now and the next Working Programmes (2023-2027). As members of ComOp, a governing body for collective exchanges, the Institutes' Europe officers, in cooperation with the Mirror Group coordinators, have a special role to play in promoting a European scientific culture and the CNRS's strategic priorities (COP) among the research units and individual researchers. (This point could be specified in their mission statements as a common foundation for all Institutes.) Such strategies could enable the communities that have yet to find their place in Horizon Europe to gain a foothold, acquiring the means to influence FPRI programming in the medium and long term.

#### ACTION DESCRIPTION 1.2. WIELD INFLUENCE IN EUROPE THROUGH NATIONAL NETWORKS AND PARTIES

The CNRS must promote its scientific and policy priorities among national parties and networks that can help influence the programming of Horizon Europe and other European research and innovation programmes (e.g. complementary schemes to Horizon Europe like Digital Europe and Connecting Europe Facility, or the ESIFs) as well as the structuring of the European Research Area.

- ▶ 1.2.1 / Increase involvement in the national influence networks, both thematic (national thematic groups (GTNs), NCPs, European coordination groups within the alliances, etc.) and operational (the ANRT European Research Area thematic group, etc.), both public and private, in order to publicise the CNRS's scientific and policy priorities for Europe. For the European Union unit, this means working in conjunction with the Senior Executives Office and its managerial plan in order to:
- a / Map the national influence networks and the CNRS's presence within them.'
- b / Coordinate the actions of CNRS staff members in those networks (in particular within the GTNs as well as other national coordination functions), ensuring that they have everything they need to promote the CNRS's priorities.
- c / Maintain and strengthen the CNRS's presence in the networks, anticipating upcoming renewals, mobilising the Institutes in particular in order to find volunteers, and providing assistance for the preparation of their submissions.<sup>2</sup>
- d / Raise awareness within the community of CNRS experts and executive managers regarding the advantages and relevance of a Europe-oriented professional career (through targeted training programmes).<sup>3</sup>

▶ 1.2.2 / Pursue close interactions with the MESRI (in particular DAEI and SITTAR), ANR, SGPI and HCERES in order to share the CNRS's policy priorities for the European Research Area. These interactions can also encompass actions at the national level, such as matching national and European funding (ANR, PIA4, etc.), which constitutes an important leverage point for mobilising the scientific communities. Special attention should be paid to the priorities concerning the ▶ 1.2.3 / Work with the CNRS's socioeconomic (large companies, industrial associations) and institutional (ministries, regional administrations, other research organisations) partners to refine the Centre's scientific priorities with them and enlist their help in upholding those priorities. In this regard, special attention must be paid to the Horizon Europe institutional partnerships and ESIFs.

- a / Pursue the CNRS's interactions with French industry on European issues, in particular as part of the Club Europe-Entreprises initiated by the DRE and in conjunction with the main industrial organisations (Conseil National de l'Industrie and Comités Stratégiques de Filières [National Research Council, strategic industry committees], industrial clubs of the research networks and federations, competitiveness clusters, GTNs, etc.).
- b / Forge close partnerships with key players for which the CNRS can act as the main source of pluridisciplinary expertise for responding to European CFPs (ministries, regional administrations, major corporations, etc.). A pilot project will be launched with the Ministry of the Interior, based on the cooperation already established by the IN-S2I, before expanding to full scale by developing other close collaborations.
- c / Organise one or two annual events in Brussels and Paris with the CNRS's French partners active at the European level to raise the profile of these partnerships. In the longer term, this action could lead to the creation of a network to supplement the CNRS Club Europe-Entreprises.

<sup>1</sup> Action underway at the DDCS, Managerial Plan, action 4.

<sup>2</sup> Action underway at the DDCS, Managerial Plan, actions 5 and 6.

<sup>3</sup> Action underway at the DDCS, Managerial Plan, actions 5 and 8.

ACTION DESCRIPTION 1.3. WIELD INFLUENCE IN EUROPE AT THE EUROPEAN LEVEL

The CNRS must also promote its scientific and policy priorities in Brussels among the European parties and networks that directly determine the programming of Horizon Europe and other European programmes, including the development of the European Research Area.

- ▶ 1.3.1 / Draft a rolling agenda of CNRS influence initiatives targeting European players in order to have a precise schedule and be able to request upstream any necessary arbitration or other action from the CNRS management. This sub-action will require a regular flow of information between the Brussels office and CNRS entities (service departments, Institutes, Regional Offices). In this area the European Union unit has a pivotal role to play in ensuring the steady transmission of quality monitoring on European initiatives and information (Brussels -> France) as well as CNRS initiatives on a European scale (France -> Brussels). The CNRS management must be ready to provide any arbitration needed on the priorities and influence actions to be pursued in the short and medium term (e.g. in 2021: the G6 network, the launch of the MFSIB, participation in the French presidency of the EU council). These influence actions can take many forms, either proactive or reactive:
- a / Position papers or statements by the CNRS, on its own initiative or jointly signed (MFSIB and G6). The Institutes will be consulted for scientific position statements.
- b / Arranging meetings at the highest level (Chairman and CEO, Deputy CEO for Science, Deputy CEO for Innovation, Institute directors and heads of regional offices, executive committee seconded to Brussels, etc.) both in Brussels (Parliament, Commission, ERC, RPUE) and in Paris (Commissioner, Director General, parliament members).
- c / Arranging meetings at the operational level. on key technical topics for the CNRS: meetings between the MPR/ DAJ/DRH/DCIF (depending on the need) and the legal department of the DG RTD, the ERC Executive Agency and the Research Executive Agency.
- **d** / **Organisation of high-profile events** in Brussels (conferences and discussions involving the management) or in Paris (inviting prominent European personalities).
- e / Corporate response to European Commission initiatives: get-togethers (EU Research-Innovation Days), online consultations (ERA, missions, strategic programming, association agreements, etc.).

- **f** / **Monitoring and informing the Institutes of different events** that could influence the roadmap of European programmes (meetings, workshops, forums, brokerage events, R&I days, etc.) organised by the European Commission or by the major European projects, to enable the Institutes to propose participants or speakers and increase the participation of their researchers.
- g / Pursuing interactions with European sectoral associations, in particular as part of partnerships (e.g. Circular Bio-based Europe, the Key Digital Technologies Cooperative, Connected and Automated Mobility Photonics) initiated for Horizon Europe.
- h / Selective participation in initiatives by our main partners, both French (MFSIB, alliances, CDPF, etc.) and European (G6, Science Business, Business Europe, etc.).

▶ 1.3.2 / Mobilise the expert networks within the CNRS (or affiliated bodies) that could support its influence actions. This can include experts consulted in an official capacity by the European Commission (in most cases grant recipients for collaborative projects or ERC grant laureates), expert evaluators of European projects, SNEs, SNEs in professional training and former staff members recruited by the Commission.

- a / Mobilise this community of experts and keep them apprised of the CNRS's scientific and policy priorities so that they can promote them in their professional activities.
- **b** / Monitor job openings at the Commission (in connection with action 6 of the Senior Executives Office managerial plan) and prioritise the positions considered most useful for asserting the CNRS's influence in order to publicise them and elicit applications. The CNRS staff working at the Commission can provide information as early as possible about potential job vacancies.

▶ 1.3.3 / Maintain regular contacts with parties who can be of help to the CNRS within European institutions (the European Parliament, European Commission, agencies) and partners represented in Brussels (RPUE, French and European research organisations and universities, economic and regional delegations, etc.). This will require maintaining an updated list of contacts and meeting with them regularly depending on their degree of importance for the CNRS.



# OBJECTIVE 2. SUPPORT RESEARCHERS IN THE PREPARATION AND FOLLOW-UP OF EUROPEAN PROJECT PROPOSALS

The CNRS has succeeded in initiating and developing effective support services for the preparation and follow-up of European project proposals, mobilising complementary forces within its Institutes, service departments and Regional Offices, as well as its network of managers in charge of Europe within the partnership and technology transfer departments (SPVs) and its network of European project engineers (IPEs). To improve its overall performance in European programmes, the Centre needs to step up this effort, allocating the necessary resources to strengthen its support capabilities and further improve the quality of the service provided to its researchers.

#### ACTION DESCRIPTION 2.1. STRENGTHEN THE SUPPORT MECHANISMS FOR PREPARING PROJECTS

The support mechanisms for preparing European project proposals are a key leverage point for improving the CNRS's performance in European research and innovation programmes. They not only contribute to the quality of the proposals submitted, but also encourage researchers to participate in European CFPs.

▶ 2.1.1 / Extend the deployment of financial support mechanisms dedicated to the preparation of European projects. The CNRS already has financial support channels (through the Institutes, Regional Offices, DERCI, etc.) for aiding the preparation of European project proposals (financing meetings and interactions for the purpose of forming a network, funding for consultancy fees, etc.). It would be useful to increase awareness of these mechanisms in the research units and review their deployment with the goal of extending them (e.g. to the Institutes that do not yet have them) or merging them with a national process if that seems more appropriate.<sup>4</sup>

- ► 2.1.2 / Expand and strengthen the support services for the preparation of project proposals.
- a / Incentivise the regional representatives to prioritise the recruitment of managers in charge of Europe in the SPVs (for all European projects) and additional IPEs (for coordinated projects), mobilising in particular the management dialogue with the Regional Offices.
- **b** / Strengthen inter-departmental interaction (SRH, SPVs, Contract Cells, SFC) in order to offer the research units a cooperative global service on European topics.
- c / Renforcer le travail interservices (SRH, SPV, Cellules-contrats, SFC) pour un service global offert en délégation aux unités de recherche sur les sujets européens.
- d / Mobilise complementary backup resources for drafting the projects' impact reports (e.g. the experts at CNRS Innovation and the DRE) or business plans, especially for projects concerning innovation.
- e / Review the mutualisation experiences and joint actions with our partners on the higher-education research sites in order to identify the key success factors for closer collaborations. The upcoming publication in 2021 of a CFP for the Investments for the Future Programme (PIA 4), designed to help universities develop their own resources, could encourage initiatives at several higher-education research sites to develop support capacities for the preparation of European project proposals, in partnership with the CNRS.

<sup>4</sup> These mechanisms could be granted on the condition that the candidate hold a position of responsibility equal to Work Package leader or higher. Recourse to a consultancy firm must be subject to

- f / Extend to collaborative projects the scientific support mechanism already in place for ERC projects, based on input from experienced researchers, grant recipients or former panel experts, to supplement the SPVs/IPEs in reviewing submissions. A demonstrator will be tested at a site in cooperation with a pilot Regional Office.
- g / Increase awareness of the support available from the Institutes, such as scientific reviews to supplement those conducted at the regional level by the SPVs and the organisation of mock oral examinations for the second stage of ERC submissions. The mentoring initiative offered by the ERC is also a leverage point to be activated through the ERC Mirror Group, especially for the humanities and social sciences.

2.1.3 / Be more fully involved in the consortia now being formed, in particular in conjunction with SMEs

a / Facilitate contacts and cooperation between SMEs and CNRS laboratories in order to encourage submissions to European projects, developing a multipurpose "Swiss army knife" tool set, deployed centrally through the DRE, for greater effectiveness:

- "Find an expert": extend this existing tool to searches for the purpose of forming a consortium to answer a European CFP

- "Find a partner": tool to be created, combining the DRE/Institutes/CNRS networks and integrating web tools (French, European, etc.)

- "Find funding": tool currently under evaluation (SIFT, ResearchConnect)

- b / Study the possibility of going further in helping SMEs in the preparation and/or coordination of European project proposals. The DRE develops a strategy for SMEs, but given that it is still too early to determine what can be done on the European scale<sup>5</sup>, this action will be deployed in the medium term.
- c / Establish a connection with specialists (consultancy firms) in the preparation of European project proposals, making them aware of our "range of services" (finding a skill, coordinating projects for small entities, etc.) and multidisciplinary scientific skills, as well as in collaborative projects and partnerships with businesses. This will require identifying and qualifying the relevant parties, contacting the 10 most important ones and engaging in targeted communication in the specialised press.<sup>6</sup>

the condition of clearly determining the relations with the SPV and guaranteeing high-quality submissions (the firms' "lingo", standardised methods among proposals, etc.). <sup>5</sup> An effort led by Edith Wilmart of CNRS Formation Entreprises / CFE.

#### ACTION DESCRIPTION 2.2. IMPROVE THE PROJECT IMPLEMENTATION CONTEXT

It is of vital importance to improve the context offered by the CNRS for the implementation of European projects, not only to secure the management of these projects and related funds, but also to make European CFPs more attractive to researchers. The goal here is to pursue and build on the actions carried out through the RCE (the Ressources Office's network of Europe officers) in order to address legal, HR and funding issues related to the projects.

► 2.2.1 / Improve the quality of service for the management of European projects

- a / Continue mobilising the network of Regional Office Contract units (videoconferences, exchange aliases, CORE sites, etc.) in order to share and promote best practices, in particular based on the continuous improvement approach for research projects.
- b / Improve the integration of ABS Cell (Nagoya Protocol)<sup>7</sup> and DDOR themes (DMP, Open Science) in the support mechanisms for European projects.
- c / Initiate economic intelligence monitoring.
- d / Strengthen the actions of the ESIF cell in charge of regional funds (ERDF, Interreg).

► 2.2.2 / Take action to simplify standards and ensure secure project management

- a / Highlight the quality of the CNRS's management among the teams (as an incitement to choose the CNRS when possible), especially concerning the Centre's commitment to the best European standards in human resources (HRS4R certification) and managerial reliability (the CNRS manages the largest number of projects, with near-zero audit error rates: security for the teams and funds).
- **b** / Implement a new reference system, as simple and accessible as possible, for Horizon Europe rules and practices, updating the tools and guides in the CORE site and making them accessible to everyone involved in European actions within the CNRS, improving communication and conducting studies to revise the information guidelines on the transfer of equipment.
- c / Take action to implement a strategy for handling complex topics, in particular to promote the eligibility of expenditures in relation to the platforms in European contracts (participation of platforms, animal facilities, clean rooms, etc.).

<sup>6</sup> Consultancy firms are also sought out by businesses for help in coordinating projects. The CNRS must become a privileged contact for the most important (or largest) firms so that they always come to us for academic, especially pluridisciplinary, expertise.

- d / Implement the recommendations from European Commission audits in order to secure the funds received and the personnel concerned by external audits.
- e / Initiate a rethinking of the rules applicable to missions undertaken as part of European projects, in order to pinpoint the problems that arise, especially when the relevant CNRS rules differ significantly from the practices in force within European consortia, and to identify any other effect that could be detrimental to the CNRS's attractiveness as a manager of European funds.

► 2.2.3 / Deploy new tools to facilitate the management of European projects (digitisation, automation), including a new time monitoring device (merger of Agate / Tempo), a new project proposal preparation system (as part of the FTAP's USER FIRST project) and a study for the development of a justification procedure.

▶ 2.2.4 / Introduce coaching tools for communication (in a kit) on the Intranet and supply a "toolbox" for the Institutes and Regional Offices' SPVs presenting the various possible communication actions (with a price list) in order to help them fulfil the communication aspect (entrusted to the Dir-Com). The preparation kits already available in a few Regional Offices should be made available to the others.

### ► 2.2.5 / Expand and improve awareness of the CNRS's training opportunities for European programmes

- a / Open the CNRS training sessions, especially those organised by the MPR and DERCI, to all personnel working on European affairs (European Union unit, SPV, SFC, Institutes, IPE, etc.).
- b / Enlarge the CNRS's range of training programmes on European activities, in particular concerning the management of European projects and targeting new ERC projects leaders with regard to recruitment and team management.
- c / Study the feasibility of integrating the various training programmes on European activities into a single global offer, making them more comprehensive, more visible and more appealing within the CNRS (targeting those in charge of European actions, including unit directors and researchers).

<sup>7</sup> Adopted in 2010 at the 10th Conference of the Parties to the Convention on Biological Diversity, the Nagoya Protocol on Access and Benefit Sharing (ABS) specifies the international framework of the mechanism for Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilization.

# **OBJECTIVE 3. ENCOURAGE ENGAGEMENT IN EUROPE AND SUBMISSIONS TO** EUROPEAN PROGRAMMES

Considering the CNRS's very high success rates, increasing the number of submissions emerges as one of the major focal points for improving its performance in European programmes. In addition to support for project preparation (action 2.1), incentivising researchers to submit proposals is a vital leverage point, especially for first-time submitters<sup>®</sup>



#### **OBJECTIVE 3. ENCOURAGE ENGAGEMENT IN EUROPE AND SUBMISSIONS TO** EUROPEAN PROGRAMMES

#### ACTION DESCRIPTION 3.1. DEVELOP THE INCENTIVE MECHANISMS FOR EUROPEAN ENGAGEMENT

The CNRS has had HR incentive mechanisms since 2016 for ERC grant winners and European project coordinators. The purpose of this action is to study and implement ways of strengthening and supplementing these mechanisms. It will also be essential to allocate resources for regular evaluations of the action's impact on European project submissions within the CNRS, as part of a continuous improvement approach.

► 3.1.2 / Offer an internal funding mechanism within the CNRS for proposals deemed excellent by the European review panels but not granted funding, to reward the risk-taking associated with submissions and provide encouragement after an initial setback. This mechanism, which is ▶ 3.1.1 / Strengthen the HR incentive mechanisms for renon-redundant with existing ones, could be based on the searchers and ITA staff, including individual bonuses and "label of excellence" established by the Commission for Hoallowances, career management tools (hiring, upgrade and rizon 2020, or on the reserve lists, which distinguish projects promotion conditions) and the hosting of academic deleworthy of funding that were not selected due to budget gations.<sup>9</sup> The MPR/DDCS/CM-EU working group carries out constraints." For submissions to the ERC, with no additioan evaluation of the existing mechanisms and formulates nal evaluation, one solution would be to allocate a one-year concrete proposals for extending and strengthening them, endowment to the best non-funded proposals from the in particular for participants in and leaders of collaborative CNRS in order to launch the projects, upon the condition projects and those engaged in European activities: that a new European submission be filed at the first opportunity. For collaborative projects, CNRS funding could pay for meetings with the partners (travel, workshops, etc.) in and administrative activities related to Europe (participaorder to sustain the network and prepare a new submission.

- a / Rewarding the efforts of CNRS personnel in managerial tion in European projects in a role equal or superior to that of work package leaders, support for project leaders, project engineering, etc.), whether they are working in their regular position, seconded or on loan: recognising the European dimension in the career mechanisms for engineers and technicians (promotion / internal examinations / professional selection) and for researchers (in relation to panels, review of the criteria concerning new professions), as well as in the compensation policy.
- b / Coverage through the national financial reserve fund of the replacement of personnel on loan to entities linked to European activities.
- c / Specific support for returning CNRS personnel after being seconded or on loan, and recognition of their accomplishments (via the Senior Executives Office / DRH).
- d / Academic delegations: rethink the degree of priority accorded to European project leaders, in connection with the Institutes' evaluation scales.<sup>10</sup>

\* The survey conducted by IGF-IGAENR-CGEIET (National Council on the Economy, Industry, Energy and Technology) as part of their 2016 report (p.14/26) tended to indicate that there was no problem of submission procedures being abandoned once they have been initiated (90% of the businesses and research units that initiated procedures followed them through to the submission of a proposal) and that more than 80% of the public laboratories and businesses that had already submitted a proposal intended to submit again - a figure that exceeds 90% for grant winners. <sup>9</sup> Since the 7th PCRDT (framework programme for research and technological development), the CNRS has extended its ISFIC (specific allowance system for functions of common interest) to ERC grant laureates, and has introduced an equivalent mechanism for coordinators of multi-partner projects for H2020. The IGF-IGAENR-CGEIET survey (p. 447) tended to indicate that participation in European projects is not perceived by researchers in France as beneficial for their careers: only 25% of those who have undertaken procedures to submit to a European CFP felt that it had advanced their career.

<sup>10</sup> Figures for 2019: 726 delegation hostings granted, including 38 for academic delegations seeking to prepare European project proposals (the target set by the COP is to grant a number of hostings equivalent to 50 full-time jobs). <sup>11</sup> Established in 2015, the "label of excellence" applied in H2020 to the EIC Accelerator Pilot (former SME instrument, with a specific label for projects concerning COVID-19), to the individual Marie Skłodowska-Curie Actions (MSCA) fellowships, and to Teaming.

e / Integrate SNEs in the Cadres Hauts Potentiels (high-potential executives) programme of the Senior Executives Office managerial plan.

This action will require a benchmark on the forms of support implemented for such projects by other countries (Germany, the Netherlands, etc.) as well as a feasibility study with the DGDS and the Brussels office. In particular, it will require determining which Horizon Europe CFPs are associated with the label of excellence and what other channels are possible, based on the evaluations of the FPRI panels, as well as defining the selection processes and estimating the financial resources needed for a high-profile action. In addition, action must be taken to reconcile the desire to support the priorities of Horizon Europe, with that to retain a funding capacity separate from the initiatives already covered by the FPRI. A dialogue with the ANR would be useful, to get their feedback and advice on this type of mechanism.

▶ 3.1.3 / Strengthen the role of certain existing CFPs within the CNRS as springboards for preparing submissions to European programmes. The existing CFPs within the CNRS each have their own purpose. Some of them could be used more as incentive mechanisms for the preparation of European project proposals. This action will require a preliminary study with the CNRS departments that handle internal CFPs (DGDS, MITI, DERCI, Institutes, etc.) to study the feasibility of several options:

- **a** / **Position certain CNRS CFPs as seed funds** for preparing a submission to a European CFP, integrating the European perspective of the proposed projects in their selection criteria. This would also help identify projects with potential for European submissions.<sup>12</sup>
- **b** / Redefine certain CNRS international CFPs (e.g. IRPs or IRNs), in particular for projects involving multilateral collaborations in Europe, to make them catalysts of European project proposals.
- c / Align certain CNRS CFPs more closely with the structure of European calls, in keeping with their specific characteristics, for example by increasing the focus on the project's impact (especially socioeconomic) or the attention paid to publicising the results – bearing in mind that not all Horizon Europe CFPs are compatible with the concept (in particular the ERCs). The recipients of CNRS CFPs could also be asked for a deliverable on the projected follow-up to their research, especially at the European level: European CFPs and pillars to be targeted, consortia to be formed, etc.<sup>13</sup>

<sup>12</sup> This is the case<sup>,</sup> for example<sup>,</sup> for the CNRS-University of Tokyo "Excellence Science" Joint Research programme An example could be taken from the ANR's MRSEI ("Setting up European and/or International Scientific Networks") programme for financing the formation of coordinated transnational networks by French researchers in order to facilitate submission to European programmes.

<sup>13</sup> This is the case, for example, for the above-mentioned joint CFP with the University of Tokyo

#### ACTION DESCRIPTION 3.2. IMPROVE COMMUNICATION AND HIGHLIGHT SUCCESSES

Internal and external communication is another key leverage point for informing researchers of calls for proposals and encouraging them to submit. Large-scale communication operations have been undertaken to highlight the CNRS's results in European CFPs, especially its position as the number one European research institution in terms of ERC funding. Today, with the launch of Horizon Europe and as France prepares to assume the presidency of the European Council, our goal is to implement an ambitious and effective **national communication strategy**. Its aim will be to explain the operating principles and potential benefits of Horizon Europe as well as the related CNRS support mechanisms, and to publicise the Centre's results (ERC, MSCA, collaborative and innovation projects) based on first-person accounts and success stories.

It will require close coordination between the DirCom and the DERCI, with a single contact point in the European Union unit for the rapid and reliable provision of (1) the timetables for the CFPs and their results, (2) the projects that have been selected upstream (verified dossiers, affiliation with the CNRS Institutes, etc.), (3) an overview report at the end of the year comprising a statistical analysis, special focus on a few projects, a review of the main topics covered, plus a more strategic analysis with data, and (4) high-profile projects that the EU and/or the CNRS should publicise.

▶ 3.2.1 / Explain and clarify European programmes and the CNRS's support for submissions. The CNRS communication strategy must clearly explain the operating principles and timetable of Horizon Europe (how does it work?) as well as the benefits for researchers and units of submitting proposals (why submit to a European CFP?), taking inspiration from the work now in progress for the creation of a portal for research units and their management. It should also highlight the CNRS European strategy, its range of coaching services for the preparation and management of project proposals, and links with other oversight / management bodies, (who does what?). The newly revamped Pillar 3 of Horizon Europe will deserve a specific communication effort to keep the research units fully apprised.

- **a** / **Revise the website erc.cnrs.fr,** which offers a presentation of the ERC and references the contacts for preparing a submission.
- b / Raise awareness of the ERC during newcomers day (Journée des Nouveaux Entrants) and within collaborative projects.
   g / Social networks: an ERC CNRS hashtag; hashtags to be created for each Pillar of Horizon Europe; a procedure for explaining communication (when and why) to grant-winning researchers.
- c / Announce European CFPs on Internet media (newsletters, Intranet, cnrs.fr, etc.).
- d / Create a website for collaborative projects and pages for the CNRS's partners in European programmes.

▶ 3.2.2 / Highlight successes (accomplishments and concrete results) within and outside of the CNRS. Leaders of ERC and collaborative projects are required to communicate on their research and their results. Handled by the DirCom with the support of the DERCI's European Union unit, the CNRS's communication strategy can help publicise the winning projects of CNRS researchers, highlight their results with an annual statistical report, and spotlight certain high-profile projects. a / In the press:

- A list of the projects selected in each session as soon as it is published, announced via CNRS Info or a press release
- At the end of the year, a more comprehensive report on certain high-profile projects, or a report on each discipline
- Information and acculturation actions for French journalists to make them aware of and familiar with the workings of European programmes, as well as with the related funding, support and calls for proposals: press conferences, training sessions through the French Association of Science Journalists (AJSPI), press tours of the Brussels office, etc.
- **b** / **CNRS Info:** publication of the list of projects selected in each session as soon as it is released (on identical, identifiable templates).
- **c** / **Newsletters:** depending on the nature of the projects, articles in the Lettre du CNRS, CNRS La Lettre Innovation and systematic republication in CNRS Hebdo and the Lettre Interne.
- **d** / **Internet:** an ERC page on cnrs.fr; a collaborative projects page on cnrs.fr; a "website factory" to be shared with winning researchers to allow them to create their own project site; practical information on the Intranet: how to communicate on your project.
- e / CNRS Le Journal: articles depending on the nature of the projects; a European projects blog, success stories, or a European projects section uniting all the articles.
- f / CNRS images: production of a short film on European projects; films/photos depending on the project.

## OBJECTIVE 3. ENCOURAGE ENGAGEMENT IN EUROPE AND SUBMISSIONS TO EUROPEAN PROGRAMMES

- h / Events and mediation: create an institutional event on the ERC/Launch of the Horizon Europe programme; CNRS Com'Lab (DirCom) backing for appropriate projects; entice more European project grant recipients to participate in Forum-type events; organise more special events on European projects in the Regional Offices / Institutes in order to raise their awareness of possible communication actions (see action 3.3).
- i / Applications / hiring: incorporate the CNRS's European strategy in the communication on job openings, to attract an even greater number of foreign researchers.

#### ACTION DESCRIPTION 3.3. ENCOURAGE THE RESEARCH UNITS, REGIONAL OFFICES AND INSTITUTES TO DEVELOP MOBILISATION STRATEGIES TARGETING EUROPEAN PROGRAMMES

Effectively incentivising researchers to submit proposals requires mobilisation at every level of the CNRS (research units, Regional Offices, Institutes) in order to promote close collaboration in the regions and on-site as well as adaptation to the specific characteristics of each discipline. This network will play a crucial role in informing, identifying, incentivising and advising researchers not only to prepare European projects, but also to evaluate them (a very useful experience for mounting future programmes), to take responsibility for a work package in a European scheme (often a first step for understanding the administrative workings and applying to be a coordinator of a European project) or to take on SNE-type functions within European governing bodies. The purpose of this action is to strengthen the capacity for action at these various levels and ensure that they complement one another.

► 3.3.1 / Provide the research units, Regional Offices and Institutes with a system for monitoring European CFPs and profiling ERC candidates in order to enhance their capacity to identify opportunities and elicit projects within their communities.

- a / Implement a customisable monitoring tool to quickly identify CFPs (European and other) of potential interest to specific researchers according to their fields of expertise, and which they can use to develop a strategy for accessing funding (applying to a one-stop shop for a leverage effect on the European scale, for post-European project funding, etc.). This tool could be made available (for a fee) to the units and regional offices after a pilot phase in order to ensure its utility and effectiveness (for example with the DR04, whose partners at the Saclay site have a similar project).
- **b** / Deploy the tool for identifying and profiling potential ERC candidates developed by the DR08, for example, which, after a pilot phase, could be expanded to the SPVs and Institutes that have the scientific expertise needed to identify high-potential candidates.

▶ 3.3.2 / Adopt the CNRS's European performance goals at the scale of the research units, Regional Offices and Institutes, asking them what actions they plan to implement at their level that will help the CNRS reach its goal of increasing by 25% its performance in European programmes (COP 2019-2023), and conducting yearly reviews of the implementation and results of those actions. The ComOp should be mobilised for these initiatives.

<sup>14</sup> As mentioned in the IGAENR/IGF/CGEIET report (2016, p. 438), profit sharing mechanisms could benefit the research units according to a "performance bonus" in addition to the recurring funds allotted by the supervisory authorities (e.g. AMU).

- a / Integrate an additional "Europe" training module for new unit directors and Europe officers in the research units.
- b / Mobilise the objectives-resources dialogue ("DOR") with the research units, making discussion of the European dimension a standard feature (with the presence of representatives from the Institutes and Regional Offices) and including incentive measures - e.g. bonuses - in proportion to their level of engagement in Europe14. In particular, the DOR must ensure the presence of a Europe officer in all research units (possibly sharing the same person with another unit) to enable the latter to provide personalised orientation for their researchers, creating a synergy with the SPVs and the Institutes' technology transfer / Europe officers. These Europe officers could help identify the scientists who want to get involved at the European level and bring them to the attention of the Institutes and Regional Offices, thus triggering the support mechanisms for helping them submit a European project proposal, join an expert committee, become a European evaluator or apply for a job related to Europe, in France or in Brussels.
- c / Organise the mobilisation of this network of Europe officers through the SPVs, sharing best practices for orienting researchers towards the most promising CFPs, based on the business developers model or on personalised advice for researchers. While this is already a major aspect of the SPVs' mission, the Centre lacks sufficient human resources to perform this function on a mass scale.
- **d** / **Mobilise the Institutes** to develop European strategies on their scale, relying on their Europe officers and more generally their Deputy Scientific Directors (see action 1.1.2).

► 3.3.3 / Introduce information and awareness events for the Institutes and Regional Offices, taking a corporate approach.

a / Take advantage of the events programmed by the Institutes (unit directors days, newcomers day, etc.) to present the CNRS'S European strategy, its action plan and the Institutes' priorities, while ensuring to invite everyone involved in European projects (Brussels office, SPVs, SFCs, IPEs, etc.).

- information and awareness events for researchers, with their higher education-research site partners and featuring presentations by researchers who have won European grants, in order to offer a scientific and technical approach to European CFPs.
- b / Strengthen the Regional Offices' capacity to propose c / Organise webinars in conjunction with the MITI (and the internal organisation initiated for the COP challenges) based on a cluster or a mission, in order to map potential submissions, identify possible collaborations, and raise awareness of the various thematic CFPs (with virtual mode making it possible to reach the widest audience).

# **APPENDIX: LIST OF ACRONYMS**

ANR

CDPF

CFP COP

DDCS

DDOR

DERCI

EPM ERC ERDF

ESFRI

ESIF

FPRI

GDR

GTN

ΗE HERI

IGF

IPE

ITA

MESRI

MFSIB

MG NCP PAPFE

RPUE

SME

Hcéres

IGAENR

INTERREG

National research agency (Agence
Circle of French permanent delega Call for proposals
Objectives and performance cont
Senior Executives Office (Direction
Open Research Data Department
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European project manager European Research Council
European Regional Development
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