

European Commission



Guidance notes

Expressions of interest for the needs ...

- **of research**
- **in support of research infrastructures**

“How to prepare supporting documents”

Edition March 1999



COMPETITIVE AND SUSTAINABLE GROWTH

Guidance on “how to prepare supporting documents”

These guidelines provide additional information to aid in the preparation of expressions of interest of needs in relation to the Competitive and Sustainable Growth Programme.

Reference should also be made to the “Work programme” and the “Guide for Proposers” March 1999 (Part 2 section V.2.3 and Appendix 6 section 3: Evaluation Guidelines for Topics of the Expression of Interest, and section 4: Evaluation Questionnaire for topics of the “Expressions of Interest” for RTD projects).

Call for “Expressions of Interest”

In this context the “Expressions of Interest” is a mechanism that enables the GROWTH programme to focus on specifically identified needs related to research or research infrastructures for Europe. The process is described in the flow chart that follows. The mechanism provides a flexible and efficient approach both in targeting resources towards the most important needs in pursuit of the Community’s objectives and in assisting eventual project proposers by ensuring that their efforts are directed towards those needs.

Interested parties can send to the Commission their research related needs as topics they would like to see developed, provided they are within an area covered by the “Expressions of interest” call. The topic must be presented as a brief but structured *supporting document* as described below.

The *supporting documents* received by the Commission that are within scope are evaluated periodically by external experts. The evaluation will be made on the basis of the programme priorities, objectives and available budget, and the clarity of the supporting document. The selected priority topics are published in a second stage in the Official Journal of the European Community as a “Dedicated Call” for proposals (typically twice a year). The *supporting documents* of the published priority topics are made available to all interested parties to prepare and target their proposals in open competition.

The Call for “Expressions of interest” is applicable to the following R&D and Networking activities of the *Competitive and Sustainable Growth Programme*:

- **Methodologies in support of European standardisation (R&D)**
- **Methodologies in support of the fight against fraud (R&D)**
- **Feasibility studies for certified reference materials (R&D)**
- **Support for research infrastructures (Networking)**
 - *Support activities to medium and large-scale facilities*
 - *Setting up of virtual institutes*
 - *Reference databases*
 - *Measurement and quality management infrastructures*

Note: the eventual submission of an actual project/network proposal under the publication of a dedicated call that follows the expression of interest will be based on the *supporting document* submitted at this stage. The proposal(s) will be judged against both the requirements of the *supporting document* and against the criteria given in Part 2 of the “Guide for Proposers” as any other research or network proposal.

Expression of Interest requirements

Elements of the submission of the “Expression of Interest”

The submission of a topic for the “Expressions of Interest” call should comprise the following elements:

1. The attached administration form with name, institution, address and other co-ordinates
2. The *supporting document*
3. The attached Acknowledgement of Receipt
4. Additional documentation (if any).

The text of the *supporting document* must be anonymous.

Submission of the topics for the “Expressions of Interest”

All topics for the “Expressions of Interest” call must be submitted in paper form, with a copy (including administration information) on floppy disk, preferably in “word” format, to the Commission. Direct electronic submission is not possible.

Addresses for submission of topics for the “Expressions of Interest”

Please, to facilitate the final destination, indicate “Expression of Interest” on the envelope

The address to which topics must be submitted is, *by post*, preferably registered, as confirmed by the postmark, to:

*European Commission
DG XII-C.0 – GROWTH 1999
The Research Proposal Office (ORBN 8)
Rue de la Loi/Wetstraat 200
1049 Brussels, Belgium*

by courier or hand delivery, as confirmed by acknowledgement of receipt, to:

*European Commission
DG XII-C.0 – GROWTH 1999
The Research Proposal Office (ORBN 8)
Square Frère Orban Square 8
1000 Brussels, Belgium*

Topics will be evaluated in batches, typically at intervals not exceeding 6 months.

Indicative dates for evaluation of expressions of interest in 1999 are May, July and December.

Deadline for submission of topics for the “Expressions of Interest”

The final deadline for receipt of topics for the “Expressions of Interests” in Programme III of the Fifth Framework Programme is:

30th April 2001.

Topics sent by express courier service or delivered by hand must arrive by the deadline given above. Topics sent by mail must be clearly postmarked before the deadline, and then must arrive no more than 10 working days after.

Support for proposers

Programme Information desk

The address of the GROWTH Programme Infodesk is:

E-mail: growth@dg12.cec.be

Phone: +32 2 295 23 45

Fax: +32 2 296 80 72

Web-site: <http://www.cordis.lu/growth>

The desk is manned 09h00 – 17h00 (Brussels), Monday to Friday.

EXPRESSIONS OF INTEREST: MECHANISM (FWP5)

When?	What?	Refer to:
<u>Call for Expressions of interest</u>		
Open from March 1999 until 30 April 2001	Call for expressions of interest in the areas and for the objectives covered by this procedure	Publication in Official Journal, Info. pack and this guide on request
	Interested parties prepare brief definition and justification of need (max. 6 page “supporting document”)	
<u>Submission of supporting documents</u>		
Any time until 30 April 2001	External experts evaluate the “supporting document”	Same information as supplied to proposers
Typically twice per year until final evaluation in Spring 2001	Identification of priority topics	
Typically twice per year Until Summer 2001	List of priority topics published as a dedicated call	Publication in Official Journal, Info. pack and “supporting document” on request

How to prepare a supporting document

General information

Complete the attached administrative form and the acknowledgement of receipt form. The administrative information should not be repeated in the text of the *supporting document which must remain anonymous*.

A submitted *supporting document* (maximum 6 pages) has to fulfil two requirements:

- provide information needed to decide on the merit and priority of the proposed topic (the decision of the Commission whether or not to include the topic in the dedicated call for proposals will be taken primarily on the basis of this information), and
- supply a text which will, if the topic is published, be suitable for distribution as an informative document, which defines the objectives and scope for all those wishing to make a proposal (inadequate quality of the text can also be cause for non retention of the topic).

Layout

The layout for the *supporting document* should comprise the following sections:

Title

For practical reasons, a self-explanatory title should be chosen and should be no more than three lines.

Conformity with the Work programme

The topic must be related to those GROWTH Programme activities that utilise the “Expressions of interest”. The GROWTH Programme - key action(s), generic activity(ies) / support to research infrastructure to which the proposed topic is linked should be clearly indicated.

Keywords

5 to 10 keywords linked to the proposed topic should be included. The keywords should reflect both the objectives and technical/scientific fields as appropriate.

Summary of objectives and justification

The need should be described briefly in no more than 10 lines. (The problem and not the solution should be described.) The reasons leading to this need should be explained.

Background

The state-of-the-art leading to the need should be described. Documents or studies that identify the need to undertake the work should be referenced.

Economical and social benefits

In order to enable the Commission to assess priority topics, it is necessary to demonstrate that sufficient socio-economic interest exists. Reasons should be given as to why the activity will benefit from being carried out at the EU level. The European added value of the envisaged activities should be emphasised including secondary effects such as economic or structural benefits, protection of the European market, protection of products and enterprises against defrauders, an improved system of metrology etc. Knowledge should be demonstrated of the needs of end-users, and/or existing and potential markets by making reference to market analysis, studies, etc. If applicable, any potential benefits related to health, safety, the environment and employment should be highlighted.

Scientific and technological objectives

The objectives of the work should be stated wherever possible in quantitative terms. These should be very clear both to enable a proper and fair evaluation of the “Expression of interest” and to provide an appropriate basis for an eventual evaluation of proposals. Thus, vague statements, which could lead to either a misinterpretation of the requirements or to an inappropriate work plan, should be avoided. Note that topics related to the *support for the research infrastructures* will lead to co-ordinating (network) type of activity proposals and not R&D.

Time-scale

For certain topics, it may only be meaningful to proceed if the solutions are available by a pre-defined date. If this is the case, the date and the reason should be indicated. Any requirements must be realistic and should take into account the period of time needed to complete the procedures as well as the work.

Additional information

For certain topics, there may be other requirements that must be met if the output is to be meaningful. If this is the case, the reason and requirement should be stated. It should be noted that unjustified restrictions would not be accepted. All documents needed to develop the proposed topic must be identified and available to all proposers.

***Advise***

In order to help interested parties to better identify the areas of the GROWTH Programme open for the call for “Expressions of interest” and to prepare their supporting documents, additional information and highlights of the work programme are given in the following Annex.

Additional information for the submission of topics

This annex provides information and gives an indication of the type of topics suitable for submission as an “Expression of Interest” in the corresponding activities.

Methodologies in support of European standardisation (R&D)

The aim should be to provide research for European standards to promote compatibility of systems, prevent the duplication of effort and enable advantages of economies of scale for the competitiveness of European industry and the operation of the internal market. Priority will be given to research needed for the development of new or improved standards in support of the “*New Approach Directives*” and will focus upon:

- ↪ the development and validation of measurement and testing methods,
- ↪ the production of scientific and metrological data needed to define performance, reliability and safety criteria for products and services.

Note: The feasibility studies for Certified Reference Materials (CRMs) which are needed to support the implementation of European and international standardization and to favour mutual recognition agreements must be submitted in response to, and following the format described for feasibility studies for CRMs on the following page.

Pre and co-normative research in the areas of agriculture, food, health, energy and the environment will be the responsibility of the relevant Thematic Programmes.

Methodologies in support of the fight against fraud (R&D)

The aim should be to develop, improve and validate the measurement and testing methodologies that are needed in order to keep the know-how and technology ahead of the defrauder. The systems will help in the routine detection, control and prevention of fraud and/or provide the detailed scientific evidence that will stand up in a court of law. General methodologies used for characterisation of products in the field of food, feed and the environment are outside of the scope of this activity. Priority will be given to:

- ↪ Characterising, mapping, tracking, and tracing procedures (including sampling) for industrial products, components, process ingredients, and consumer goods.
- ↪ Sampling, measurements, tests, and databanks for checking the authenticity of different industrial products and components in order to detect illegally used compounds, components or undesirable (e.g. toxic) substances in relation to safety and origin.
- ↪ Measurements and testing procedures including sampling plans, and chemometrical/statistical techniques to establish the authenticity of (or modifications to) products, goods, etc.
- ↪ Procedures for screening, identification and confirmatory purposes. These procedures should allow a reliable identification of the origin of products, components, and dangerous goods, as well as of product categorisation in custom tariffs and for pursuing the control of subsidies and quotas.
- ↪ Databases for various methods used for the identification of physical, chemical, and other properties in order to speed up or improve the identification of the origin of products, dangerous goods and components.

- ↪ Sampling, analytical procedures, and harmonised databases to detect illegal drug trafficking, to identify persons and illegally traded species; to determine the origin and age of cultural artefacts; and to permit comparison of investigation and prosecution activities (in consultation with stakeholders such as for example EUROPOL and relevant counterfeiting and industrial associations/federations).
- ↪ Sampling, analytical procedures, and harmonised databases for the detection of doping in sport.

Application driven proposals should involve those bodies active in the specific field of fight against fraud. This may mean not only those involved in the justice system but also, for example, bodies charged with objectives such as combating doping in sport.

The fight against fraud may require specific measures, particularly with regard to dissemination/exploitation.

Feasibility studies for certified reference materials CRMs (R&D)

The feasibility of the production and certification of CRMs can be related to: preparation, properties of materials, sources of error in measurements and agreement between methods and laboratories, etc. The work can include the preparation of small test batches.

The actual production of batches of CRMs for sale will be the subject of separate calls for tenders.

To enable the Commission to assess priority topics it is important to demonstrate the socio-economic importance and the European dimension of a possible project. Demonstration should also be made that a similar CRM does not (anymore) exist or is not under preparation elsewhere, or which essential requirements are currently not met by current existing CRM.

Topics for the “Expressions of interest” for CRM feasibility studies must relate to activities listed in the Work programme:

CRMs for European standards: CRMs representative of manufactured products to verify quality and safety standards and for the testing of materials following a standard method; CRMs in support of Directives and Community policies including the fields of agriculture, food, health care, energy and the environment.

CRMs for the fight against fraud: CRMs for checking the authenticity of origin of materials and components, for the identification of species, for the control of subsidies and quotas, for the verification of product category in relation to custom tariffs, subsidies and quotas, for the detection of illegal substances and dangerous goods, for the detection of illegal drugs in sport, for the determination of the origin and age of cultural artefacts, for the identification of persons.

CRMs for the improvement of quality (traceability and calibration): CRMs for the calibration and performance testing of instruments, for material testing, for product testing and process monitoring, for chemical and biological analysis of industrial importance.

Type of CRM concerned:

Topics for feasibility studies may deal with CRMs for identification, calibration or quality control purposes:

- ↪ Reference substances, species or specimens for the purpose of identification or control of origin.
- ↪ Reference materials for calibration e.g. transfer standards for metrology, pure substances for use as calibrants, pure substances serving as generic reference standards in chemical analysis, stable isotope reference materials, CRMs to which commercial clinical test kits would become traceable, reference materials for the validation and calibration of a range of common instrumental methods, and reference microbiological preparations.
- ↪ Tools for quality control (certified control specimens, “matrix” CRMs including CRMs certified for composition, physical or technical properties, or effects).

Support for research infrastructures (Networking)

The aim of this activity will be to enhance the problem solving approach of the GROWTH Programme by supporting via networking activities the relevant research infrastructure. The objectives are:

- ↪ the optimum utilisation of geographically dispersed medium and large scale research facilities;
- ↪ the rapid transfer and implementation of RTD results into industrial applications;
- ↪ the improvement of interoperability and common protocols.

The “Expressions of Interest” call will cover all four categories of activities in the Work programme.

Support activities to medium and large-scale facilities

This activity will support networking activities within the scope of the GROWTH Programme with the initial aim of providing updated web-based inventories of facilities including their performance characteristics and availability. Other activities will be networking activities aimed at the optimising utilisation of these facilities.

Note: This activity will neither provide funding to specific RTD projects requiring the use of medium and large scale facilities (these costs should be included as eligible costs in the RTD proposal submissions) nor will it provide funding to individual researchers requiring access to medium and large scale facilities (support may be provided through the ‘Enhancing Access to Research Infrastructures’ specific action of the fourth activity "Improving Human Research Potential").

Setting up of virtual institutes

A virtual institute is a network linking geographically dispersed complementary research and industrial capabilities with the potential to become a legal and self-supporting entity. The broad aim is the rapid exploitation of RTD results into industrial applications. A degree of flexibility is foreseen so that virtual institutes may be set up in such a way as to meet the differing needs of research/industrial sectors related to the GROWTH Programme. Proposers of topics should give

particular emphasis to topics that are strongly market-oriented. Eventual proposals for Virtual Institutes will need to demonstrate through a business plan that the institute can become self-financing in the longer term. Thus an outline to indicate the feasibility of the business plan should be given in the expression of interest.

Reference databases

The aim will be to provide improved access to existing databases. This could include initiatives that link data from various sources and which will be of value to European researchers and industry. The creation of so-called “platforms” of databases could for example create a single entry point of linked or related databases, other activities could aim to promote acceptability, quality, comparability and interoperability of data, particularly that produced by EU funded research.

Measurement and quality management infrastructure

The aim will be to support networking activities that would significantly improve cohesion within the EU and with external trade partners and advance the “measured once accepted everywhere” philosophy. Such activities could for example cover:

- ↪ transnational traceability chains and accreditation activities (including intercomparisons) particularly at inter-regional and candidate member state level and in the less developed metrological sectors;
- ↪ mutual recognition agreements for calibration capabilities of laboratories; and for the quality certification and accreditation measures via harmonisation and integration of accreditation and certification audits;
- ↪ the capability of National Metrology Institutes and Official Control Laboratories to set up international traceability systems including for example intercomparisons, in particular for metrology in biology and chemistry;
- ↪ the development of user-friendly guidelines needed for the certification and use of CRMs and other quality control tools such as proficiency tests and statistical control charts in order to improve international cohesion;
- ↪ the harmonisation of implementation associated with accreditation standards such as the EN 45000 series;
- ↪ the harmonisation of implementation associated with quality management standards such as the ISO 9000 and 14000 series;
- ↪ helping consumer associations and industry to develop and test guidelines for good practices for the organisation of comparative studies on products and services.



EXPRESSION OF INTEREST FOR THE NEED OF ♦ **research**
♦ **infrastructure**

ADMINISTRATIVE INFORMATION				
Contact Person				
<i>Title (Dr, Prof.,...)</i>		<i>Gender</i>	F	M
<i>Family Name</i>				
<i>First Name</i>				
<i>Organisation Legal Name</i>				
<i>Department/Institute Name</i>				
<i>PO Box</i>				
<i>Street Name and Number</i>				
<i>Post Code</i>		<i>Cedex</i>		
<i>Town / City</i>				
<i>Country Code</i>		<i>Country Name</i>		
<i>Telephone Nr</i>		<i>Fax Nr</i>		
<i>E-mail</i>				
Title of the Expression of Interest and abstract				
<i>Title</i>			
<i>Abstract</i>			
<i>Indicate at which Expression of Interest activity this submission is aimed¹</i>				
.....				
<i>Indicate relevant Key Action or Generic Activity (as described in the Workprogramme)</i>				
.....				
<i>Have you, previously or currently, submitted this topic or similar in content to any Community Programme? If yes, please give details.</i>			Y	N
<i>Programme Name</i>		<i>Year</i>		<i>References</i>
<i>Date and signature</i>				

¹- in support of European standardisation;
- in support of the fight against fraud;
- feasibility studies for certified reference materials.

In support for research infrastructures:
- support activities to medium and large-scale facilities;
- setting up of virtual institutes;
- reference data bases;
- measurement and quality management infrastructures.



EXPRESSION OF INTEREST FOR THE NEED OF ♦ *research*
♦ *infrastructure*
ACKNOWLEDGEMENT OF RECEIPT

Brussels,

Please write the name and full postal address to which this acknowledgement should be sent

.....

Dear Madam/Sir

We are pleased to acknowledge receipt of your expression of interest:

Title:.....

This expression of interest has been given the following reference number (To be completed by the Commission):

Date of reception:
Registration number:

You are kindly requested to quote this reference number in all future correspondence relating to this submission. Expressions of interest that are in scope will be evaluated at the next opportunity (expressions of interest that arrive less than 10 working days before an evaluation may be carried forward). It is expected that the result of the evaluation will be communicated to you shortly after the evaluation.

On behalf of the Commission we thank you for your submission and your interest in the research programmes.

Yours faithfully,