EMPIR – Capacity Building
Research Potential Projects Guiding Principles

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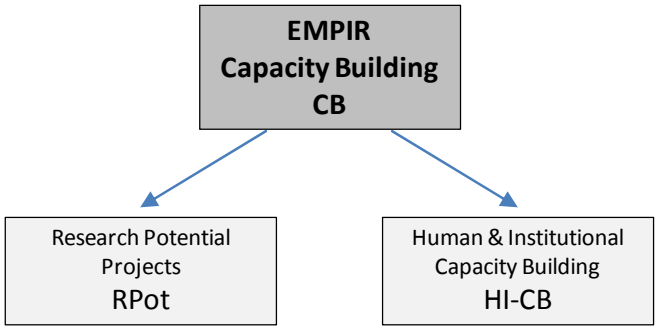
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1. EMPIR Capacity Building Overview:

Based on the EMPIR proposal from 12 October 2012, and on subsequent discussions in the BoD, the EMRP-Committee and the FG-FNMID since then, the proposed **Capacity Building** (CB) in EMPIR currently comprises:

A) **Research Potential Projects (RPOT):**
JRP-type projects for the development of research capabilities in NMIs and DIs

B) **Human & Institutional Capacity Building (HI-CB):**
CB projects and activities for the consolidation of the metrological core competence of NMIs and DIs



This document addresses the guiding principles of Research Potential Projects (RPOT).

2. Objective of Research Potential Projects (RPOT):

The objective of RPOT as a CB instrument is the development of the potential for metrology research and/or the establishment of a competitive metrology infrastructure, responding to an existing gap in emerging EURAMET member countries or regions.

One specific aim is that as a result of RPOTs, participating organisations would have the capability to eventually participate in EMPIR JRPs should they choose to do so, and this might eventually provide input to other aspects such as research, innovation and patenting.

3. Scope and topics for RPOT

RPOTs should address the following aspects:

a) **Demand orientation**
b) **European Dimension**: develop metrology potential needed in a European context.
c) **EURAMET collaboration**: make use of EURAMET internal expertise and infrastructure, to provide an appropriate internal knowledge transfer to emerging members (rather than “buying in” from outside).

d) **Horizontal coordination** among emerging EURAMET members with the aim to develop new metrology infrastructure in a coordinated way ("smart specialisation").
e) **Critical mass**: project dimension should justify coordination between several NMIs and bring the expertise of the partners together.
f) **Impact**: significant improvement of measurement capability and quality on a national or European level as a result of the project.

RPOTs should include at least some research and development activities. In this respect they differ from technical assistance nature of cooperation, however they do not need to address fundamental scientific challenges. A crucial element of RPOT is the collaboration of emerging NMIs/DIs with experienced NMIs/DIs, the latter ones assisting the emerging institutes in establishing their metrology capabilities and potential for metrology research.

RPOTs should demonstrate elements like needs-analysis, impact, technology know-how transfer, possible support to pre-normative research, "smart specialisation", whenever possible.

Suggestions on the call scope for RPOT will be made by the FG-FNMID[1]. The call scope will be developed by the SC-CB[2] taking into account information from stakeholders, the FG-FNMID, the EMPIR Committee, and others. The decision on the scope is the responsibility of the EMPIR Committee.

It is currently anticipated that the first call for RPOT would be in 2014 (decision at the 15th EMRP-Committee Meeting, 30/31 May 2013).

The call for ideas and identification of needs at Stage1 is open to any organisation from any country in the world. It is anticipated that a number of ideas for RPOT topics will be identified and submitted from within the FG-FNMID, but submissions should also be encouraged from TCs, individual NMIs/DIs and others[3] It is recommended that ideas coming from the FG-FNMID should be discussed also within the TCs, whenever this is reasonable, but in particular when a potential overlap with running or upcoming calls for JRPs is identified..

4. Participation in RPOT

Participation in RPOT is open to all EURAMET NMIs and DIs, plus suitable external organisations where appropriate, however the basis and funding for participation will vary depending on the type of organisation and whether or not the organisation's country is a member of EMPIR and providing a national commitment.

4.1 RPOT-participation on contractual basis:

Participation in RPOT on a **contractual basis** is as follows:

a) ***Funded "internal" RPOT-Partner*** – EMPIR member NMI or DI, jointly funded by the EC EMPIR "internals" funding pot and their national commitment, see http://www.euramet.org/index.php?id=1904.
b) ***Funded "external" RPOT-Partner*** – An "external" organisation, jointly funded by the EC EMPIR "externals" funding pot and the "externals" own organisation.
c) ***Unfunded RPOT-Partner*** – Any organisation from Europe or beyond, that is not eligible for EC EMPIR funding (either a EURAMET NMI or DI that is not an EMPIR-member or an eligible "external" organisation) or an organisation that chooses to participate on an unfunded basis. All these organisations may be funded from their own resources and / or by an "external" body.

Note: Funding from a) and b) is mutually exclusive - the JRC will be eligible for funding from b) but not a).

[1] FG-FNMID: Focus Group for "Facilitating National Metrology Infrastructure Development"
[2] SC-CB: EMPIR Sub-Committee for Capacity Building
[3] Initial ideas for topics have already been suggested by the FG-FNMID at its meeting on 4/5 November 2013.

It is anticipated that funded "external" participation in RPOT, according to (b):

- Is likely not to exceed 5 % overall.
- Should only be funded from the EC EMPIR "externals" funding pot where there is a significant benefit to the RPOT and where the organisation brings key and significant expertise related to capacity building ie they should be a key provider into the RPOT and not a beneficiary of the outputs.

All organisations participating in RPOT on a contractual basis must:

- Be a legal entity and validated by the European Commission's URF (or any similar system or requirement introduced for H2020).
- Record and account for their costs in a manner that meets all requirements and eligibility criteria of the European Commission and EURAMET.
- Be able to receive, handle and account for any funds they receive from EMPIR.

4.2 Collaborators

Any appropriate organisation can also be associated with RPOT on a **non-contractual basis** as a collaborator or stakeholder. **Collaborators** might

- Attend the kick-off meeting with public part (stakeholders, users, beneficiaries),
- Attend a dissemination event during or at the end of the project,
- Attend an "Advisory group" with regular meetings,
- Provide input to needs analysis.

4.3. Conditions for RPOTs

An RPOT project

- must include a minimum of 3 funded "internal" RPOT-Partners from at least 3 different countries.
- should be coordinated by a funded "internal" RPOT-Partner.
- is expected to be smaller than a JRP
- Is not intended to fund significant capital equipment from EMPIR. It is expected that equipment is already available or is funded from an organisation's own resources or by another external body.

5. Evaluation and selection of RPOTs

The RPOT call should be competitive at all stages e.g Proposed / Selected CB Topics (PCBT/SCBT) and RPOT, in the same manner as for the JRPs. It is expected that some proposals will be unsuccessful at each stage of the call process. RPOTs will only compete against themselves and not directly against JRPs.

RPOTs will be evaluated against the 3 standard criteria (scientific / technical excellence, impact and implementation) defined by the European Commission for Horizon2020. Guidance / points to consider will need to be developed for interpretation of these 3 criteria for capacity building.

RPOTs will be evaluated by independent referees as required by the European Commission. The RPOT referees will be responsible for establishing a ranked list of RPOTs.

It is suggested that the RPOTs should be evaluated remotely, with the possibility of a plenary face-to-face session of the referees to establish the ranked list (possibly during or adjacent to the Review Conference). This is considered at least for the first RPOT-call, which has some kind of pilot character, with the aim to harmonise criteria among the referees.

The EMPIR Committee will be responsible for establishing the funding line on the ranked list of RPOTs.

The process for proposing potential RPOT referees to the referee database will be the same as for the JRPs.

As with the JRPs, potential referees should have relevant capability and experience, be independent of the proposers and have no conflict of interest with the proposers or proposed RPOTs.

The selection of the referees for the evaluation of RPOTs will follow the same process as for the JRPs, with support from the MSU.

6. Call process for RPOT

It is anticipated that the call process for RPOT will be the same or very similar to that for the JRPs and is likely to follow the same or very similar time schedule.

The RPOT call will be a 2 stage process, with a stage 1 call for ideas / identification of needs and stage 2 a call for full project proposals.

The entire call process for RPOT will be managed and run by the MSU in the same or similar manner as for the JRPs.

It is anticipated that the Secretariat will provide advice and support to proposers in developing their proposals and will liaise with the FG-FNMID. This will be an enhancement of the role the TP-Facilitators provide to traditional JRP proposers.

The split of responsibility between the MSU and Secretariat is proposed to ensure that there is no conflict of interest and that there is an appropriate “firewall” between supporting of the development of RPOT proposals (e.g. by Secretariat) and running the call process and coordinating the review process (e.g. by the MSU).

More details of the call process and responsibilities are included in the table in Annex A.

7. Governance

All processes related to RPOT should be undertaken in a transparent, fair and open manner that meets the requirements and expectations of both the European Commission and EURAMET. Any persons / bodies involved in the call or selection processes are required to operate with strict impartiality. Responsibilities and processes should therefore be established to facilitate this and avoid any conflict of interest.

The overall funding rules for EMPIR shall apply for RPOTs.

The following bodies participate in the call process, generation and administration of RPOTs:

1) EMPIR Committee
2) SC-CB: EMPIR Sub-Committee for Capacity Building
3) MSU: EURAMET EMRP Management Support Unit (Teddington)
4) FG-FNMID: EURAMET Focus Group for Facilitating National Metrology Infrastructure Development
5) Secretariat: EURAMET central Secretariat (Braunschweig)

7.1) EMPIR Committee

The EMPIR Committee is the overall decision making body for EMPIR, including for RPOTs. The EMPIR Committee will be responsible for

- Approving the initial budget for the RPOT call.
- Overseeing the development of the call scope by the SC-CB.
- Approving the final call scope.
- Approving the list of SCBTs for CB.

- Establishing the funding line on the ranked list of RPOT.

7.2) SC-CB

The EMPIR Committee will establish a sub-committee for capability building (SC-CB) with similar roles and responsibilities to the existing sub-committee for research (SC-R). The SC-CB would comprise members from the EMPIR Committee, plus representatives of the FG-FNMID and external advisor(s) with expertise in CB, if considered appropriate.

The convenor of the SC-CB should be an EMPIR Committee member.

The SC-CB is responsible for:

- Preparing the scope for RPOT-calls, taking into account information from stakeholders, the EMPIR Committee, the FG-FNMID, and others.
- Sifting the PCBTs
- Preparing SCBTs, with support from the MSU

7.3) MSU

The MSU is responsible for the administration of the call process at all stages. It is in particular supporting the

- Receiving the PCBT submissions
- Supporting the SC-CB in the sifting of PCBTs
- Preparation of SCBTs jointly with the SC-CB
- Receiving proposals for RPOT
- Communicating with referees
- Arranging and facilitating the evaluation of RPOTs
- Preparation of the information for the EMPIR-Committee for decision making on RPOTs to be funded
- Contract negotiations

7.4) FG-FNMID

The FG-FNMID will have a role similar to the role of the TCs for the JRPs, including discussing and proposing needs, input to the scope of RPOT calls, facilitating the generation of ideas for PCBTs and supporting the establishment of project consortia for RPOT. The FG-FNMID should collaborate closely with other bodies such as the EURAMET Technical Committees, and the Secretariat.

The FG-FNMID has established a dedicated working group to address CB related matters.

7.5) Secretariat

The Secretariat in Braunschweig (not MSU) is supporting the FG-FNMID in its activities within RPOT. It is anticipated that the BS Secretariat will provide advice and support to proposers in developing their proposers and will liaise with the FG-FNMID. Furthermore, it will support NMIs and DIs in forming RPOT consortia and drafting the RPOT proposals. This will be an enhancement of the role the TP-Facilitators provide to traditional JRP proposers.

The MSU will support whenever needed (e.g. clarifying eligibility or contractual issues, etc.).

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Annex A: Overview on RPOT call procedure and analogy to JRP call procedure

When?	Step	JRP: Who?	RPOT: Who?	RPOT: Support needed?	Support by whom?	Comments
Before Nov	Preparation of call scope	EMPIR-Com	FG-FNMID, in discussion with SC-CB	No	---	
Nov	Approval of call scope	EMPIR-Com	EMPIR-Com	No	---	
Feb	Publishing call for PRT/PCBT	MSU, Secretariat	MSU, Secretariat	No	---	
Feb/Mar	Proposals for PRT/PCBT	Any person including stakeholders from any country worldwide	Any person including stakeholders (from any country worldwide)	Identifying needs for CB and appropriate PCBT	FG-FNMID TCs Secretariat	Process need to be open!
Apr	Sifting PRTs/PCBTs to identify SRTs	SC-R (support from MSU)	SC-CB incl. external experts (support from MSU)	No	---	Quality assurance. Selection needs to be competitive.
Apr	Preparing SRT/SCBT	SC-R + MSU	SC-CB + MSU	No	---	Quality assurance
May	Decision on SRT/SCBT	EMPIR-Com	EMPIR-Com	No	---	
Jun	Publishing Call for JRPs/RPOTs	MSU	MSU	No	---	
Jun	Preparing project proposals	Consortia of NMIs + DIs	Consortia of NMIs + DIs	Help desk for - Partnering - Questions on drafting	BS Secretariat (BS) MSU to provide support regarding questions on the process, as for the JRPs.	

When?	Step	JRP: Who?	RPOT: Who?	RPOT: Support needed?	Support by whom?	Comments
Jun/Jul	Receiving project proposals	MSU	MSU	No	---	
	Establishing the pool of referees for the call from the database	Deputy EMPIR-Chair	Deputy EMPIR-Chair		MSU	
	Selection of referees from the pool	EMPIR-Chair	EMPIR-Chair	No	---	
Sep/Oct	Evaluating project proposals	External referees (Review-Conference)	External referees (remote plus possible plenary meeting)	Help desk for external referees (as per the JRPs)	MSU	1st call with meeting of evaluators to support interpretation of evaluation criteria
Oct/Nov	Preparation for decision making	MSU	MSU	No	---	
Nov	Funding decision	EMPIR-Com	EMPIR-Com	No	---	
Jan	Contract negotiations	MSU	MSU	No	---	

Annex B: Terminology

CB	Capacity Building
HI-CB	Human & Institutional CB
JRP	Joint Research Project
MSU	Management Support Unit for the EMPIR
PCBT / SCBT	Proposed / Selected CB Topic
PRT / SRT	Proposed / Selected Research Topic
RPOT	Research Potential Projects
SC-CB	EMPIR Sub-Committee – Capacity Building
SC-R	EMPIR Sub-Committee – Research
EMPIR member	EURAMET member country which has made a national commitment to EMPIR.