

Integrated Research Programme on Wind Energy

WP3 Research Infrastructures

RULES AND CONDITIONS FOR JOINT EXPERIMENTS

The research leading to these results has received funding from the European Union Seventh Framework Programme under the agreement 609795.

#### Definitions

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| **Access**: physically visiting an Infrastructure to conduct research/testing, or remotely logging-in in the case of a database infrastructure. **Access Agreement:** a contractual document that regulates the Access of any User to the Research Infrastructure**Access Provider**: the EERA WIND JP partner institution that is in charge of providing access to the Infrastructure(s) **Background:** information held prior to IRPWind. **Call:** each public announcement issued by IRPWind defining the procedure for submission of applications, their evaluation, selection and admission of Users.**Foreground:** information and results they have generated under the IRPWind access project. **Infrastructure:** a facility or a resource (or a coherent set of them), together with the related services and expertise, that is used by the scientific community to conduct research. Each Infrastructure is run by an Infrastructure Manager. **Technical Committee (TC):** the Technical Committee is composed by the members of the Management Board of the EERA JP Wind. The Technical Committee will evaluate the results after each experiment and the whole procedure at the end of the programme. **Unit:** the minimum unit of time offered by an infrastructure. Most infrastructures offer units of one week, however others offer units of days, months, quarters or years (in the case of data) – see the individual infrastructure descriptions for further detail. **User:** up to 4 researchers within a User Group, including the User Group Leader. **User Group:** is the research team that performs the joint experiments selected by the Technical Committee. The User Group is led by a User-Group Leader. |

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# Executive Summary

WP3 of the IRPWind project has the general objective of promoting alignment plus focusing of national research activities through joint experiments carried out in European research facilities and the effective joint use of European research facilities. The focus and alignment will be gained by means of creation of access protocols to selected European research facilities and definition of prioritization procedures for selecting the most urgent and relevant experiments in the European context.

By doing this, the joint use of European research facilities shall be carried out in a strategically focused and coordinated way, in which selected nationally operated facilities are employed to run specific high value carefully designed and chosen experiments, to ultimately support coordinated joint research nationally supported actions.

This report contains the rules, conditions and eligibility governing the process to select and perform joint experiments under IRPWind project, funded under the EC FP7 programme. Rules shall stimulate cooperation and alignment of nationally financed activities and be of benefit for at least three institutional participants and the EERA program.

For the elaboration of this report and analysis of existing schemes from other networks of research infrastructures supported by the European Union [1] was performed. In particular information was analysed from MARINET project (Marine Renewables Infrastructure Network for Emerging Energy Technologies) [2], HIDRALAB project [3] and EU-SOLARIS project [4]. This report is mainly based on the document “Summary of Rules & Conditions” from MARINET project funded under the EC FP7 programme.

These rules have been formulated by the IRPWind project based on the relevant provisions of the EC grant agreement. In case of any conflict, the provisions of the grant agreement take precedence.

Ref:

[1] Energy and Engineering. Networks of Research Infrastructures supported by the European Union [*https://ec.europa.eu/research/infrastructures/pdf/thematic/KI0414647ENE-energy.pdf#view=fit&pagemode=none*](https://ec.europa.eu/research/infrastructures/pdf/thematic/KI0414647ENE-energy.pdf#view=fit&pagemode=none)

[2] Transnational Access. Summary of Rules & Conditions. MARINET. [*http://www.fp7-marinet.eu/public/docs/MARINET\_TA\_Summary\_of\_Rules\_and\_Conditions.pdf*](http://www.fp7-marinet.eu/public/docs/MARINET_TA_Summary_of_Rules_and_Conditions.pdf)

[3] Transnational Access to HYDRALAB major Research Infrastructures. [*http://ciemlab.upc.edu/projects/hydralab-1/rules-1*](http://ciemlab.upc.edu/projects/hydralab-1/rules-1)

[4]Access Rules for EU\_SOLARIS. Internal Deliverable 2.6 . May 2015

# Introduction

WP3 of the IRPWind project has the general objective of promoting alignment plus focusing of national research activities through joint experiments carried out in European research facilities and the effective joint use of European research facilities.

The focus and alignment will be gained by means of funding of selected strategic joint experiments, including infrastructure use, at chosen national facilities supporting national R&D efforts.

The promotion will be provided through the creation of awareness about existing facilities and their specific characteristics, the application of common and transparent access procedures for experiment and facility selection and the required support both for the host and the guests. Synergy and effectiveness will be derived from networking for data and exchange of best practices.

Two calls for Proposal of Experiments and Granting of Support will be issued along the project. Best applications will be granted support for merits reasons according to the rules. Definition of prioritization procedures for selecting the most urgent and relevant experiments in the European context it is required.

Creation of the Rules & Conditions for joint experiment and access shall stimulate cooperation and alignment of nationally financed activities and be of benefit for at least three institutional participants and the EERA program. Alignment with the EERA program objectives will be given priority.

# Eligibility

To be eligible to benefit for joint experiment and access to research infrastructures, a User Group (a team of at least two organizations, led by a User Group leader) must satisfy the following conditions:

* The User Group and User Group leader must work at an Institution member of the IRPWind consortium;
* The User Group must be entitled to disseminate the Foreground (information and results they have generated under the access project – see section 12 Dissemination ­- in this documents)
* The minimum number of partners for a consortium is two.

EERA JP Wind partners or other organizations located outside the EU (Member States and Associated States), might apply to participate to experiments as far as they have their own funding.

# Eligible Costs

The grant will cover the following expenses. However, the H2020 funding rules will overrule the project-specific funding rules.

* Cost of the infrastructures (bench rates or amortization proportional to the utilization during the experiments).
* Men/month exclusively dedicated to execute the experiment, considering all the tasks necessary to design, set and perform the experiment. Men/Month related to research activities will NOT be accepted.
* Materials and consumables for the experiments, including auxiliary items specific for the experiment.
* Expenses to organize a Final Workshop where the experiment and results will be presented to the EERAJP Wind community.
* Shipping of specific equipment related to the experiments
* Travel expenses to and from the experiment location.

The MAX amount per experiment is 150.000€.

## Funding Model

The participants of the successful proposals will claim the incurred costs in the IRPWind annual cost statement.

# Application Submission Documents and procedures

Applications shall be submitted whenever IRPWind issues a Call for Applications within a deadline. Applications must to be submitted to the Access Coordinator, CENER, through the electronic submission of the Application Form and required documents.

Applications will include at least the following current, adequate and detailed information, in an online Application Form:

* A detailed description of the research for which the Access is required (Project Description)
* Curriculum Vitae of each relevant personnel (researchers, technicians, and/or students) who will be involved in the experiments.
* The (or part of ) Research Infrastructure to which Access is requested
* An estimation of the required time for the Research to be performed during the Access
* The assistance and services related to the Access that will be required from the Access Provider in terms of local staff and/or devices
* Full details of any necessary materials including samples, specifying whether they shall be provided by the User or by the Access provider
* Any assessment of potential risk(s) related to the Access

**Budget**

* A detailed budget should be provided filling the Budget Template including:
* Description of personnel (Person Months per personnel category (Professor, Senior/Young Researcher, Postdoc, PhD, Technician, Administrative etc.) Max 4 persons per Institute
* Description of the Equipment
* Description of Consumables
* Description of Subcontracting

IRPWind shall provide a template for the Application Forms.

During the proposal evaluation process, Applicants shall provide additional information if required.

After the evaluation, the selected consortia must provide the following information within one month.

* Proof of any required insurances
* The declaration to abide by the rules and regulations of EERA JP WIND related e.g. to confidentiality, intellectual property rules, access rights, dissemination of results etc.

# Selection procedure and priorities

As a first step, all the submitted proposals will be evaluated against the eligibility criteria to determine the Go/NoGo status for to the next step.

The eligible proposals will be evaluated and scored by the relevant Infrastructure Network Coordinator and two independent experts appointed by CENER. The evaluation will be done according to the criteria in **Table 1** and the grading scale in **Table 2**.

The proposals with highest scores above threshold will be presented to the Technical Committee, Section 7, for the final approval.

The Technical Committee shall base its selection on:

* Scientific merit
* Quality of the project
* Innovation of the project
* Detailed definition of Test Plan
* Competence of the applicants
* Cooperation between several research groups from European states
* Compatibility with EERA JP Wind and Subprogrammes
* Support SET-Plan priorities
* Sharing of national infrastructures
* Stimulation of cooperation and alignment of nationally financed activities
* Creating open access dataset of value for the European wind energy research

One of the main priorities is that the proposed experiment should foster cooperation between several research groups from several European states, and contribute to the alignment and support to nationally financed projects. Added value for a national activity to use a facility and results of the joint experiment in cooperation with research groups from other states will be crucial.

|  |  |  |
| --- | --- | --- |
| **EXCELLENCE** | **IMPACT** | **IMPLEMENTATION** |
| Quality, innovative aspects and credibility of the experiment. | Enhancing national programmes aligned with European targets. | Overall coherence and effectiveness of the work plan including appropriateness of the allocation of tasks and resources. |
| Clarity and quality of knowledge sharing among the participants in light of the experiments proposed.  | Complementarity among partners; andComplementarity among national research programs and European programs.  | Integration of competences, experience and complementarity of the participating organizations.  |
| Quality of test procedures, data collection and results format. | Effectiveness of the proposed measures for open access of the results. | Appropriateness of the management structure and procedures, including quality management and risk management.  |
| Weight: 50%, 1st priority at ex equo. | Weight: 30%, 2st priority at ex equo. | Weight: 20%, 3st priority at ex equo. |
| Grade 0-3Threshold: 2 | Grade 0-3Threshold: 2 | Grade 0-3Threshold: 2 |

**Table 1 Evaluation criteria**

|  |  |
| --- | --- |
| **GRADES** | **VALUE** |
| 0 | Out of Scope |
| 1 | Sufficient |
| 2 | Good |
| 3 | Excellent |

**Table 2 Grading score for each proposal.**

# Technical Committtee

The TC was created during the kick-off meeting of the IRPWind project in Barcelona. It was agreed that the TC is composed by all members of the Management Board of the EERA JP Wind, consisting of all the Sub-Programme coordinators.

The TC will evaluate the results after each experiment and the whole procedure at the end of the program.

# Legal framework

Access to any given Research Infrastructure will be regulated by a legal framework. To this extent, signature of an *Access Agreement* containing all the legal terms related to the Access is recommended. The *Access Agreement* will define the rights and obligations of all the Parties involved in the Access (i.e., the User, IRPWind and the Access provider for the quality-based access, and the User and the Access provider for the market-based access not managed by IRPWind).

The *Access Agreement* will cover, at least, intellectual property rights (and industrial property rights whenever applicable), data protection, confidentiality, liability and eventual fees to be paid by IRPWind and/or the User. In general, the property rights policy adopted by IRPWind will be applied.

The *Access Agreement* will also delineate the actions to be undertaken, the resources that will need to be allocated, the length of planned User stays (if any), the period of use and a brief description of the scope of the Access.

# Access Agreement

The Access Agreement will contain at least clauses related to:

* Any Access arrangements, conditions and requirements;
* Duration of the Access
* Description of the activities commited by each party (i.e., the User and the Access Provider)
* Liability
* Insurance
* Confidentiality and non‐disclosur
* Intellectual property rights
* Use of equipment and samples
* Dispute resolution
* Force majeure, and
* Access denial.

The following rules related to Access denial in principle apply:

At any time, also after the acceptance of the Application and the signature of the Access Agreement, the Access Provider may decline Access (also to a part of the respective Research Infrastructure and/or certain materials, equipment etc.) on the basis of legitimate, justified and valid reasons, for example:

* in order to protect legitimate interests (e.g. of competitors);
* in case of Healt and Safety Environment (HSE) concerns; or
* unforeseen circumstances (e.g. force majeure or unexpected maintenance).

IRPWind shall provide standard model Access Agreements for Access to Research Infrastructures.

The Access Agreement must be co‐signed by the appropriate legal representatives who are authorized to sign agreements and bind the company or institution to which the Applicant and the Access provider are related as an employee or entity.

# Performance Obligations

The *Users*:

1. Shall comply with all (local) applicable laws, regulations, guidelines, procedures and requirements;
2. Shall obtain the required site entrance authorizations, including for example related to badges, HSE trainings, formalities concerning materials and equipment, customs clearance procedures and VISA requirements;
3. Are responsible for fulfilling local HSE requirements related to the research during the experiment;
4. Are responsible for any material, including samples or equipment brought by Users;
5. Shall have adequate health and accident insurance or similar during the experiment; and
6. Shall comply with reasonable guidelines and instructions of the Access Provider.

# Access Rights to Information

The Foreground is the property of the User Group carrying out the work generating that Foreground.

The access provider shall ensure that the Users enjoy, on a royalty-free basis, access rights to the Background of the access provider and to the foreground, if needed to carry out their own work under the project. The access provider shall inform, as soon as possible, the users of any restriction which might substantially affect the granting of access rights.

The access provider shall ensure that the users have the same rights and obligations in regard to confidentiality as access provider.

# Dissemination

Dissemination activities shall be compatible with the protection of intellectual property rights, confidentiality obligations and the legitimate interests of the owner(s) of the foreground.

Users should suitably publicise (in their publications. websites, reports etc.) the support given by the EC for the access provided to them, referring to IRPWind, showing the EC logo (if possible) and including a statement along the following lines: “The work described here has received support from IRPWind, a project that has received funding from the European Union’s Seventh Programme for Research, Technological development and Demonstration”

User should publicise widely, including on a dedicated Web page on the Internet, e.g. the IRPWind or the EERA WIND JP Web pages

The Research Infrastructure shall take any appropriate measure to ensure that, in their publications, Users make suitable publicity about the support given by IRPWind for the Access provided to them.

IRPWind shall be authorised to publish, in whatever form and on or by whatever medium, including the Internet, the list of the Users whenever financial support for the Access is provided by IRPWind.

The EC shall be authorised to publish, in whatever form and on or by whatever medium, including the Internet, the list of the users.

While the second condition of Eligibility above states that User Groups must be entitled to publish the results of their access project work in order to be eligible to benefit (and IRPWind will seek a report following access, see Post-Access), it is understood that many users, particularly companies and developers, have significant concerns in relation to the data that they are required to publish. The first rule above takes account of these concerns.

The IRPWind consortium is very cognisant of this issue. The reason that the EC requires production of publishable results as a condition of eligibility is that its objective in funding these initiatives is to progress the state-of-the-art of the sector, and this requires dissemination of generated knowledge. However IRPWind access providers deal with these issues on a daily basis – users with proprietary technology are the typical groups that access these facilities. Hence access providers are very familiar with IP issues and there are numerous ways to disseminate gained knowledge without revealing proprietary data or details specific to a device or technology (e.g. non-dimensionalised results). Confidentiality will be fully protected and specifics around the requirement for publication can be agreed beforehand to the satisfaction of both parties. Scientific publication and validation of tests, without compromising the competitive advantage of the user, is common and can be very beneficial in terms of validating the technology when it comes to seeking future investment and financing.