



# Guide for Applicants (GfA)

## SMART4ALL Third Open Call for Focused Technology Transfer Experiments (FTTE)

Application submission starts on: 15 July 2022, 00:00 CEST

Submission deadline is: 15 October 2022, 17:00 CEST



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



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## History of changes

Version	Date	Changes	Page
<b>1.0</b>	<b>1.06.2022</b>	<b>Initial version</b>	



# 1 Basic Info about SMART4ALL

## 1.1 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 Project coordinator and the core partners of the SMART4ALL consortium.
- **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.
- **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.
- **DIH** is a Digital Innovation Hub, i.e. a legal entity which functions as a regional network of research, innovation, business and industry organisations in order to ensure digital progress in the region. Digital Innovation Hubs are one-stop-shops that help companies to become more competitive with regard to their business/production processes, products or services using digital technologies. They are based upon technology infrastructure (Competence Centre - CC) and provide access to the latest knowledge, expertise and technology to support their customers with piloting, testing and experimenting with digital innovations. DIHs also provide business and financing support to implement these innovations, if needed across the value chain. As proximity is considered crucial, they act as a first regional point of contact, a doorway, and strengthen the innovation ecosystem. A DIH is a regional multi-partner cooperation (including organisations like RTOs, universities, industry associations, chambers of commerce, incubator/accelerators, regional development agencies and even governments) and can also have strong linkages with service providers outside of their region supporting companies with access to their services.



## 1.2 About SMART4ALL

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)**, 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 a significant impact on their lives. This Guide for Applicants describes the SMART4ALL third Open Call for **Focused Technology Transfer Experiments (FTTEs)**.

## 1.3 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):





## 1.4 FTTE at a glance

The **Focused Technology Transfer Experiments** (FTTE) 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 (9 months) and will consist of **cross-border** Pathfinder Application Experiments (PAEs) between two different entities from two different eligible countries (as per the eligibility criteria stated in section 3.2).

For this FTTE Open Call, one Academic/Industrial Technology Provider transfers a novel Hardware (HW) or Software (SW) technology to one Industrial Technology Receiving partner as an early-adopter. The partners shall apply together as a consortium through a simple application form. The consortium composition can be as follows:

Technology Provider	Technology Receiver
Academic	Industrial
Industrial	

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

SMART4ALL has already organised two FTTE open calls, and this will be the third and last FTTE open call. All SMART4ALL Open Calls are **single-stage**. There will be 4 beneficiaries on this call. 8 beneficiaries were already selected during the first and second FTTE open calls in 2020 and 2021. More information on the 4 selected winners from the first FTTE open call can be found [here](#), and from the second FTTE open call [here](#).

## 2 What do we offer?

### 2.1 Financial support

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

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

- **Financial support per FTTE**

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

- **Financial support per FTTE partner**



For this open call, the financial support per each FTTE partner will not exceed EUR **60,000**.

Financial support will be paid out to both partners individually, according to the resources distribution set up in the proposal.

The financial support will be paid based on the submission and approval of deliverables as defined in section 5.

## 2.2 Additional Support

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

- Technological support, including technical coaching and IPR and open access support through a specialised 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 specialised 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.

## 3 Eligibility Criteria

We will check the eligibility of all proposals submitted before the deadline. All the eligibility criteria are listed in this Section of this Guide for Applicants. The projects that do not comply with those criteria will be excluded and marked as ineligible. We will check the eligibility criteria based on the information provided in your application during the whole evaluation process.

### 3.1 Who are we looking for?

The SMART4ALL cross border Experiments have to be proposed by a Consortium of 2 entities, including the following type of applicants<sup>1</sup>:

- **Universities and other Academic Institutions.**
- **SME<sup>2</sup> 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 less or equal to EUR 100 million or annual balance sheet total less or equal to EUR 86 million.

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

<sup>2</sup> An SME will be considered as such if it complies with the European Commission's Recommendation 2003/361/EC. As a summary, the criteria defining an SME are:

Headcount in Annual Work Unit (AWU) less than 250.

Annual turnover less or equal to €50 million OR annual balance sheet total less or equal to €43 million.

Note that the figures of partners and linked enterprises should also be considered as stated in the SME user guide.

For detailed information check EU recommendation:

[https://ec.europa.eu/growth/smes/sme-definition\\_en](https://ec.europa.eu/growth/smes/sme-definition_en)



Proposals can be submitted by any of the aforementioned types 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 **two independent entities** from **two different eligible countries**.

## 3.2 Eligible Countries

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

- The Member States of the European Union and its Overseas Countries and Territories (OCT) or
- [Associated Countries to H2020](#).
- The United Kingdom
- Any other South-East and Central Europe (SEE)<sup>3</sup> 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, **applicant consortia shall include at least one member from one of the SEE countries (except Greece) or Ukraine** (see section 4 of this Guide for Applicants for more details).

## 3.3 What types of activities can be funded?

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 Customised 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.

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 mentioned in [section 1.3](#).

The receiving partner adopts and deploys this technology to enable improved products, processes or services (e.g. 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).

All SMART4ALL funded PAEs will be required to contribute at least one artefact to the project Marketplace (<https://marketplace.smart4all-project.eu/>). By the term “artefact” SMART4ALL refers to any tool, educational material, service and/or solution that has been produced by the funded PAE. See the following [link](#) for more details.

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<sup>3</sup> SEE countries: Albania, Bosnia and Herzegovina, Bulgaria, Croatia, Greece, Hungary, Kosovo, Moldova, Montenegro, North Macedonia, Romania, Slovakia, Slovenia and Serbia.

**EXAMPLES:**

FTTE Examples:

- 1) A low resource-demanding compression algorithm is developed by an SME using a novel technology provided by a University from another country, used in applications having a significant impact in social sensitive groups (output of the PAE is the algorithm)
- 2) A hardware accelerator for image processing is developed by an SME using a disruptive technology provided by another SME from another country, helping solve the interpretation of some coronavirus variants detection (output of the PAE is the HW design).

### 3.4 How to apply?

Applying to an open call takes time and dedication and we would like to make sure that you understand the eligibility requirements with which you have to comply.

- **Be on time:**  
Make sure you submit your proposal through the [online form](#) before the **deadline of 15 October 2022, 17:00 CEST. The application can only be submitted by the Leading Partner (SME or Slightly Bigger company)**. If you submit the form correctly, the system will send you a confirmation of your submission. Get in touch with us if it is not the case. It is important for you to know that we will not be evaluating any proposal sent after the deadline and submitted outside the dedicated form.
- **Be exhaustive:**  
Have you answered all the sections of the form? Please note, it will not be possible to add any information or modify the proposal after it has been submitted.
- **Multiple Submissions:**  
Each consortium can submit only one application. Neither team members nor any legal entity can be funded twice by SMART4ALL within the same SMART4ALL Open Call. If several selected proposals have the same team members and/or the same organisations, it is only the proposal with the highest number of points that 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.
- **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.



- **Every question deserves your attention:**  
All mandatory sections of your proposal - generally marked with an asterisk - must be filled in. Make sure that the data provided is true and complete. This is crucial for us to properly assess your proposal. Conversely, any additional material that is not specifically requested in the online application form will not be considered for the evaluation so no point overdoing it.
- **Conflicts of interest:**  
We will take into consideration the existence of potential **conflict of interest** between you and one or more SMART4ALL Consortium partners. Indeed, consortium partners, their affiliated entities, employees and permanent collaborators cannot take part in the SMART4ALL programme. All cases of potential conflict of interest will be assessed case by case.
- **Healthy finances and a clean sheet are a must:**  
We won't accept entities that are under liquidation or enterprises in difficulty according to the Commission Regulation No 651/2014, art. 2.18. Neither will we accept proposals from entities that are 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.
- **It is *your* proposal:** Your project should be based on your original work. If not, that's okay, just make sure your right to use the IPR is 100% certain. Going forward, any foreseen developments must be free from third-party rights and if not, these third-party rights must be clearly stated.

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

Legal entities cannot receive more than €100,000 via open calls from H2020 I4MS and SAE projects (all grants received will be capped at €100,000, including the grant from this open call). The amount of grants received from the I4MS and SAE initiatives will be deducted from the maximum grant available in this call. The applicants are expected to modify their budget accordingly, if possible, considering the project and attributed tasks, respecting the no "double funding rule"<sup>4</sup> and inform about the previous funding

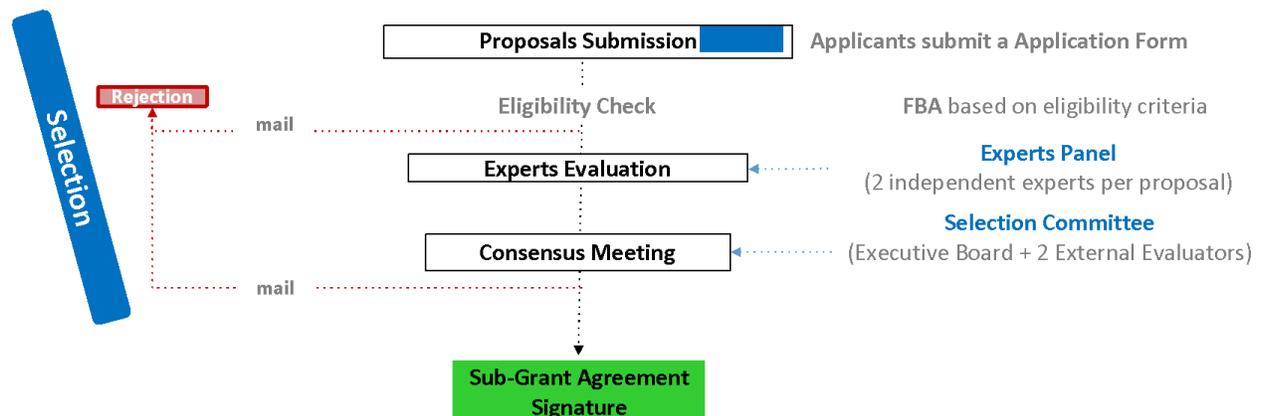
This limited amount does not include any EC contribution that your organisation receives or has received within an EU-funded project (within FP7 or H2020) as a beneficiary. Participation as a beneficiary within EU-funded projects does not affect the participation in SMART4ALL open calls. For clarification,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

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<sup>4</sup> Double funding means the situation where the same costs for the same activity are funded twice through the use of public funds. It is a fundamental principle underpinning the rules for public expenditure in the EU that no costs for the same activity can be funded twice from the EU budget. You can find more on this under ["Financial guidelines for applicants"](#).

## 4 How will we evaluate your proposal?

Our evaluation process is transparent, fair and equal to all our participants. The selection process is as follows:



We will be evaluating your project in 3 phases. We expect a high number of applications so if you want to stand out, *quality* is the way to go. What does it mean? In short, provide as many details as possible while being extremely clear and structured. This will help us to properly identify the key points of your application and see how it fits within the overall SMART4ALL FTTE scope.

### 4.1 First Automatic Eligibility Check

The first evaluation step is about verifying some basic requirements based on the statements from your proposal. Your proposal will be admissible for the next phase if it:

- Is **complete, readable and in English** in all mandatory sections.
- Has been submitted via the [Open Call Website](#) within the **deadline of 15 October 2022, 17:00 CEST**.
- Includes the properly filled declaration of honour. Read the **Declaration of Honour** template carefully which is included in the application form, as we will check the related submitted statements. You will not be able to change them after the application form has been submitted.

Moreover, a first check regarding the eligibility of the participants specified in section 3 will be carried out. The proposals that do not comply with these criteria will be excluded. We will inform you about the results of this first eligibility check soon after the deadline.

### 4.2 External Evaluation

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

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

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



- **Ambition:** The applicants have to demonstrate to what extent that proposed FTTE 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.
- **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 by explaining how it will be commercialised to solve a structural problem in a specific sector/process/etc., using a convincing business model and business projections.
- How the proposal has an impact in the lives of **sensitive social groups**<sup>5</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:

- **Work plan:** The work plan 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 idea 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, with a strong background and skill base.

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<sup>5</sup> Sensitive social groups are 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.



- **Resources:** Demonstrate the quality and effectiveness of the resources assigned in order to get the objectives/deliverables proposed.

Each evaluator will rank the application assigning a score from 0 to 5 for each criterion and produce an **Individual Evaluation Report** by adding each criterion score. The threshold for each individual criterion will be 3. The threshold per Individual Evaluation Report will be 10.

In case the scores of the evaluators differ significantly, the divergence will be solved in an evaluator consensus meeting and, if still persists, by involving a third evaluator in the process.

For each application, the final score will be calculated as follows:

- For each criterion, an average of the two evaluator scores will be applied. In case a third evaluator is involved, only the two closest scores will be considered for the average.
- The overall score will be the sum of the three resulting average scores .
- Applicants including **members of the SEE region or Ukraine** in their consortium will be given **1 extra point** to the overall score per member of the SEE region or Ukraine. However, this extra bonus point will not be given to consortia with entities from Greece, because Greece is no longer one of the prioritised SEE countries.
- If the applicant consortium is led by a partner from **Ukraine**, another **1 extra point** will be added to the overall score.

(the maximum extra points will be 3).

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

- Number of partners from a SEE country in the consortium (except Greece) or Ukraine.
- Impact average score.
- Implementation average score.
- Excellence score.
- Vertical addressed (a balance between verticals among the 4 selected consortia needs to be observed).

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.



<b>4</b>	<b>Very good</b>	<b>The proposal addresses the criterion very well, although certain improvements are still possible.</b>
<b>5</b>	<b>Excellent</b>	<b>The proposal successfully addresses all relevant aspects of the criterion in question. Any shortcomings are minor.</b>

A '**Ranking List**' will be created and all those with a score above the threshold will be passed to the Consensus phase.

### 4.3 Consensus Meeting

The ranked list of 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 majority vote of 2/3 from all members the 'Provisional List of FSTP beneficiaries', and 'Reserve List'. The exact number of proposals approved will be decided based on the overall quality of the proposals. In case a top-ranked application is rejected, we will consider selecting the next best-ranked proposal.

Bear in mind that even if it is normally the best-marked proposals that are selected for funding, the Selection Committee may have fair reasons for objecting to the selection of a specific candidate. These reasons can relate to:

- The alignment with SMART4ALL goals and scope.
- The ability to achieve the strongest possible impact.
- Commercial competition.
- The existence of significant ethical concerns.
- The existence of a potential conflict of interest.

### 4.4 Ethical Review

Before the Sub-Grant Agreement signature, the SMART4ALL Ethics Committee will review all selected FTTEs and, in particular, those highlighting upfront ethical issues (by participants or by evaluators).

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.

Fields of research NOT eligible for funding under H2020 are:

- research activities directed at human cloning for reproductive purposes.
- research activity intended to modify the genetic make-up of human beings that could make such changes heritable (apart from research relating to cancer treatment of the gonads, which may be financed).



- research activities intended to create human embryos solely for the purposes of research or stem cell procurement, including the technique of somatic cell nuclear transfer.
- research that leads to the destruction of human embryos.
- Double-funded activities.

The objective of this ethical review is to make sure that SMART4ALL does not support FTTEs 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 What's next? Subgrant Agreement Preparation and Signature

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.

Before signing the Sub-Grant Agreement, you should provide documents regarding your formal status. The SMART4ALL Consortium will proceed to a verification of these documents to make sure you are eligible.

### **Be extremely vigilant with respect to:**

1. **The nature of the documents** we request.  
If the documents you provide us with do not prove your eligibility, the adventure will end here.
2. **The deadlines** that we will give you to hand us these documents.  
If you do not deliver the requested documents on time, without a clear and reasonable justification, we will have to exclude you from the further formal assessment. Another applicant from the Reserve list will then replace you.

## 5 Our Support Programme and Payment Arrangements

### 5.1 Lump Sum

Once your eligibility has been confirmed following the formal check and the Sub-Grant Agreement signed, you would be an official beneficiary of the SMART4ALL programme. It is now that the adventure begins and it is now high time to understand how the funding is going to be distributed.

As a beneficiary, you will receive a fixed lump sum of up to €80,000. The lump sum is a simplified method of settling expenses in projects financed with Horizon 2020 funds. It means that you are not required to present accounting documents to prove the investment-related costs incurred (e.g. invoices). However, you



are obliged to demonstrate that the implementation of the project is in line with the milestones set for it. The milestones (deliverables, KPIs and ethical recommendations) will be defined and calendarised in the 'Individual Mentoring Plan' elaborated at the beginning of the programme.

In short, we will carefully assess your progress and the quality of your work during Interim Reviews but we will not review your accountancy. Bear in mind that the lump sum does not release you from the obligation to collect documentation to confirm the costs under fiscal regulation.

## 5.2 Eligible costs

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

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

The Financial Support reimburses 100% of the eligible costs of the Selected Third-Parties that are non-profit legal entities and 70% of the eligible costs of the Selected Third-Parties that are for-profit legal entities. 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 5.1.

**Note:** Even if we provide a lump sum, you will need to include a budget in your application. In the case of for-profit legal entities, the grant amount requested cannot exceed the 70% of the costs estimated for the execution of the project and Non-for-profit entities can request 100% of their costs. A budget template can be found [here](#).

## 5.3 Deliverables and Payments

The cross-border FTTE selected will be defined 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 review.

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

- Quality of Deliverables. 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:

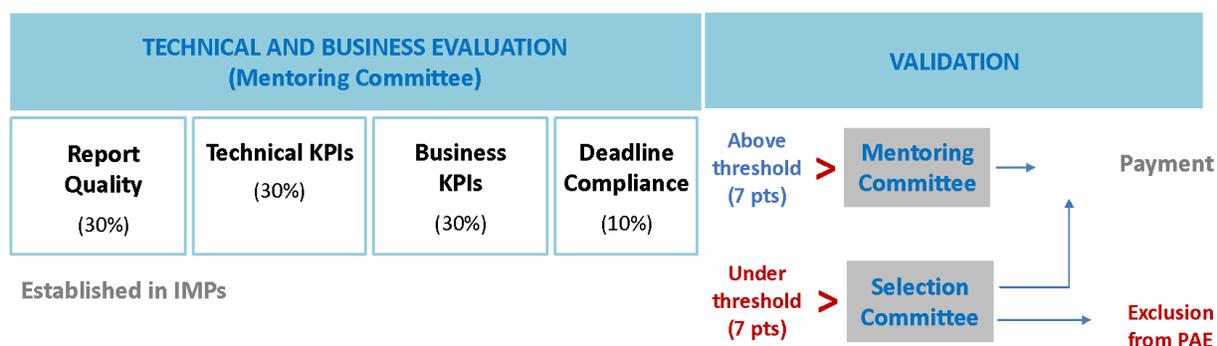
- Deliverable quality (30%).
- Technical performance indicators (30%).
- Business performance indicators (30%).
- Deadline Compliance (10%).

According with this final score:

- Beneficiaries over threshold (7 points) will successfully receive the next payment and be a candidate to continue in the program.
- 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 Program.

The following figure summarises the PAE’s review process:

### Interim & Final Review Milestones



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

Deliverable	Submission date	Lump sum Instalments
Initial Plan	SGA Signature + 15 days	30%
Intermediate Report	End of M05	50%
Final Report	End of M09	20%

## 6 Contact us

### 6.1 How can we help you?

If you still have any doubts regarding our Open Call process, feel free to get in touch with us:



- For questions on the Open Call requirements, ask your question in the Helpdesk space of SMART4ALL Community. For technical questions, please visit the SMART4ALL [Helpdesk](#).
- View the recorded webinars and training courses [here](#). There will be additional webinars organised which will be advertised on the main [project website](#) and via our social media channels.
- Send us an email to the following address: [helpdesk@smart4all-project.eu](mailto:helpdesk@smart4all-project.eu)
- Visit the Frequently Asked Questions (FAQs). You can find the FAQs in your local language [here](#)

If ever you face any technical issues or problems, make sure you include the following information in your message:

- Your username, telephone number and your email address.
- The details of the specific problem (error messages that appeared, bug descriptions such as a dropdown list that isn't working, etc.).
- Screenshots of the problem.

## 6.2 Complaints

First of all, be aware that we won't be reviewing your complaint **if**:

- It is anonymous.
- The information is incomplete.
- It is not related to the results of the evaluation of the eligibility criteria. Indeed, most of the evaluation process is run by **independent experts** in the given field. The project consortium does not interfere with their assessment.

If, after receiving the results of the eligibility criteria evaluation, you consider that a mistake has been made, resulting in the rejection of your application, you have the right to send us a complaint. You can email us in English 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 mistake.

### **Important note regarding the timeline:**

You have **3 calendar days** to submit your complaint starting from the day after the communication was sent. On our side, we will review them within no more than **7 calendar days** from its reception. If we need more time to assess your complaint, we will inform you by email about the extension.

## 7 Last but not least - final provisions

Any matters not covered by this Guide will be governed by German law and rules related to the Horizon 2020 programme and European Union grants regulations.

We do our best to keep all the applicant data confidential. However, to avoid any doubts, you are entirely responsible to indicate what information is confidential.

Your IPR will remain your property. Regulation of the Bottom-up Projects specific IPR issues is the sole responsibility of the third parties. In the case where more than one third party entity participates in the



Bottom-up Project, the IPR agreement should be negotiated among the third-party entities before signing the agreement with the SMART4ALL consortium. SMART4ALL will enforce that such a bilateral (or multilateral in case of multiple third-party entities) IPR agreement is being closed and will provide a template IPR agreement for this purpose on request.

For the selected beneficiaries, the agreement will include the set of obligations towards the European Commission (for example: promoting the project and giving visibility to the EU funding, maintaining confidentiality, understanding potential controls by the EC/ECA and OLAF).

The SMART4ALL Consortium might cancel the call at any time, change its provisions or extend it. In such a case we will inform all applicants about such change. Signature of the agreement is an initial condition to establish any obligations among applicants and any Consortium partners (with respect to the obligation of confidentiality of the application).

You didn't find what you were looking for? You may want to check our [Frequently Asked Questions Section](#). You can find FAQs in your local language by going to this [link](#).

## 8 Extra hints before you submit your proposal

A proposal takes time and effort, and we know it. Here a few crucial points you should read before hitting the "Submit" button in order to maximise your chances of success:

- Is your project in line with what SMART4ALL is looking for? Not 100% sure? You can consult [section 3.1](#).
- Did you present your project in a way that will convince evaluators? Go back to [section 4](#) if you have any doubt.
- Is your project fulfilling all the eligibility requirements described in the Guide for Applicants? Check [section 3](#).
- Are you able to cope with our signature agreement process and payment arrangements for the selected proposals? You may want to go over [section 5](#).
- Do you need extra help? [Get in touch!](#)



## Annex 1: Information Clause

### Information clause for personal data processing in the Third Open Call for Focused Technology Transfer Experiments (FTTE) organized under SMART4ALL Project

Grant Agreement No. 872614

#### CONTROLLER'S IDENTITY AND CONTACT DETAILS

The data controllers are all entities in the [FundingBox capital group](#) as the Joint Controllers. All FundingBox entities have agreed on common data processing purposes. In all matters regarding personal data, you can contact us using the following email address: [privacy@fundingbox.com](mailto:privacy@fundingbox.com).

The essence of the arrangement is available [here](#).

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 FundingBox (based on Article 6, paragraph 1 (f) of GDPR) which is fulfilling the obligations and our other interests related to these 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 gather feedback from applicants when the Open Call is over to improve processes.		
If an applicant has been selected to become the beneficiary of the project:		
5) To collect the applicant's details and documentation necessary to verify its legal status. Data will be collected in separate form via FundingBox platform.	Processing is necessary for the performance of a contract (based on Article 6, paragraph 1 (b) of GDPR).	



#### DATA RECEIVERS

The Joint Controllers will transfer personal data only to trusted recipients such as IT service providers, accountants, law firms, postal and courier companies (who process personal data on the controllers' 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 those entities – the so-called Standard Contractual Clauses. This means that in accordance with the decision of the European Commission No. 2021/914 EU of June 4, 2021, your personal data may be processed by this company in the USA. More information about the decision at: <https://fundingbox.com/trust/transfer-outside-eea/>

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)) and European Commission.

#### 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) data portability,
- 5) complain with the supervisory authority  
([https://edpb.europa.eu/about-edpb/about-edpb/members\\_en](https://edpb.europa.eu/about-edpb/about-edpb/members_en)).

You also have a right to object to processing of your personal data for all purposes indicated above (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.



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