



# Guide for Applicants (GfA)

## SMART4ALL Second Open Call for Knowledge Transfer Experiments (KTE)

Application submission starts on: 15 March 2021, 00:00 CET

Submission deadline is: 15 June 2021, 18:00 CEST



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## TABLE OF CONTENTS

History of changes	4Introduction 5KTE 2nd Open Call Summary 6Base definitions	6
KTE at a glance		6
What is the technology behind SMART4ALL?		7
Type of Activity		8
What is the application procedure?		8
What happens after the application is submitted?		8
Financial support		8
Eligible costs		9
Deliverables and Payment arrangements		9
Participation in other SMART4ALL open calls and in any from H2020 I4MS and SAE projects		10
Eligibility criteria	10Types of Beneficiaries	10
Eligible countries		10
English language		11
Multiple submissions		11
Submission system		11
Deadline		11
Absence of conflict of interest		12
Other		12
Summary of the evaluation process	12General eligibility check	12
External evaluation		13
Consensus phase		14
Ethical review		15
Formal decision		15




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Communication after the evaluation	15
General communication procedure	15
Appeal procedure	15
Obligations of FSTP beneficiaries	16Intellectual Property Rights (IPR) 16IPR ownership of the sub-granted projects
	16
Communication obligations	16
Support for the applicants	16
Applicable law	17Annex 1: Processing of personal data
	18



## History of changes

Version	Date	Changes	Page
<b>1.0</b>	<b>15.02.2021</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 productisation 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 Second Open Call for **Knowledge Transfer Experiments (KTE)**.



## 2 KTE 2<sup>nd</sup> Open Call Summary

### 2.1 Base definitions

**Sending Organisation** refers to the Academic or Industrial organisation that sends a member of its staff to another Academic or Industrial organisation in order to transfer a proposed knowledge to that organisation.

**Host Organisation** refers to the Academic or Industrial organisation that hosts the person sent by the sending organisation and that will receive the proposed knowledge.

**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.

**Staff member** refers to:

- For an Academic Organisation:
  - **Early-Stage Researcher (ESR)**: a Researcher without a PhD and less than 4 years of experience;
  - **Experienced Researcher (ER)**: a Researcher with a PhD or more than 4 years of experience.
  - **Other researcher** (holding a Master's degree or higher) employed in third level education institutes, research infrastructures, non-profit organisations and charitable (scientific) foundations and public research centres.
- For an Industrial organisation:
  - **Managerial** staff
  - **Technical** staff
  - **Innovation** staff (i.e. Internet technologists)
  - **Other** staff

### 2.2 KTE at a glance

For this funding instrument, SMART4ALL will select up to 43 cross-border **consortia** including one Academic/Industrial partner who acts as **Sending** Organisation and one Academic/Industrial partner who acts as **Host** Organisation, in **three** competitive KTE open calls, up to 15 in each one.

All SMART4ALL Open Calls are **single-stage**.

For this KTE Open Call, a Sending and Host organisation shall apply together as a consortium through a simple application form. The consortium composition can be as follows:

Sending	Host
Academic	Industrial
Industrial	Academic
Industrial	Industrial

A KTE is a short 3-month internship experiment where the Sending organisation will send a member of its staff to the Host organisation based in a different country in order to transfer a certain knowledge related to the SMART4ALL technologies and verticals described hereunder. As a result of the restrictions associated with the Covid19 pandemic, applicants will also have the option to participate in the program without travelling to the host country.

The members of the consortia can agree on a bi-directional transfer of knowledge. Additionally, the **Leading Partner must always have an Industrial partner status (SME or Slightly Bigger company)**.

In this second KTE open call, a total financial support of **€120,000** (estimated) will be provided for up to 15 KTEs 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				
S M A R T 4 A L L C O M P E T E N C E F I E L D S	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>• Smarhome</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> <li>• Data processing &amp; data visualization:                             <ul style="list-style-type: none"> <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> </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>

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

The purpose of the KTE is the following: a concrete internship project between two different entities from two different EU Countries: one Academic/Industrial partner who acts as Sending Organisation and one Academic/Industrial partner who act as Host Organisation. The activities that qualify for financial support are related to the exchange of knowledge of CLEC for CPS and IoT, to be applied in a product or solution dealing with one of the abovementioned competence fields

### EXAMPLES:

- 1) A university group has developed a tool for fast FPGA processing of DNA data. An SME wants to investigate whether this tool can be easily integrated into its main development process. and check the actual benefits in the field. A Researcher from the university group moves to the company for 3 months. The SME would be the host organisation.
- 2) An SME is seeking a university group with expertise in a new technology (e.g., simulation techniques for 5G networks). A technical employee from the group moves to the company for 3 months to develop simulation models using a state-of-the-art network simulator. The SME would be the host organisation.

## 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-2nd-kte.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 15 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 KTE experiments will be supported with a lump sum of **up to EUR 8,000** each to cover mobility allowance for implementing the internship. Beneficiaries who cannot travel due to Covid-19 restrictions will have the option to change the amount of the financial support to a lump sum of up to EUR 6,000. In these cases, the experiment could be executed remotely. This decision can only be made prior to the signature of the Sub-Grant Agreement (SGA). After the SGA has been signed, no changes will be allowed, and the beneficiary will have to carry out the experiment as per the agreement.

The consortia will be **free** to distribute this amount among the two partners. However:

- Each consortium will need to explain in the online application form **how** the amount will be distributed between the partners and **what** category of costs each partner will be responsible for.
- The grant will be paid to the **Leading Partner** who will be responsible for its distribution within the consortium. Each consortium will decide which organisation will be the Leading Partner, but it must always have an Industrial Partner status (SME or Slightly Bigger company). Details of the grant distribution among partners will be described in the Sub-Grant Agreement.
- Before deciding on the distribution of expenditure in the project, attention should be paid to EU and national social security regulations. Social security costs should be borne by the partner who is obliged to do so under the abovementioned regulations.

## 2.8 Eligible costs

The total financial support per KTE includes only the following cost forms:

- Salaries or staff manpower needed to implement a granted specific KTE experiment.
- Necessary travel, accommodation and subsistence costs for the member of the staff of the Sending organisation to be sent to the Host one (only applicable to those consortia applying for an EUR 8,000 funding support).
- Social security costs due by the Host organisation.
- Institutional environment requirements if any (hosting arrangement, infrastructure).

The Financial Support reimburses 100% of the eligible costs of the Selected Third-Parties that are non-profit legal entities (universities and other academic institutes) and 70% of the eligible costs of the Selected Third-Parties that are for-profit legal entities (SMEs or Slightly Bigger Companies). However, these reimbursement rates have already been considered in the lump sum calculation and will not affect the distribution rate among partners as mentioned in the above section 2.7.

## 2.9 Deliverables and Payment arrangements

The SMART4ALL Financial Authority will make the payments to the Leading Partner of the KTE based on deliverable submission and approval by the SMART4ALL Mentoring Committee:

The lump sum is a simplified method of settling expenses in projects financed from Horizon 2020 funds. It means that the grantee is not required to present strictly defined accounting documents to prove the cost incurred (e.g. invoices), but is obliged to demonstrate the implementation of the project in line with the milestones set for it. Simply speaking it means that we will assess your progress and quality of your work during the project.

Deliverable	Submission date	Instalment (% of the lump sum)
Inception Report	15 days after Sub-Grant Agreement Signature	50.0
Final Report	End of Month 3	50.0

The Inception Report will be an Individual Mentoring Plan that the selected applicants will have to define together with the coaches they will be assigned after the Sub-Grant Agreement signature.



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The Individual Mentoring Plan will include:

- The Technical and Business KPIs to be accomplished during the experiment.
- The template of the Final Report.

## 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 Knowledge Transfer Experiment funding programme.

### 3.1 Types of Beneficiaries

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

- **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 €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.

### 3.2 Eligible countries

For this KTE 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.
- 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/3cpart/h2020-hi-list-ac\\_en.pdf](http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/3cpart/h2020-hi-list-ac_en.pdf)

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



- Any other South-East Europe (SEE) country not listed above but included in Annex A of the H2020 Work Programme.
- United Kingdom

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 prioritised (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 program. This means that any requested deliverables will be admitted only if submitted in English.

### 3.4 Multiple submissions

Any legal entity will be able to apply to the second KTE Open Call in as many consortia as wished, but the staff member to be sent to the host organisation can only take part of one consortium.

Additionally, no legal entity can be funded twice by SMART4ALL for the same project. In the event that one organisation takes part of more than one consortium being among the selected projects, only the consortium with more points will be funded.

Consortia will not be able to change their composition after being selected. If consortium members in the submitted application do not provide full written commitment of their exclusive involvement in the project selected (not being able to participate in any other of the selected projects) before signing the Sub-Grant Agreement, the project will not be able to participate in the programme and another project will be picked from the reserve list.

### 3.5 Submission system

Only applications submitted through the KTE Open Call submission tool at <https://smart4all-2nd-kte.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 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 15 June 2021 (18:00 CEST).**

### 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 program. 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.

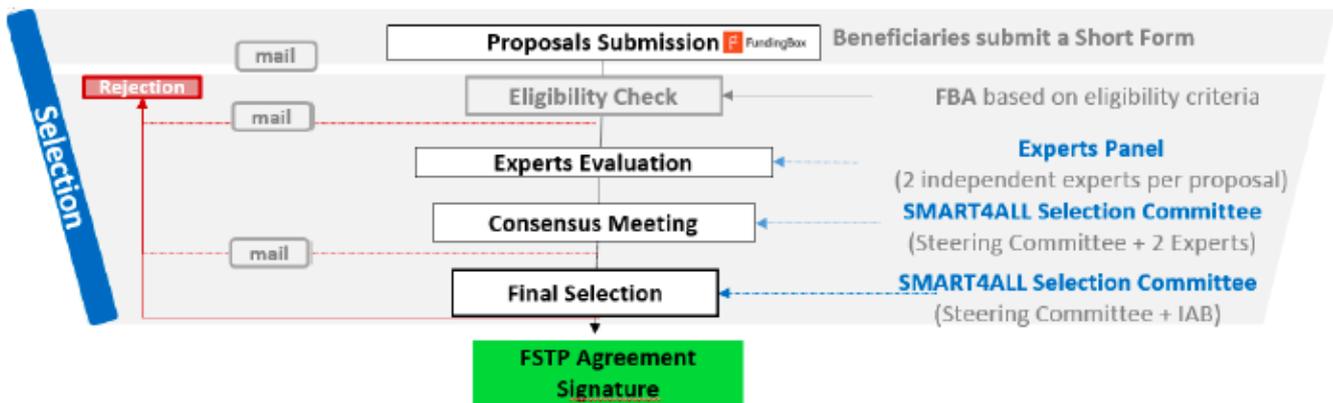
### 3.8 Other

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

KTE 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 KTE.

The proposals will be evaluated on the following criteria:

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

- **Quality and credibility of the innovation project:** level of novelty and appropriate consideration of the vertical applications of the proposed knowledge transfer.
- **Quality and appropriateness of the knowledge sharing** among the participating organisations in light of the research and innovation objectives.
- **Quality of the proposed interaction** between the participating organisations.

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

- **Enhancing the potential and future career of the staff member** being sent to the Host organisation.
- **Developing new and lasting research collaborations, achieving transfer of knowledge** between participating organisations. Describe the **Benefits for the participating organisations**, in terms of technical and/or business/market expectations.
- **Market potential of the proposed knowledge transfer** in one of the SMART4ALL verticals and **competition analysis**.
- Quality of the proposed measures to **exploit and disseminate** the project results, focusing on the SMART4ALL **marketplace**.
- Quality of the proposed measures to **communicate** the project activities to different target audiences and their delivery (in terms of repository in SMART4ALL marketplace).
- How the proposal has an impact in the lives of **sensitive social groups**<sup>2</sup>. I.e. Improving or supporting the lives of people who belong in sensitive social groups (i.e. vulnerable or high-risk groups which are those groups of the population that have limited or no access to social and public goods and have difficulty or are unable at many levels and in various areas to have a good quality of life, due to characteristics related to gender, age, ethnic origin, occupation, income, physical disabilities).

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

- **Coherence and effectiveness of the Work Plan**, including appropriateness of the allocation of tasks and resources. The work plan of the experiment should be clearly described and fully aligned with the objectives. The time plan should be realistic and achievable.
- **Appropriateness of resources allocation** (as described in Section 2.8). Resources shall comply with i) the applicable national law and taxes, labour and social security and ii) the principle of a sound financial management regarding economy and efficiency.
- **Competences, experience and complementarity** of the participating organisations **and their commitment to the project**.

Each evaluator will rank the application assigning a score from 0 to 5 for each criterion and produce an **Individual Evaluation Report**. The final score will be calculated as the sum of the individual assessments provided by the Evaluators.

<sup>2</sup> Sensitive social groups are ethnic minorities (e.g. Roma and Egyptian population, Africans, and/or any other ethnic minorities identified in the region), migrants, refugees, asylum seekers, stateless persons, people with disabilities, the homeless, those struggling with addition of any kind, isolated elderly people, people in detention, victims of gender violence, women in rural Balkan areas due to their prevalence in informal labour, HIV/AIDS affected, long term unemployment population, low income pensioners, and children. In general, all those who face difficulties that can lead to further social exclusion, such as low levels of education and unemployment or underemployment.



In case the scores of the evaluators differ significantly, the divergence will be solved by involving a third evaluator in the process.

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.

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, proposals addressing current and future problems stemming from the COVID-19 crisis will be given **1 extra point** to the overall score.

To determine the final ranking, the weight of each criterion will be as follows:

Criterion	Score Threshold	Weight	Weighted threshold
Excellence	3	1	3
Impact	3	1.5	4.5
Implementation	3	1	3
Inclusiveness of SEE partners	1 extra point		
COVID-19 solutions	1 extra point		

**Ties** will be solved using the following criteria, in order:

- Number of partners from a SEE country in the consortium
- Implementation score
- Excellence score
- Impact score

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

### 4.3 Consensus phase

The 'Selection Committee' formed by the SMART4ALL Executive Board and maximum 2 external experts, will decide by Consensus (or  $\frac{2}{3}$  majority votes) the proposals to be awarded the financial support. The discussion will be based on the ranking obtained as a result of the External Evaluation.

Whilst normally the highest ranked proposals will be selected for funding, the Selection Committee might have fair reasons for objecting to a specific third party, like the alignment with SMART4ALL goals and scope, an imbalance of proposals across verticals and countries, as well as the existence of significant ethical issues or a potential conflict of interest. In this case, the choice may pass to the next-ranked proposal.



The exact number of proposals approved will be decided based on the overall quality of the proposals. A '**Final List of Beneficiaries**' and a '**Reserve List**' will be created and submitted to the SMART4ALL Project Officer for a final review and approval.

## 4.4 Ethical review

Before the Sub-Grant Agreement signature, the SMART4ALL Ethics Manager will review all selected KTEs 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 not ethical issues.

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 KTEs 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. To do so, the selected applicants will be asked to provide documents regarding their formal status within the deadlines that will be communicated to them (for the details, please check our Frequently Asked Questions Document). If a selected applicant fails to deliver the requested documents on time, without clear and reasonable justification, it will be excluded from the further formal legal assessment. In case that a member of the applicant consortium refuses to sign the funding agreement, the proposal will be excluded from financial support. In the event of one of the mentioned cases, a proposal taken from the Reserve List of the top ranked proposals initially rejected, will replace the excluded one, after a formal meeting by the Selection Committee. Whilst normally the highest ranked proposal from this reserve list would be selected for funding, the Selection Committee might have fair reasons for objecting to a specific third party, like the alignment with SMART4ALL goals and scope, an imbalance of proposals across verticals and countries, as well as the existence of significant ethical issues or a potential conflict of interest. In this case, the choice may pass to the next-ranked proposal.

## 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.

## 4.7 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.

## 4.8 Appeal procedure

If, after receiving the results of one of the evaluation phases (when foreseen), you consider that a mistake has been made, you can send us a complaint. To do so, please send us your complaint in English by email to: [helpdesk@smart4all-project.eu](mailto:helpdesk@smart4all-project.eu) including the following information:

- your contact details (including email address),

- the subject of the complaint,
- information and evidence regarding the alleged breach.

You have **3 calendar days** to submit your complaint starting from the day of becoming aware of the grounds for the rejection. The SMART4ALL Selection Committee will review your complaint within no more than seven calendar days from its reception. If we need more time to assess the complaint, we will inform you by email about the extension. We will not review anonymous complaints as well as complaints with incomplete information. Please take into account that the evaluation is run by experts in the given field, and SMART4ALL Selection Committee does not interfere with their assessment, therefore no complaints related to the results of the evaluation will be evaluated, other than the ones related to the mistakes in the evaluation of the eligibility criteria.

## 5 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.

## 6 Intellectual Property Rights (IPR)

### 6.1 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.

This will be assessed and negotiated case-by-case.

### 6.2 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 the SMART4ALL consortium for communication purposes.

### 6.3 Support for the applicants

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

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 SMART4ALL Helpdesk at [helpdesk.smart4all-project.eu](mailto:helpdesk.smart4all-project.eu).



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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 at <https://spaces.fundingbox.com/c/smart4all-1>

## 7 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.



## Annex 1: Processing of personal data

### Processing of personal data in SMART4ALL Second KTE in SMART4ALL Project

#### 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 via: [privacy@fundingbox.com](mailto:privacy@fundingbox.com).

#### PURPOSES, LEGAL BASIS AND PROCESSING PERIOD

The purpose and legitimate interest of processing	Legal basis for processing	Period
1) To run an Open Call and collect data necessary to evaluate applications submitted in the Open Call	Legitimate interest of Funding Box (based on Article 6, paragraph 1 (f) of GDPR) which is fulfilling the obligations and our other interests related to this purposes	6 years from the end of the year in which the Project ended
2) To realize the Project goals described in the Grant Agreement (e.g. communication, reporting, collaborating with other project partners)		
3) To consider potential complaints		
4) To possibly establish and enforce claims or defend against them		

#### DATA RECEIVERS

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

Due to the fact that we use the services of Google LLC, your data may be transferred to the USA. We have concluded an agreement with Google LLC - the so-called Standard Contractual Clauses. This means that in accordance with the decision of the European Commission No. 2010/87 / EU of February 5, 2010, your personal data may be processed by this company in the USA. More information about the decision at: <https://eur-lex.europa.eu/legal-content/PL/TXT/?uri=celex%3A32010D0087>

To realize the Project data can be transferred also to Project Partners (complete list of the 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 your 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, <https://uodo.gov.pl/en>).

You also have a 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 Open Call. Without providing your data, it is not possible to contact you and evaluate the application.

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.



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