



# Guide for Applicants (GfA)

**SMART4ALL First Open Call**

## **Cross-Domain Technology Transfer Experiments (CTTE)**

Application submission starts on: 01 December 2020, 00:00 CET  
Submission deadline is: 01 March 2021, 17:00 CET

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## History of changes

Version	Date	Changes	Page
<b>1.0</b>	<b>09.10.2020</b>	<b>Initial version</b>	

# 1 Introduction

SMART4ALL is a H2020 funded project (Grant Agreement No. 872614) that builds capacity amongst European stakeholders via the development of self-sustained, cross-border experiments that transfer knowledge and technology between academia and industry. It targets **Customised Low-Energy Computing (CLEC)** for **Cyber-Physical Systems (CPS)** and the **Internet of Things (IoT)** and combines a set of unique characteristics that join together under a common vision different cultures, different policies, different geographical areas and different application domains.

The SMART4ALL consortium is led by the University of Peloponnese (Greece) and is composed of 25 partners from Central, South and Eastern Europe.

SMART4ALL brings a new paradigm for revealing “hidden innovation treasures” – mainly from geographical areas that are underrepresented in European funding – and helping them to find the path to market via new, innovative commercial products. As part of its strategy, the project will develop and maintain an active network of DIHs across Central, South and Eastern Europe for supporting academics, SMEs and Slightly Bigger Companies entering the digitisation era.

In order to achieve this, SMART4ALL will design and implement 3 types of cross-border **Pathfinder Application Experiments (PAEs)**:

- 1) **Knowledge Transfer Experiments (KTE)**, which comprise a novel type of internship experiments allowing smaller projects, or less mature ideas to be presented, tested and thus potentially find the fertile ground to grow and reveal its product potentials;
- 2) **Focused Technology Transfer Experiments (FTTEs)**, focusing on one of the four defined underrepresented areas, will give the opportunity to form synergies, accelerate product orient projects and offer guidance towards successful commercialisation;
- 3) **Cross-domain Technology Transfer Experiments (CTTEs)**, targeting more complex multidisciplinary transfers and productization of novel CLEC CPS and the IoT technologies to wider markets.

The targeted application areas are domains that are not adequately represented in current Smart Anything Everywhere (SAE) projects and include **digitized environment, digitized agriculture, digitized anything and digitized transport**.

SMART4ALL introduces also the concept of **Marketplace-as-a-Service (MaaS)** that acts as one-stop-smart-stop of SMART4ALL DIH cluster for offering tools, services, platforms based mainly on open sources technologies as well as technology suppliers-adopter matchmaking capabilities customised to the four thematic pillars of the project.

SMART4ALL also plans horizontal activities that will support the **Digital Skills Agenda** of the European Commission and the support of sensitive social groups via ideas and products that have significant impact on their lives. This is especially relevant since the apparition and spread of the COVID-19 crisis; SMART4ALL's Open Calls will aim to address solutions facilitating its management before, during and after the crisis.

This Guide for Applicants describes the SMART4ALL first Open Call for **Cross-Domain Technology Transfer Experiments (CTTEs)**.



## 2 CTTE 1<sup>st</sup> Open Call Summary

### 2.1 Base definitions

- **Academic Organisations** refers to Universities and other Academic Institutions.
- **Industrial Organisations** refers to **SME and Slightly Bigger Companies** as defined in Section 3.1.
- **System Integrators/Technology Providers** refers to Academic or Industrial Organisations as defined in Section 3.1.
- **Pathfinder Application Experiments (PAE)**: Experiments for supporting the enhancement of the digital skills of European citizens. **Knowledge Transfer Experiments (KTEs)**, which act as internships/traineeships, apprenticeships and short-term training programmes for unemployed people for vacant digital jobs. **Focused Technology Transfer Experiments (FTTEs)** and **Cross-domain Technology Transfer Experiments (CTTEs)**, which are cross-border technology transfer experiments that bring together European companies, social partners, non-profit organizations and education, and intend to bring digital skills to labour force.
- **Executive Board** is the SMART4ALL governance body in charge of the scientific planning and monitoring of the execution of the Project. It is comprised of the SMART4ALL Work Package leaders and the Project coordinators.
- **Selection Committee** is the SMART4ALL governance body that will decide the selected beneficiaries of the Open Call. It is composed of the Executive Board and 2 External Evaluators (an additional External Evaluator will be added in case of a tie).
- **Mentoring Committee** is the SMART4ALL governance body that will evaluate the selected projects performance across the grant-cycle. It is comprised of the Technical Project Officers, the Innovation Officer, the Business Development Officer, as well as the Technical and Business Mentors.

### 2.2 CTTE at a glance

The **Cross-Domain Technology Transfer Experiments (CTTE)** funding instrument, focusing on one of the four defined verticals (Digitized Transport, Digitized Agriculture, Digitized Environment and Digitized Anything), will give the opportunity to form synergies, accelerate product orient projects and offer guidance towards successful commercialisation.

It will be of short-term duration (6-9 months) and will consist of **cross-border** Pathfinder Application Experiments (PAEs) between 3 different entities from at least two different eligible countries (as per the eligibility criteria stated in section 3.2).

For this CTTE Open Call, One Academic/Industrial **Technology Provider** transfers a novel technology to one Industrial **Technology Receiving** partner as an early-adopter and then one Industrial **productization** partner extends the value chain. The partners shall apply together as a consortium through a simple application form.

The consortium composition can be as follows:

Technology Provider	Technology Receiver	Productizer
Academic, Country 1	Industrial, Country 1 or 2	Industrial, Country 2, 1 or 3
Industrial, Country 1	Academic, Country 1 or 2	
Industrial, Country 1	Industrial, Country 1 or 2	

The leading partner must always have an Industrial partner status (SME or Slightly Bigger company).



Within these types of experiments, one party transfers to the receiving partner a specific Hardware (HW) or Software (SW) novel technology as an early-adopter and one productization partner extends the value chain.

Once PAEs will be selected, SMART4ALL will offer to the partners and third parties (Open Call beneficiaries):

- Technological support, including technical coaching and IPR and open access support through a specialized technological mentor for each experiment.
- Business support and funding access, including support for development of a business plan and identification of public and private funding sources through a specialized business mentor for each experiment.
- Visibility, thanks to the cooperation portal where all PAEs and beneficiaries will be published and the participation of SMART4ALL in main events at EU level.

SMART4ALL will organize 3 CTTE open calls, one per year during the first 36 months of the project. All SMART4ALL Open Calls are **single-stage**. There will be 12 beneficiaries over the course of the project.

Beneficiaries will be provided up to **EUR 80,000** as a lump sum. In this first CTTE open call, a total financial support of **EUR 320,000** (estimated) will be provided for approx. 4 CTTEs as a whole.

### 2.3 What is the technology behind SMART4ALL?

SMART4ALL focuses on CLEC, i.e. low-energy computing technologies applied in **four** SMART4ALL verticals with European leadership and strategic importance, including but not limited to the following SMART4ALL competence fields (see table below):

SMART4ALL VERTICALS				
SMART4ALL COMPETENCE FIELDS	DIGITIZED TRANSPORT	DIGITIZED ENVIRONMENT	DIGITIZED AGRICULTURE	DIGITIZED ANYTHING
	<ul style="list-style-type: none"> <li>• Green transport</li> <li>• Smart mobility</li> <li>• Shared mobility</li> <li>• Robotics</li> <li>• New platforms for efficient supply-demand matchmaking</li> <li>• Automotive electronics</li> <li>• Autonomous vehicles</li> <li>• Connected vehicles</li> <li>• Streamlining transport using big data</li> <li>• Aeronautics and space applications</li> <li>• Transport and Logistics</li> <li>• City Transport Mapping</li> </ul>	<ul style="list-style-type: none"> <li>• Smartbuilding</li> <li>• Smarthome</li> <li>• Critical infrastructure monitoring</li> <li>• Smart hospitals</li> <li>• Water pollution monitoring</li> <li>• Smartgrids</li> <li>• Energy management</li> <li>• Environment monitoring</li> <li>• Rural areas -&gt; Monitoring attractions such as lakes and rivers (both water and wet area).</li> <li>• Urban areas -&gt; indoor and outdoor pollution and noise monitoring.</li> <li>• Bio-diversity</li> <li>• Wild/migratory animals monitoring</li> <li>• Smart industry</li> </ul>	<ul style="list-style-type: none"> <li>• Smart farming</li> <li>• AI inspired agriculture</li> <li>• Information based site specific applications</li> <li>• Demand driven, sustainable agriculture</li> <li>• Mobile plant, soil and environment sensors</li> <li>• Sensor networks – EU wide – cross-border</li> <li>• Field robotics and automation systems</li> <li>• UAV based agriculture and plant monitoring</li> <li>• Selective plant protection</li> <li>• Closed nutrient cycles</li> <li>• Agricultural decision support systems</li> <li>• Zero-energy food systems</li> <li>• Circular economy</li> <li>• Water, Energy and Food (WEF) efficiency</li> <li>• Revalorization of agricultural waste</li> </ul>	<ul style="list-style-type: none"> <li>• Human-machine Interaction</li> <li>• Digital Education</li> <li>• Industrial Automation</li> <li>• Machine Learning</li> <li>• Market Intelligence</li> <li>• Medical and Health Applications</li> <li>• Active &amp; Healthy Ageing</li> <li>• Support for disabled persons</li> <li>• Cybersecurity</li> <li>• Data Mining and Big Data</li> <li>• Personal security</li> <li>• Additive Manufacturing (3D printing)</li> <li>• Augmented and Virtual Reality</li> <li>• Audio/Video Processing</li> <li>• Location-based Technologies</li> </ul>



SMART4ALL VERTICALS				
SMARTALL COMPETENCE FIELDS	DIGITIZED TRANSPORT	DIGITIZED ENVIRONMENT	DIGITIZED AGRICULTURE	DIGITIZED ANYTHING
			<ul style="list-style-type: none"> <li>• Data processing &amp; data visualization:</li> <li>• Processed data are visualized for monitoring by the interested parties (data can be accessed live in the web page of municipality)</li> <li>• The data will be used to build models for future prediction.</li> </ul>	

SMART4ALL will pay special attention to CLEC applications facilitating **COVID-19 management crisis** and all aspects of life before, during and after such crisis, focusing on the above four verticals.

## 2.4 Type of Activity

Types of activities that qualify for financial support are cross border technology transfers in the following format:

One partner (industrial or academic) from one eligible country transfers a particular novel hardware or software technology in the domain of Customized Low-Energy Computing (CLEC) for Cyber-Physical Systems (CPS) and the Internet of Things (IoT) to a receiving industry partner (SME or Slightly Bigger Company) from a different eligible country. One industrial productization partner extends the value chain. The transfer may include exclusive or non-exclusive licensing, training, services, documentation, etc., as necessary. The product or solution has to deal with one of the competence fields from one of the four SMART4ALL verticals abovementioned in section 2.3.

The receiving partner adopts and deploys this technology to enable improved products, processes or services (e.g. by gains concerning product cost, performance, or power consumption). Thereby, the technology receiver will achieve innovation and measurable impact, (e.g. in terms of increased revenue or newly created jobs).

### EXAMPLES:

CTTE Examples:

- 1) The compression algorithm with adequate adaption/enhancement is used in wireless communication for medical purposes.
- 2) A hardware accelerator is integrated and used in surveillance or medical or ambient assisted living environments purposes.

## 2.5 What is the application procedure?

Proposals must be submitted online using the application form available on the FundingBox submission platform at <https://smart4all.fundingbox.com/>. Proposals submitted by any other means will not be considered eligible for financial support.

For any proposal submitted, the applicant acts as the main contact between the consortium and SMART4ALL. It is the applicant’s responsibility to ensure the timely submission of the proposals. Applicants are encouraged





to submit their proposals a few days prior to the submission deadline to avoid any potential problems during the submission process.

A submitted proposal can be edited and updated as often as needed until the closing deadline of the open call. The last saved version of the submitted proposal at the time of the call closing deadline will be considered for evaluation only. Any further modification of the proposal will not be possible.

The submission platform will allow the applicant to download the complete proposal for reference.

## 2.6 What happens after the application is submitted?

Shortly after proposal submission, an automatically generated acknowledgement of receipt will be sent to the applicant's email address. The selection process will start, comprising the following stages:

- **Eligibility check:** check if the proposal meets the eligibility criteria included in section 3.
- **Experts evaluation:** each proposal will be evaluated by 2 (two) independent and confidential external evaluators with wide expertise in CLEC, CPS and/or IoT.
- **Consensus Meeting:** the SMART4ALL Selection Committee will meet and decide by consensus and based on the ranking obtained as result of the external expert evaluation.
- **Final selection:** Up to 4 consortia will be finally selected for funding. Prior to a formal communication to the successful consortia, the list of winners will be sent for review and acceptance to the Project Officer of the European Commission.

The whole process is described in detail in section 4.

## 2.7 Financial support

The CTTE partners will apply for financial support by submitting one joint proposal describing the CTTE and its technical plan and a detailed estimation of the CTTE-related costs.

- **Financial support per CTTE**

The CTTE experiments will be supported with a lump sum of **up to EUR 80,000**.

- **Financial support per CTTE partner**

Every CTTE partner can receive a maximum financial support of **EUR 60,000**.

Financial support will be paid out to the leading partner, who will then distribute the funds to the other partners according to the resource distribution set up in the proposal.

The financial support will be paid based on the submission and approval of deliverables as defined in section 2.9.

## 2.8 Eligible costs

The total financial support per CTTE includes the reimbursement of the following cost forms only:

- Costs of the staff involved in the CTTE;
- CTTE-related training and service activities for the industry partners;
- License and IPR agreement development;
- Necessary travel costs for mutual CTTE partner visits or CTTE presentations or demonstrations organized by SMART4ALL;
- Costs for providing open access to CTTE related scientific publications;
- Consumables and Equipment costs.

## 2.9 Deliverables and Payment arrangements

The cross-border CTTE selected will define at the beginning of the support programme, together with the mentors allocated, an **‘Individual Mentoring Plan (IMP)’**. This document establishes the KPIs and the 3 Deliverables that will be considered when evaluating the SMART4ALL Experiments’ performance at the milestones.

The **‘Mentoring Committee’** will evaluate the selected projects performance at the review milestones (established every 2-3 months), according with the following criteria:

- **Deliverables quality.** To be scored by the **Mentors** based on the Deliverables established in the IMP.
- **Business performance indicators.** To be scored by the **Business Mentors** based on the KPIs established in the IMP
- **Technical performance indicators.** To be scored by the **Technical Mentor** based on the KPIs established in the IMP.
- **Deadline Compliance.** To be scored by the **Mentors**.

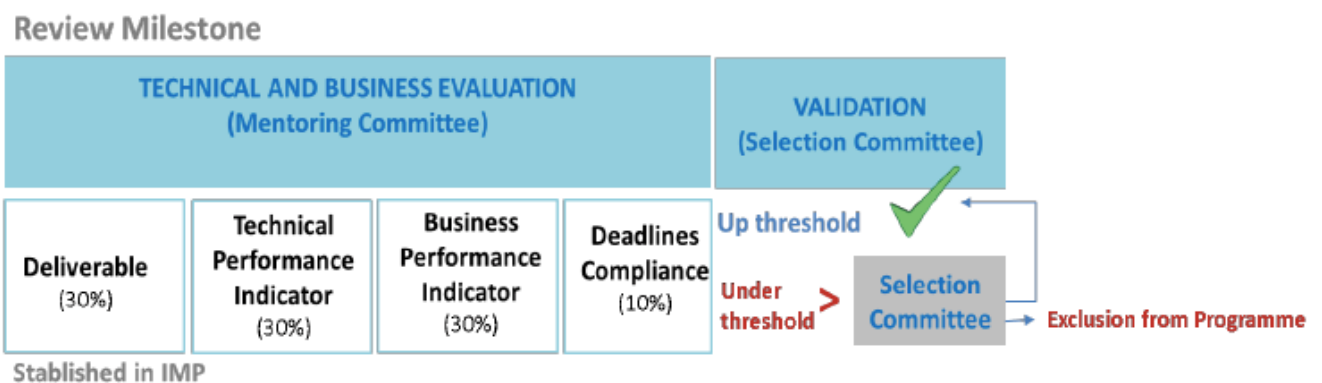
Each criterion will be scored from 0 to 10 and the weight of each one of these criteria, in the final score, will be as follows:

- Deliverable quality (30%).
- Technical performance indicators (30%).
- Business performance indicators (30%).
- Deadline Compliance (10%).

According with this final score:

- **Beneficiaries over threshold** (7 points) will successfully receive the next payment and be candidate to continue in the programme.
- **Beneficiaries under threshold.** Those beneficiaries which have not reached the threshold will be reviewed by the **‘Selection Committee’** who will take the final decision considering all possible objective reasons for underperformance (i.e. external factors which might have influenced the beneficiaries’ performance). Those not passing this examination will not receive the next payment and will be invited to leave the programme.

The following figure summarises the PAE’s review process:



The instalments after the approval of each of the 3 deliverables will be as follows:

Deliverable	Submission date	Instalment (% of the lump sum)
Initial Plan	End of Month 3	30
Intermediate Report	End of Month 6	50
Final Report	End of Month 9	20

## 2.10 Participation in other SMART4ALL open calls and in any from H2020 I4MS and SAE projects

As per European Commission's rules, financial support will not be awarded to individual legal entities that have already received more than EUR 100,000 via open calls (Financial Support to Third Parties = FSTP = cascade funding) from H2020 I4MS (<https://i4ms.eu/>) and SAE (<https://smartanythingeverywhere.eu/>) projects.

This limited amount does not include any EC contribution that your organisation receives or has received within an EU-funded project (within FP7 or H2020) as a beneficiary. Participation as a beneficiary within EU-funded projects does not affect the participation in SMART4ALL open calls.

Additionally, any legal entity or consortium participating in this open call will be able to apply for any other SMART4ALL open calls, provided the abovementioned limits are observed.

For clarification, please contact the relevant department in your organisation.

## 3 Eligibility criteria

All applicants will have to abide by all general requirements described in Sections from 3.1 to 3.8 of this Guide for Applicants in order to be considered eligible for the CTTE funding programme .

### 3.1 Types of Beneficiaries

The following types of organisations are eligible to participate in the call<sup>1</sup>:

The SMART4ALL cross border Experiments have to be proposed by a Consortium including the following type of applicants:

- **Universities and other Academic Institutions.**
- **SME and Slightly Bigger Companies**, as defined in the [EU recommendation 2003/361](#). Slightly Bigger Companies are defined respectively as organisations with a staff headcount below 500 employees and a turnover below EUR 100M.
- **System Integrators and/or Technology Providers**, i.e. any type of organisation specialised in technology transfer or system integration, serving the needs of end-users, provided they can be categorised in one of the two previous types of beneficiaries.

Proposals can be submitted by any of the aforementioned type of entities, but the participation of, at least, one SME/Slightly Bigger Company is compulsory and should be the lead of the cross-border Pathfinder Application Experiments (PAEs).

The PAEs must be cross-border, involving at three independent entities from at least two different eligible countries.

<sup>1</sup> No PIC number is necessary to participate in this call.

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The applicants involved in the consortia can NOT include any SMART4ALL partners.

## 3.2 Eligible countries

For this CTTE Open Call, the following countries will be eligible:

- the Member States of the European Union: Austria, Belgium, Bulgaria, Croatia, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Latvia, Lithuania, Luxembourg, Malta, Netherlands, Poland, Portugal, Romania, Slovakia, Slovenia, Spain, Sweden and United Kingdom.<sup>2</sup>
- the Countries Associated to Horizon 2020 (those which signed an agreement with the Union as identified in Article 7 of the Horizon 2020 Regulation): the latest information on which countries are associated, or in the process of association to Horizon 2020 can be found at:  
[http://ec.europa.eu/research/participants/data/ref/h2020/grants\\_manual/hi/3cp/h2020-hi-list-ac\\_en.pdf](http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/3cp/h2020-hi-list-ac_en.pdf)
- Any other South-East Europe (SEE) country not listed above but included in Annex A of the H2020 Work Programme.

Additionally, since one of the goals of SMART4ALL is to support the digital transformation in mainly European countries underrepresented in European funding schemes, by means of cross-border experiments, consortia including at least one member from one of the SEE countries will be prioritized (see section 4 of this Guide for Applicants): Albania, Bosnia and Herzegovina, Bulgaria, Croatia, Greece, Hungary, Kosovo, Moldova, Montenegro, North Macedonia, Romania, Slovakia, Slovenia and Serbia.

## 3.3 English language

English is the official language of SMART4ALL Open Calls. All proposals must be in English in all their mandatory parts in order to be eligible.

If the mandatory parts of the proposal are in any other language, the entire proposal will be rejected. If only non-mandatory parts of a proposal are submitted in a language different from English, those parts will not be evaluated but the proposal is still eligible.

English is also the only official language during the whole length of the SMART4ALL programme. This means that any requested deliverables will be admitted only if submitted in English.

## 3.4 Multiple submissions

No legal entity can be funded twice under SMART4ALL CTTE Open Calls. In the event that one organisation takes part in more than one consortium being among the selected projects, only the consortium with more points will be funded.

## 3.5 Submission system

Only applications submitted through the CTTE Open Call submission tool at <https://smart4all.fundingbox.com/> and within the Call duration will be accepted. Proposals submitted by any other means, will not be evaluated.

Only the documentation included in the application form and in the attachments to the form will be considered by Evaluators. The attachments can be in the following formats: PDF, PNG, JPG. Please note - the information

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<sup>2</sup> In case of applicants from the United Kingdom, the actual possibility of choosing under Open Call will depend on the conclusion of an appropriate agreement with the EU regarding further cooperation within projects financed from Horizon 2020 after transition period. Transition period end date is 2020/12/31. If you apply, despite the lack of the said agreement, you must take into account the risk of rejection of your application due to the non-fulfilment of the eligibility criteria.

from the attachments will not be scored by evaluators (this is additional information to support the proposal). It is the applicant's responsibility to include all the necessary information in the form.

The information provided should be actual, true and complete and should allow the assessment of the proposal.

### 3.6 Deadline

Applications must be submitted by the closing time and date published in the open call. Only proposals submitted before the deadline will be accepted. After the call closure no additions or changes to received proposals will be taken into account.

**The deadline for this call is 01 March 2020 (17:00 CET).**

### 3.7 Absence of conflict of interest

Applicants shall not have any actual or/and potential conflict of interest with the SMART4ALL selection process and during the whole internship programme. All cases of conflict of interest will be assessed case by case.

SMART4ALL consortium partners, its affiliated entities, employees and permanent co-operators cannot become a recipient of SMART4ALL financial support via open calls. This would be in breach of the European Commission's rules.

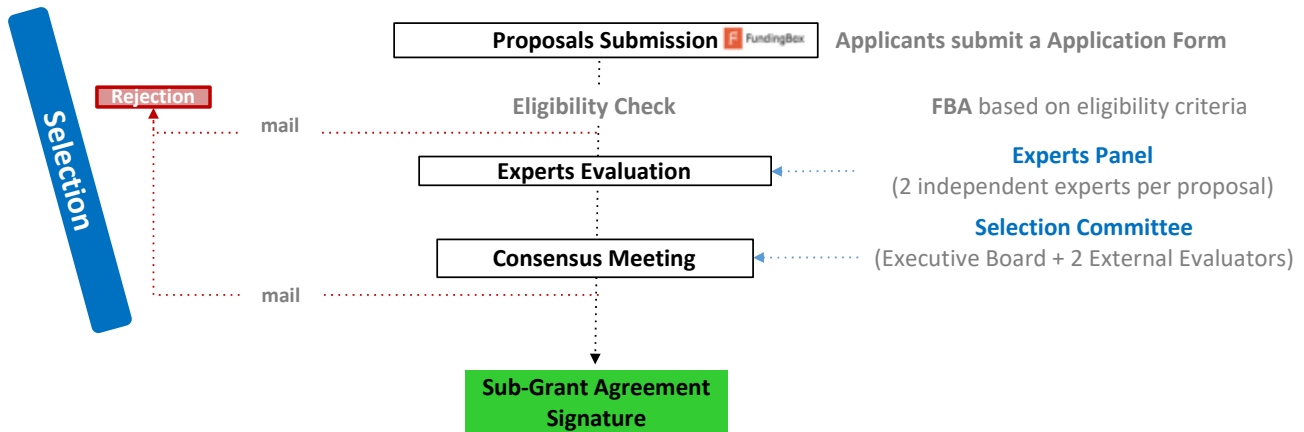
### 3.8 Other

Each applicant must confirm:

- It is not under liquidation or is not an enterprise under difficulty accordingly to the [Commission Regulation No 651/2014, art. 2.18.](#)
- Its project is based on the original works and going forward any foreseen developments are free from third party rights, or they are clearly stated.
- It is not excluded from the possibility of obtaining EU funding under the provisions of both national and EU law, or by a decision of both national or EU authority,
- All statements embodied in the Information and Consent Forms, included as annexes, considering the ethical issues that might arise concerning the gathering of personal data, during the application process.
- The Project is not excluded under the provisions of [article 19 of Regulation \(EU\) No 1291/2013 of the European Parliament and of the Council of 11 December 2013](#) (ethics).

## 4 Summary of the evaluation process

In this section, provides a more detailed description of the selection process. The selection process is as follows:



### 4.1 General eligibility check

A proposal will be considered eligible for evaluation if it meets the following conditions:

- the online proposal template has been completed as required,
- the proposal was submitted by the closing date as stated in the open call text, and
- the eligibility criteria set out in section 3 were met.

Proposals that do not fulfil all conditions will not be considered for evaluation.

### 4.2 External evaluation

CTTE applications will be evaluated by two independent and confidential evaluators with wide expertise in CLEC, CPS and/or IoT. The experts will be selected according to the specific characteristics of the CTTE.

**The proposals will be evaluated on the following criteria:**

**(1). EXCELLENCE** will evaluate:

- **Ambition:** The applicants have to demonstrate to what extent that proposed CTTE is beyond the state-of-the-Art and describe the innovative approach behind it (e.g. ground-breaking objectives, novel concepts and approaches, new products, services or business and organisational models).
- **Innovation:** Applicants should provide information about the level of innovation within their market and about the degree of differentiation that this project will bring.
- **Soundness of the approach:** The objectives of the proposed experiments should be clearly defined, relevant and aligned with the SMART4ALL project objectives, verticals and competence fields. The anticipated TRL elevation (typically from 5 to 7 on average, other combinations are also possible) should be clearly described and justified.

**(2). IMPACT** will analyse:

- **Benefits of the collaboration:** To what extent the collaboration between the partners will benefit each of them, in terms of technical and/or business/market expectations, and to what extent this particular collaboration will lead to a successful experiment and high economic impact.



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- **Market opportunity:** The applicants have to demonstrate a clear idea of what they want to do and whether the new/improved product has market potential, e.g. because it solves a problem for a specific target customer.
  - **Competition:** The applicants have to provide information about the degree of competition for their particular product/service and if the proposal is disruptive and breaks the market. i.e. the products/services to be brought to market can be clearly differentiated from the competition.
  - **Commercial Strategy and Scalability:** The applicants have to demonstrate the level of scalability of the new/improved product meaning by that not address to solve a specific problem but able to be commercialised to solve a structural problem in a specific sector/process/etc., using convincing business model and business projections.

**(3). IMPLEMENTATION** will consider:

- **Work plan:** The workplan of the experiment should be clearly described and fully aligned with the objectives, including Work packages, tasks and responsible partners. The time plan should be realistic and achievable, coherent and effective.
- **Team:** The promoters have to demonstrate their management and leadership qualities, their ability to take a concept from ideas to market, their capacity to carry through their ideas and understand the dynamics of the market they are trying to tap into. The team should be balanced and cross-functional team, with a strong background and skill base.
- **Resources:** Demonstrate the quality and effectiveness of the resources assigned in order to get the objectives/deliverables proposed.

**Transversal criteria** such as 'Environment and low carbon economy contribution', 'Equal Opportunities' and 'Social Impact' will be also considered by evaluators when scoring the proposals.

Each evaluator will rank the application assigning a score from 0 to 5 for each criterion and produce an **Individual Evaluation Report**. The overall score will be calculated as the sum of the individual assessments provided by the Evaluators, after normalising in order to compensate for scoring bias.

Each criterion will be scored out of 5. The threshold for individual criteria will be 3. The overall threshold, applying to the sum of the three individual scores, will be 10.

Applicants including **at least 1 member of the SEE region** in their consortium will be given **1 extra point** to the overall score (obtained by adding the three individual criteria).

In addition, for this specific CTTE 1<sup>st</sup> Open Call, proposals addressing current and future problems stemming from the COVID-19 crisis will be given **1 extra point** to the overall score.

The final score on each criterion will be given by adding. **Ties** will be solved using the following criteria, in order:

- Number of partners from a SEE country in the consortium.
- Impact score.
- Team score.
- Date of submission: earlier submitted proposals go first.

A '**Ranking List**' will be created and passed to the Consensus phase.



Score	Description	Justification
0	Fail	The proposal fails to address the criterion under examination or cannot be judged due to missing or incomplete information.
1	Poor	The criterion is addressed in an inadequate manner, or there are serious inherent weaknesses.
2	Fair	While the proposal broadly addresses the criterion, there are significant weaknesses.
3	Good	The proposal addresses the criterion well, although improvements would be necessary.
4	Very good	The proposal addresses the criterion very well, although certain improvements are still possible.
5	Excellent	The proposal successfully addresses all relevant aspects of the criterion in question. Any shortcomings are minor.

### 4.3 Consensus phase

The short list of pre-selected proposals will be passed to a consensus meeting involving the 'Selection Committee', composed by the SMART4ALL Executive Board and 2 External Evaluators.

The 'Selection Committee' will decide by consensus (an additional External Evaluator will be added in case of a tie) and based on the ranking gotten as result of the External Evaluation, the '**List of finalists**'. Whilst normally the highest ranked proposals at the External Evaluation phase will be proposed for next stage, there might be reasonable reasons for objecting to a specific third party, for example commercial competition.

This type of issues will be analyzed within the Consensus Meeting. In this case the choice may pass to the next-ranked proposal.

The 'Selection Committee' will decide by majority vote (2/3 from all members) the '**Provisional List of Beneficiaries**', and '**Reserve List**'. The exact number of proposals approved will be decided based on the overall quality of the proposals.

### 4.4 Ethical review

Before the Sub-Grant Agreement signature, the SMART4ALL Executive Board will review all selected CTTEs and, in particular, those highlighting upfront ethical issues (by participants or by evaluators) to validate the actions proposed and the others to ensure that there are no ethical issues.

Before any sub-grant agreement signature, CTTEs will also be reviewed by 1 ethical expert who will provide his/her ethical recommendations. These recommendations shall constitute an annex to the sub-grant agreement. Before the CTTE experiment final review, the ethical evaluator will review whether the recommendations have been implemented. Failure to implement the ethical recommendations will result in a termination of the sub-grant agreement. Relevant provisions will be included in the sub-grant agreement.

Consortia must indicate in their applications whether they foresee any ethical issues in the development of their projects and how they plan to handle them.

Candidates with proposals rejected due to ethical issues or rejected because they insufficiently address ethical issues in their projects will be contacted via email, indicating that their proposals cannot be selected and including the ethical report.





The objective of this ethical review is to make sure that SMART4ALL does not support CTTEs which would be contrary to fundamental ethical principles, and that the procedures to prevent ethical issues described in the proposal agree with the European Ethical Policies. In any case H2020 rules on ethical issues will be followed and when conflict with the national/local ethical rules the H2020 rules will prevail.

## 4.5 Formal decision

Formal decision of the financial support is subject to signing the SMART4ALL funding agreement. In case any consortium partner of SMART4ALL refuses to sign the funding agreement the proposal will be excluded from financial support. Instead, the first proposal, taken from a Reserve List of the top ranked proposals initially rejected, will replace the excluded one.

## 4.6 Communication after the evaluation

Applicants will be informed on the results after the evaluation has been completed and the final decisions have been made. Applicants of proposals rejected will receive an email including the reasons for rejection.

# 5 Preparation and submission of the applications

Proposals have to be submitted through the SMART4ALL microsite: <https://smart4all.fundingbox.com/>

Applications submitted by any other means will not be considered for funding.

All Applicants will be asked to acknowledge the Informed consent form – in order to submit the full Application.

The proposals – submitted through the online platform – will include the following sections:

- Contact info
- Information on Partner no. 1:
- Information on Partner no. 2:
- CTTE key data
- Description of the CTTE
  - (Scored) EXCELLENCE
  - (Scored) IMPACT
  - (Scored) IMPLEMENTATION
- Ethical issues, data protection and privacy
- Questions for statistical purposes
- Declaration of Honour and Absence of conflict of interest – acceptance
- Informed consent form – acceptance
- Processing of personal data – information clause acceptance

Additional material, which has not been included and specifically requested in the online application form, will not be considered for the evaluation of the proposals. Data not included in the proposal will not be taken into account. The SMART4ALL consortium makes its best effort to keep all provided data confidential; however, for the avoidance of doubt, the applicant is solely responsible to indicate its confidential information as such.

**The applicants are strongly recommended not to wait until the last minute to submit the proposal.** Failure of the proposal to arrive in time for any reason, including extenuating circumstances, will result in rejection of the proposal.

The applicants are solely responsible for verification of the completeness of the form. Data not included in the form will not be taken into account during assessment regardless of the reason for not being included.

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## 5.1 General communication procedure

The applicants will receive the communications after each step of the evaluation process indicating if they passed the phase or not. A communication will be sent to applicants eliminated, including the reasons for the exclusion.

## 5.2 Appeal procedure

If, at any stage of the evaluation process, the applicant considers that a mistake has been made or that the evaluators have acted unfairly or have failed to comply with the rules of this SMART4ALL Open Call, and that her/his interests have been prejudiced as a result, the following appeal procedures are available.

A complaint should be drawn up in English and submitted using the ticketing system at the [SMART4ALL Helpdesk](#). Any complaint should include:

- contact details (including postal and email address),
- the subject of the complaint,
- information and evidence regarding the alleged breach.

Anonymous complaints will not be reviewed.

Complaints should also be made within five (calendar) days since the evaluation results are presented to the Applicant.

As a general rule, the SMART4ALL Team will investigate the complaints with a view to arriving at a decision to issue a formal notice or to close the case within no more than seven days from the date of reception of the complaint, provided that all required information has been submitted by the complainer. Where this time limit is exceeded, the SMART4ALL Team will inform the complainer by email.

## 6 Obligations of FSTP beneficiaries

Each selected applicant will sign the Sub-Grant Agreement with Germany's Brandenburg University of Technology Cottbus-Senftenberg (BTU), on behalf of the SMART4ALL consortium. The funds awarded under the Sub-Grant Agreement are provided directly from the funds of the European Project SMART4ALL, and are therefore funds owned by the European Commission: Management of the SMART4ALL funds has been transferred to the project partners in SMART4ALL via the European Commission, Grant Agreement number 872614.

The SMART4ALL Sub-Grant Agreement will include the set of obligations that the FSTP beneficiaries have towards the European Commission. It is the task of the FSTP beneficiaries to satisfy these obligations and of the SMART4ALL consortium partners to inform the FSTP beneficiaries about them.

## 7 Intellectual Property Rights (IPR)

### 7.1 IPR ownership of the sub-granted projects

The ownership of all IPR created by the FSTP beneficiaries, via the SMARTALL funding, will remain with them. Results are owned by the Party that generates them. The Sub-Grant Agreement will introduce provisions concerning joint ownership of the results of the sub-granted projects.

The joint ownership existence will be assessed and negotiated case-by-case.



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## 7.2 Communication obligations

There are no IPR obligations toward the European Commission (EC). However, any communication or publication of the FSTP beneficiaries shall clearly indicate that the project has received funding from the European Union and the SMART4ALL programme, therefore displaying the EU and logo on all printed and digital material, including websites and press releases. Moreover, FSTP beneficiaries will agree that certain information regarding the projects selected for funding can be used by SMART4ALL consortium for communication purposes.

## 7.3 Support for the applicants

For more information about the SMART4ALL First CTTE Open Call, please check the [Frequently Asked Questions](#) (FAQs).

For further information on the Open Call, in case of any doubts regarding the eligibility rules, the information that is to be provided in the Application Form, or if you encounter technical issues or problems with the Application Form, please contact the [SMART4ALL Helpdesk](#).

When contacting the SMART4ALL Technical Helpdesk, please include the following information in your email message: your username, telephone number and your email address; details of the specific problem (error messages you encountered, bugs descriptions, i.e. if a dropdown list is not working, etc.); and screenshot of the problem.

The Helpdesk will also be available using the [FundingBox Online Community](#) in spaces.

## 8 Schedule

The table below presents the indicative dates during which each phase of the evaluation will take place:

Description	Indicative Dates
First CTTE Open Call launch	01 December 2020 at 00:00 CET
First CTTE Open Call deadline	01 March 2021 at 17:00 CET
First CTTE Open Call evaluation and selection	March 2021
Consensus Meeting	April 2021
Communication of Results	April 2021
Start of Experiment	Beginning of June 2021

*Table: SMART4ALL First CTTE Open Call schedule*

## 9 Applicable law

Any matters not covered by this Guide for Applicants will be governed by German law, in particular, the provisions of the German Civil Code and the law of the European Union.

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## Annex 1: Declaration of Honour and absence of conflict of interest

As representative of the Applicants Consortium submitting this proposal, I declare:

- a) that none of the members of the Applicant Consortium, are in one of the following situations:
1. it is bankrupt or being wound up, is having its affairs administered by the courts, has entered into an arrangement with creditors, has suspended business activities, is the subject of proceedings concerning those matters, or is in any analogous situation arising from a similar procedure provided for in national legislation or regulations;
  2. it or persons having powers of representation, decision making or control over it have been convicted of an offence concerning their professional conduct by a judgment which has the force of res judicata;
  3. it has been guilty of grave professional misconduct proven by any means which the contracting authority can justify including by decisions of the European Investment Bank and international organisations
  4. it is not in compliance with its obligations relating to the payment of social security contributions or the payment of taxes in accordance with the legal provisions of the country in which it is established or with those of the country of the contracting authority or those of the country where the contract is to be performed;
  5. it or persons having powers of representation, decision making or control over it have been the subject of a judgment which has the force of res judicata for fraud, corruption, involvement in a criminal organisation or any other illegal activity, where such illegal activity is detrimental to the Union's financial interests;
  6. it is subject to an administrative penalty for being guilty of misrepresenting the information required by the contracting authority as a condition of participation in a grant award procedure or another procurement procedure or failing to supply this information, or having been declared to be in serious breach of its obligations under contracts or grants covered by the Union's budget.
- b) that the natural persons with power of representation, decision-making or control over any member of Applicants Consortium are not in the situations referred to in 2. and 5. above;
- c) that none of the members of the Applicant Consortium,:
1. is subject to a conflict of interest.
  2. Has been approved and therefore received funds from any other Accelerator Programme with the same or a similar project;
  3. received more than €100,000 financial support via open calls (Financial Support to Third Parties = FSTP = cascading funding) from H2020 I4MS and SAE projects;
  4. made false declarations in supplying the information required, as a condition of participation in the Open Call or does not fail to supply this information;
  5. is one of the situations of exclusion, referred to in the abovementioned points 1) to 4).
- d) that whole members of the Applicant Consortium:
- are committed to participate in the abovementioned project;
  - understands that participation in SMART4ALL CTTE project is incompatible with contemporary participation in any other acceleration programme;
  - has stable and sufficient sources of funding to maintain its activity throughout its participation in the abovementioned project and to provide any necessary counterpart funding;
  - has or will have the necessary resources as and when needed to carry out its involvement in the abovementioned project.



## Annex 2: Informed consent form

The statements below will be included prior to the online application form.

*By ticking the boxes below, I confirm that I have read and understood the information package and in particular have noted that:*

- 1 *I have read and understood the information about the project, as provided in the Information Sheet.*
- 2 *I have been given the opportunity to ask questions about the project and my participation via <https://smart4all.fundingbox.com/> and I voluntarily agree to participate in the SMART4ALL project.*
- 3 *I understand that I can withdraw from the SMART4ALL project at any time without giving reasons and that I will not be penalised for withdrawing nor will I be questioned on why I have withdrawn.*
- 4 *The procedures regarding confidentiality have been clearly explained (e.g. use of names, anonymisation of data, etc.) to me.*
- 5 *The use of the data in research, publications, sharing and archiving has been explained to me.*
- 6 *I understand that other researchers will have access to this data only if they agree to preserve the confidentiality of the data and if they agree to the terms I have specified in this form.*

*I voluntarily agree to join the SMART4ALL Online Community at <https://fundingbox.com/c/smart4all-1>*

*By ticking the box below, I confirm that I have read and understood that:*

### **SMART4ALL Marketplace**

*SMART4ALL Marketplace will significantly increase the visibility of the tools, educational material, services and solutions that will be shared or/and contributed by the partners as well as 3<sup>rd</sup> parties.*

*SMART4ALL Marketplace will provide AI based services that will link technology providers with technology receivers and vice versa. Therefore, tools, educational material, services and solutions that are shared/provided through the SMART4ALL Marketplace will continuously participate in this matchmaking process leading to potentially significant benefits.*

*SMART4ALL Marketplace focuses on providing complete and holistic solutions to specific problems and challenges. Therefore, the tools, the educational material, the services and the solutions shared/provided through the SMART4ALL Marketplace will be envisioned and integrated as part of complete solutions thus increasing the respective added value of specific and isolated tools.*

*I agree to publish the data of Applicants Consortium in SMART4ALL Marketplace (<https://www.smart4all-project.eu/marketplace>) by University of Peloponnese with registered office in Erythroy Stavroy 28 & Karyotaki, 22131, Tripolis, Greece( Smart4All Project Coordinator), [www.uop.gr](http://www.uop.gr)*

*The consent may be withdrawn at any time by contacting the Controller at the e-mail address: [privacy@fundingbox.com](mailto:privacy@fundingbox.com). The withdrawal of consent does not affect the lawfulness of processing based on a consent before its withdrawal.*



## Annex 3: Processing of personal data

### CONTROLLER'S IDENTITY AND CONTACT DETAILS

The data controller is FundingBox Accelerator sp. z o.o. (Al. Jerozolimskie 136, 02-305 Warsaw, Poland).

In all matters regarding personal data, you can contact us using the following email address: [privacy@fundingbox.com](mailto:privacy@fundingbox.com)

### PURPOSES, LEGAL BASIS AND PROCESSING PERIOD

<i>The purpose of processing</i>	<i>Legal basis for processing</i>	<i>Period</i>
<i>To run an Open Call and collect data necessary to evaluate applications submitted in the Open Call</i>	<i>The legal basis for processing is the indispensability to implement the legitimate interest of the data controller, consisting in fulfilling the obligations laid down in the Grant Agreement (Article 6, paragraph 1 (f) of GDPR in this respect).</i>	<i>6 years from the end of the year in which the SMART4ALL Project ended.</i>
<i>To realise the Project goals described in the Grant Agreement (communication, reporting, collaborating with other project partners)</i>	<i>The legal basis for processing is indispensability to implement the legitimate interest of the data controller, consisting in effectively participating in the project and fulfilling the obligations laid down in the Grant Agreement (Article 6, paragraph 1 (f) of GDPR in this respect).</i>	<i>6 years from the end of the year in which the SMART4ALL Project ended</i>
<i>In order to consider potential complaints</i>	<i>The legal basis for processing is indispensability to implement the legitimate interest of the data controller fulfilling the obligations laid down in the Grant Agreement (Article 6, paragraph 1 (f) of GDPR in this respect).</i>	<i>6 years from the end of the year in which the SMART4ALL Project ended</i>
<i>To run an Open Call and collect data necessary to evaluate applications submitted in the Open Call</i>	<i>The legal basis for processing is the indispensability to implement the legitimate interest of the data controller, consisting in fulfilling the obligations laid down in the Grant Agreement (Article 6, paragraph 1 (f) of GDPR in this respect).</i>	<i>6 years from the end of the year in which the SMART4ALL Project ended.</i>

### DATA RECEIVERS

Data controller will transfer personal data only to trusted recipients such as entities belonging to the FundingBox's capital group, evaluators, IT service providers, accountants, law firms, postal and courier companies (who process personal data on the controller's behalf).

To realize the SMART4ALL Project data can be transferred also to Project Partners (complete list of the SMART4ALL Project partners is available at the email address: [privacy@fundingbox.com](mailto:privacy@fundingbox.com)), European Commission and other affiliated entities.

### RIGHTS OF DATA SUBJECT

Due to the fact that we process your personal data, you have the right to:

- 1) request access to your personal data,
- 2) demand the rectification of their personal data,
- 3) request to remove or limit the processing of your personal data,
- 4) complain with the supervisory authority (The President of the Personal Data Protection Office, Warsaw, Poland).



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You also have a right to object to processing of your personal data (according to the Article 21 of GDPR). You also have right to object to processing of your personal data (according to the Article 21 of GDPR).

**INFORMATION ABOUT VOLUNTARY OR OBLIGATORY DATA PROVISION**

Providing data is voluntary, although it is necessary to participate in the SMART4ALL First CTTE Open Call. Without providing your data, it is not possible to contact you and evaluate the application.



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## Annex 4: Call announcement

### SMART4ALL First CTTE Open Call

**Project Acronym:** SMART4ALL

**Grant agreement number:** 872614

**Project Full name:** Self-Sustained Cross-Border Customised Cyber-Physical System Experiments for Capacity Building among European Stakeholders

**Call identifier:** SMART4ALL\_CTTE\_OC1

**Publication Date:** 01 December 2020 (00:00 CET)

**Deadline:** 01 March 2021 (17:00 CET)

**Maximum funding request per consortia application:** Up to EUR 80,000 EU Funds.

**Submission language:** English

**Web address for full open call information:** <https://www.smart4all-project.eu/>

**Web address for application submissions:** <https://smart4all.fundingbox.com/>

#### Additional Information

SMART4ALL is a H2020 funded project (Grant Agreement No. 872614) that builds capacity amongst European stakeholders via the development of self-sustained, cross-border experiments that transfer knowledge and technology between academia and industry. It targets **Customised Low-Energy Computing (CLEC)**, **Cyber-Physical Systems (CPS)** and the **Internet of Things (IoT)** and combines a set of unique characteristics that join together under a common vision different cultures, different policies, different geographical areas and different application domains. The targeted application areas are domains that are not adequately represented in current Smart Anything Everywhere (SAE) projects and include **digitized environment, digitized agriculture, digitized anything and digitized transport**.

A total 67 cross-border **Pathfinder Application Experiments (PAEs)** will be executed by the SMART4ALL consortium members and by **Third-Party consortia** which will be financially supported via 3 open calls of the following 3 types:

- 1) **Knowledge Transfer Experiments (KTE)**, which comprise a novel type of internship experiments allowing smaller projects, or less mature ideas to be presented, tested and thus potentially find the fertile ground to grow and reveal its product potentials;
- 2) **Focused Technology Transfer Experiments (FTTEs)**, focusing on one of the four defined underrepresented areas, will give the opportunity to form synergies, accelerate product orient projects and offer guidance towards successful commercialisation;
- 3) **Cross-domain Technology Transfer Experiments (CTTEs)**, targeting to more complex multidisciplinary transfers and productization of novel CLEC CPS and the IoT technologies to wider markets.

This third SMART4ALL is the first **CTTE Open Call**, in a single stage.

#### Who can apply?

**Consortia** composed of **three different entities from at least two different countries** including one Academic/Industrial partner who acts as a Technology Provider and an Industrial partner acting as a Technology Receiver and one Industrial productization partner to extend the value chain. Please, visit <https://smart4all.fundingbox.com/> to find more information of the project.

The eligible countries are: EU Member States, H2020 Associated countries and any other South-East Europe countries not listed above and included in Annex A of the H2020 Work Programme.



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Consortia including **at least one member of the following South-East Europe countries** will be prioritised: Albania, Bosnia and Herzegovina, Bulgaria, Croatia, Greece, Hungary, Kosovo, Moldova, Montenegro, North Macedonia, Romania, Slovakia, Slovenia and Serbia.



*H2020 Innovation Action – This project has received funding from the European Union’s Horizon 2020 research and innovation programme under grant agreement No 872614*