



EMPIR Reporting Guidelines
Part 5 – Submitting deliverables and ethics reports

1 Introduction

EMPIR Reporting Guidelines Part 5 provides guidance for the submission of the deliverables and ethics reports produced by Joint Research Projects (JRPs), Support for Impact Projects (SIPs), Joint Network Projects (JNPs) and Small Collaborative Projects (SCPs) (NB SCPs are not required to prepare ethics reports). The deliverables and ethics reports that each project is required to complete and submit to EURAMET are specified in the Annex 1 to the EMPIR Grant Agreement. No Reporting Templates are linked to this part of the EMPIR Reporting Guidelines.

2 Deliverables

A project deliverable is a verifiable output of the project which should be able to be sent to EURAMET and stored (NB there is no page limit for deliverables, however deliverable files should be of a size suitable for transmission to EURAMET via e-mail). Deliverables must be approved by the whole consortium before being submitted electronically by e-mail to your EURAMET project officer. The coordinator should send the JRP, SIP or JNP's deliverables to EURAMET (as required by Article 19 of the EMPIR Grant Agreement) by the delivery dates stated in the Annex 1 to the EMPIR Grant Agreement. In any case, it is expected that all deliverables* shall have been provided to EURAMET within 60 days of the end of the project. The formal receipt of deliverables by EURAMET forms part of the reporting process.

* - please note that the deliverables titled 'Evidence of contributions to or influence on new or improved international guides, recommendations and standards with a specific focus on the following guides and committees: XXXXXX. Examples of early uptake of project outputs by end-users' and 'Delivery of all technical and financial reporting documents as required by EURAMET' shall not be submitted to EURAMET as deliverable reports. These deliverables will be regarded as being complete once all of the project's final reports have been accepted.

EURAMET does not provide a template for deliverables, however, the following information must be included on a separate cover sheet for each deliverable:

- EMPIR Grant Agreement number
- Project short name
- Deliverable reference number and title
- Organisation name of lead partner for the deliverable
- Due date of the deliverable
- Actual submission date of the deliverable
- Acknowledgement of EMPIR funding and the EMPIR logo

Any delay in the submission of a deliverable to EURAMET must be reported in the technical report (progress) in the 'Deliverables status and progress towards objectives' table, where both the delivery date as per Annex 1 and the actual delivery date (or the foreseen date, if the deliverable is not yet submitted) are reported.

2.1 Cover sheet

Example: Cover sheet (for a Deliverable)

19IND99 MetroShine

D3: Report on the uncertainty for (state of the art) ship-based tank gauging methods based on GUM principles

Lead partner: AAA

Due date of the deliverable: 30 April 2020

Actual submission date of the deliverable: 30 April 2020

This project has received funding from the EMPIR programme co-financed by the Participating States and from the European Union's Horizon 2020 research and innovation programme.



3 Ethics reports

All EMPIR projects undergo an ethical review by independent ethical experts and the outcome from the ethical review is communicated to coordinators as part of the project's review conference evaluation summary report. As an outcome from the ethical review, the ethical reviewers sometimes request that ethics reports are prepared on a specified ethical issue. The project reporting task in the Annex 1 to the EMPIR Grant Agreement, which you must comply with, will state if your project is required to prepare an ethics report. It will also state its due date(s) and the topic of the ethics report, which is described in more detail in Section D3 (NB there is no page limit for ethics reports). Once approved by the whole consortium, the coordinator should e-mail the ethics report to EURAMET by the delivery date(s) stated in the Annex 1 to the EMPIR Grant Agreement. For ethics reports that are due at the end of the project, they should be provided to EURAMET at the latest within 60 days of the end of the project. The formal receipt of ethics reports by EURAMET forms part of the reporting process.

The independent ethical experts could request ethics reports on any topic, but they are usually on dual-use. Information on dual-use is provided below to help consortia understand what is required when preparing an ethics report on dual-use. Irrespective of the topic, please note that it is important that the ethics report addresses all of the requirements described in Section D3 of the Annex 1.

Dual-use

If the independent ethical experts requested that your EMPIR project prepares an ethics report on dual-use you will need to assess if your research, develops, produces or uses any dual-use items, technology or software, which could be used for both civil and military purposes. This includes all goods which could be used for non-explosive uses or for the manufacture of nuclear weapons or other nuclear explosive devices. For your reference, the full list of dual-use items is available in Annex I of Regulation (EC) 428/2009: <https://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2009:134:0001:0269:en:PDF>

Exporting some types of goods/technologies poses a security threat. The biggest of which relates to the proliferation of weapons of mass destruction. To mitigate against this threat, transactions involving dual-use items are often restricted by law. It is essential that all EMPIR projects comply with these laws. If your EMPIR project is going to export any of the dual-use items, technology or software that it develops, produces or uses you will need to consider the following (note that the failure to consider these actions in time might compromise the success of your project):

- Check the export rules governing dual-use in your country and, if necessary, apply to the relevant national authorities for export authorisation.
- Check the brokering authorisation rules if your EMPIR project will carry out brokering services for dual-use items, technology or software (see Article 5(1) of Regulation (EC) 428/2009). Contact the relevant national authorities.
- Check for additional restrictions that are in force in some EU countries. Contact the relevant national authorities.
- Check if you need authorisation to publish your research findings (e.g. in a scientific article in a non-EU journal) if they concern dual-use items, technology or software (Intangible technology transfers (ITTs)). Contact the publisher / relevant national authorities.
- Check for transit restrictions as some countries prohibit the transit of non-EU dual-use items, technology or software through their countries. Contact the relevant national authorities.

For EMPIR projects that are required to submit an ethics report on dual-use, the consortium should include documented evidence that they have thoroughly considered whether their research (i.e. the results released into the public domain by the consortium) could be detrimentally used for military purposes and, where applicable, how these dual-use risks can be mitigated. A statement such as *“we do not foresee any potential dual-use applications or implications resulting from this project”* is not sufficient.

Section 3.2 shows an example “Month 1” ethics report on dual-use. It comprises an assessment of the potential dual-use issues and the implications in relation to Regulation (EC) 428/2009. It states how dual-use risks will be mitigated, including measures to prevent misuse of research findings. It also clarifies whether any export licences and other authorisations are required for the transfer of knowledge or material and it states that any required copies of export licences etc. will be kept on file appropriately.

Dual-use should be consistently assessed during the entire lifetime of the EMPIR project by the consortium. This is especially important for EMPIR projects that submit ethics reports at month 1 of the project.

EURAMET does not provide a template for ethics reports, however, the following information must be included on a separate cover sheet:

- EMPIR Grant Agreement number
- Project short name
- Report title (e.g. a report on the assessment of the potential for dual-use applications of the results and outcomes of the project and where applicable how dual-use risks can be mitigated)
- Organisation name of the lead partner for the report

EURAMET also recommends that ethics reports on dual-use contain the following sections:

- Assessment of the potential dual-use issues and the implications in relation to Regulation (EC) 428/2009
- Assessment of the work packages and deliverables for the project
- Dual-use risks, including mitigation measures
- Export licences and other authorisations required for the transfer of dual-use items, technology or software, or related knowledge
- Conclusions (*optional*)

3.1 Cover sheet




Example: Cover sheet (for an Ethics report)

19IND99 MetroShine

A report on the assessment of the potential for dual-use applications of the results and outcomes of the project and where applicable how dual-use risks can be mitigated

Lead partner: DDD

This project has received funding from the EMPIR programme co-financed by the Participating States and from the European Union's Horizon 2020 research and innovation programme.

The EMPIR initiative is co-funded by the European Union's Horizon 2020 research and innovation programme and the EMPIR Participating States

3.2 Ethics report (Month 1)

Example: Ethics report on the assessment of the potential for dual-use applications of the results and outcomes of the project and where applicable how dual-use risks can be mitigated

A report on the assessment of the potential for dual-use applications of the results and outcomes of the project and where applicable how dual-use risks can be mitigated

The EMPIR Ethics Review gave JRP 19IND99 MetroShine “Conditional ethics clearance”, and noted the following dual-use issues:

The ethics reviewers identified potential dual-use implications related to this project in the sense of Regulation (EC) 428/2009, or other items for which an authorisation is needed.

The consortium will assess and report on the potential of dual-use applications and implications and how dual-use risks will be mitigated, including measures to prevent misuse of research findings. One report will be submitted 1 month after the start of the project. As the dual-use issue is an ongoing issue it will be continuously assessed during the entire lifetime of the project by the consortium. The consortium will also, in the case of dual-use applications, clarify whether any export licence is required for the transfer of knowledge or material, and where required copies of export licences will be kept on file appropriately.

This report provides an assessment of the potential for dual-use applications of the results and outcomes of the project and of how dual-use risks can be mitigated. This assessment has been agreed by all partners.

Assessment of the potential dual-use issues and the implications in relation to Regulation (EC) 428/2009

The Annex I of Regulation (EC) No 428/2009 lists dual-use items under the following 9 categories: Nuclear materials, facilities and equipment; Special materials and related equipment, Materials processing; Electronics; Computers; Telecommunications and "information security"; Sensors and lasers; Navigation and avionics; and Marine. The consortium searched this list to find any key words associated with this project. This assessment found that the following key words were listed:

"Composite" materials appear in several places in the list. However, this project relates to composite wave shapes. Therefore, this work has no connection to composite material technology.

"High voltage" is stated in two places in the list in relation to power supplies (0B001j5 and 3A227). As this project relates to the metrological testing of high voltage grids there is no potential for dual-use.

"Software" is mentioned in relation to the development, production or use of organic matrix, metal matrix or carbon matrix laminates or composites. For performing the functions of the equipment specified in 1A004.c or 1A004.d and for the use of goods specified in 1B101, 1B102, 1B115, 1B117, 1B118, 1B119 or 1B201. In addition, it is mentioned for the analysis of reduced observables such as radar reflectivity, ultraviolet/infrared signatures and acoustic signatures. The software developed in this project relates to the sale of stock at retail selling points. Consequently, we will be able to share this software with our non-EU partners without the need for authorisation.

"Marine acoustic systems" are detailed in one place in the list (6A001). It states that some acoustic systems and equipment require dual-use export control, but it does not include "*Depth sounders operating vertically below the apparatus, not including a scanning function exceeding $\pm 20^\circ$, and limited to measuring the depth of water, the distance of submerged or buried objects or fish finding*". As this project relates to the use of acoustics in fish finding technology there is no need to apply for a dual-use export licence.

This assessment was confirmed by our partners' legal departments, which concluded that the dual-use items listed in Annex I of Regulation (EC) No 428/2009 do not apply to our research at the moment.

Assessment of the work packages and deliverables for the project

Each of the project's technical work packages and deliverables was assessed to see if it develops, produces or uses any dual-use items, technology or software, which could be used for both civil and military purposes.

WP1: The investigation of composite wave shapes will include modelling and gathering data, which will be used as the basis for improving the ISO 9999 series standards. Therefore, "composite materials" will not be used in this project.

WP2: The methodology report (D2) and results (D3 and D4) that will be developed in this project will only be suitable for evaluating "high voltage" grids in test laboratories according to ISO 9999. The metrological testing of electricity grids is not of interest to the military.

WP3: The "software" (D1) that will be developed in EMPIR JRP 19IND99 MetroShine will not be suitable for military use as it relates to the sale of stock at retail selling points.

WP4: The work on "marine acoustic systems" which includes the good practice guide (D5) and the report on the numerical model (D6) will be used to improve regulations. As this WP focuses on modifying existing equipment, which is already available on the market, the project's results will not be suitable for military use.

Dual-use risks, including mitigation measures	
Dual-use risk (description)	Mitigation i.e. what the consortium will do to decrease the likelihood of the risk occurring
Dual-use items, technology or software, or related knowledge, is transferred outside of the EU without an export licence or appropriate authorisation.	The coordinator will share Regulation (EC) No 428/2009 with the consortium. Each partner will assess their activities in relation to this regulation and they will circulate the results throughout the consortium. The coordinator will identify if any export licences or appropriate authorisations are required. If this is the case, the coordinator will request further details from the partner(s) concerned and will ensure that these permits are acquired, and kept on file appropriately.
An export licence, or appropriate authorisation, is not applied for in time.	The requirement for an export licence, or appropriate authorisation, will be assessed by the consortium at the outset of the project and the required permits will be obtained as soon as possible thereafter.
Research with potential dual-use applications is published in a non-EU journal.	The partners will contact the publisher / relevant national authorities to check if authorisation is needed to publish the research findings.
<p>Export licences and other authorisations required for the transfer of dual-use items, technology or software, or related knowledge</p> <p>Our assessment concluded that the project will not require export licences or other authorisations for the transfer of dual-use items, technology or software, or related knowledge. If any unforeseen dual-use issues arise during the course of the project they will be discussed by the management board and relevant action will be taken. If any export licences or other authorisations are required, these will be obtained, and copies will be kept on file and made available as required. However, as stated above, such licences or other authorisations are not expected to be needed.</p> <p>Conclusions</p> <p>The dual-use of the items, technology or software produced in this project is unlikely because the results can only be used for testing high voltage electricity grids in the laboratory. In conclusion, this project will not develop, produce or use any dual-use items, technology or software, which could be used for both civil and military purposes. Nonetheless, dual-use will be consistently assessed during the entire lifetime of the project by the consortium.</p>	