



## Smart Anything Everywhere Initiative

### Area 3: Advanced micro-electronics components and Smart System Integration

Project: H2020–No 761809



## Digital Innovation Hubs boosting European Microelectronics Industry

---

# *Annex 2: Open Call Guidelines for Applicants*

## *Version 1.1*

---

10<sup>th</sup> May 2018

## Disclaimer

This document may contain material that is copyright of certain DIATOMIC beneficiaries, and may not be reproduced or copied without permission. All DIATOMIC consortium partners have agreed to the full publication of this document. The commercial use of any information contained in this document may require a license from the proprietor of that information.

The DIATOMIC Consortium is the following:

Participant number	Participant organisation name	Short name	Country
01	INTRASOFT International S.A.	INTRA	BE
02	F6S NETWORK LIMITED	F6S	UK
03	BioSense	BIOS	SRB
04	Synelixis Solutions	SYN	EL
05	Instituto Pedro Nunes	IPN	PT
06	Fraunhofer IPA	IPA	DE
07	InoSens	INO	SRB
08	Libelium Comunicaciones Distribuidas SL	LIB	ES
09	FastTrack	FASTT	PT

The information in this document is provided “as is” and no guarantee or warranty is given that the information is fit for any particular purpose. The user thereof uses the information at its sole risk and liability.

*Moreover, it is clearly stated that the DIATOMIC consortium reserves the right to update, amend or modify any part, section or detail of the document at any point in time without prior information.*

## Table of Contents

<b>1 Introduction</b>	<b>5</b>
1.1 Background information on DIATOMIC project	5
1.2 DIATOMIC approach	5
1.3 Timeline – Open call #1	6
<b>2 General information</b>	<b>8</b>
2.1 Means of submission	8
2.2 Language	8
2.3 Documentation formats	8
2.4 Origin of the funds	8
<b>3 Proposal Eligibility Criteria</b>	<b>9</b>
3.1 Applicants & Consortium Eligibility	9
3.2 Financial Eligibility	9
3.3 Number of proposals per applicant	9
<b>4 Open Call submission and selection process</b>	<b>11</b>
4.1 Open Call Submission	11
4.2 Open Call Evaluation	13
4.3 Projects Negotiations	15
4.4 Summary of The Evaluation and Payment Process	16
<b>5 Private Funding</b>	<b>17</b>
<b>6 Sub-Projects Execution</b>	<b>18</b>
6.1 Reviews	18
6.2 Payments	18
<b>7 Responsibilities of consortia members</b>	<b>20</b>
7.1 Conflict of Interest	20
7.2 Maintaining Confidentiality	20
7.3 Promoting the action and give visibility to the EU funding	20
7.4 Financial audits and controls	22
7.5 Sub-project Consortium Agreement	22
7.6 Sub-project Communication	23
<b>8 DIATOMIC EVENTS</b>	<b>24</b>
<b>9 Checklist</b>	<b>25</b>
<b>10 Points of Contact</b>	<b>26</b>
<b>11 References</b>	<b>27</b>

## List of Abbreviations

AME/SSI	Advanced Microelectronics and Smart Integration Systems
CC	Competence Centres
CPPS	Cyber-Physical Production System
DIH	Digital Innovation Hub
EC	European Commission
EU	European Union
I4MS	ICT Innovation for Manufacturing SMEs
RTD	Research and Technological Development
RTO	Research and Technology Organization
SAE	Smart Anything Everywhere
SME	Small and Medium-sized enterprises (including also mid-caps)
TRL	Technology Readiness Level

# 1 Introduction

This document provides a full set of information regarding the first Open Call for Proposals for the DIATOMIC project. The Sub-Grantee Agreement model (Annex 4) remains also valid and must be additionally considered for the submission of a Proposal.

## 1.1 Background information on DIATOMIC project

DIATOMIC aims to establish a sustainable ecosystem to facilitate AME/SSI-based innovation in the health, agrifood and manufacturing sectors, all of which are under-digitized and of prime importance for society and the economy.

DIATOMIC ecosystem draws from the advanced technological excellence of the DIATOMIC consortium to execute three sector-specific cross-border Application Experiments to help technology adopters, end-users and smart solution developers realise tangible benefits of digitization. In-house excellence in dissemination is leveraged to ignite further ideation of digital products, processes and business models from non-tech SMEs and midcaps; thus promoting interest in experimentation with AME and SSI.

At the heart of the ecosystem, three interconnected sector-specific Digital Innovation Hubs (DIH) pulsate to accelerate digitization in-beat with sector-specific needs, and to enable delivery of AME/SSI based applications to a critical mass of customers. DIHs first assist non-tech companies to couple with counterparts across the EU with complementary technological competencies. Then, acting as a one-stop-shop, they offer the teams (i) strong technological support to accelerate design, development, prototyping and manufacturing and (ii) business support to develop solutions with a robust product/market fit.

Two open calls are organised to attract and select the best of the best consortia, consisting of tech adopters, tech providers and Competence Centers. Application Experiments will be funded to generate AME/SSI-based products, processes and business models with strong market potential.

DIATOMIC consortium is a fusion between: technological research centers (IPA, IPN and BIOS), CCs (INTRA, LIB and SYN), innovation consulting (INO), SMEs community (F6S) and investors (FASTT).

## 1.2 DIATOMIC approach

DIATOMIC executes three cross-border Application Experiments in the project's target sectors that are setup to bring concrete economic benefits to technology adopters, end-users, smart solution developers, investors and policy-makers. These experiments aim to ignite further conceptualization of digital products, processes and business models from non-tech SMEs and midcaps in the three-targeted sector; thus promoting interest in experimentation with AME and SSI. More information on these experiments and links to application modules are available at: <https://diatomic.eu/index.php/push-experiments/>

At the heart of the DIATOMIC ecosystem, three interconnected sector-specific Digital Innovation Hubs (DIH) pulsate to accelerate digitization in-beat with sector-specific needs, and to enable delivery of AME/SSI based applications to a critical mass of customers. DIHs first assist non-tech companies to find and couple with counterparts from across the EU with complementary technological competencies. Then, acting as a one-stop-shop, they offer the teams:

- i. Strong technological support to accelerate design, development, prototyping and manufacturing;
- ii. Business support to develop solutions with a robust product/market fit and chart the path to market growth and investment.

Applicants shall consider the following general criteria when applying for the DIATOMIC project:

- **AME and SSI technologies:** The consortium must propose the development of novel products/ processes along with relevant experiments making use of AME and SSI technologies and starting from a TRL of 3. This must aim towards the digitization of products and/or processes.
- **Business mindset:** In addition to presenting the technological concept, applicants are requested to provide initial exploitation plans and business scenarios for their experiments.

The goal is for them to propose the development of novel products/processes along with relevant experiments making use of AME and SSI technologies, quantifying the benefits of digitization to further stimulate digital thinking.

Two open calls are organized to attract and select the best of the best (small) consortia, consisting of tech adopters, tech providers and Competence Centers (CC) from across the continent. Application Experiments will be funded to generate AME/SSI-based products, processes and business models with strong market potential. Non-tech and tech SMEs increase competitiveness and new ideas, CCs strengthen and their customer base, and the economy and society benefit from newly achieved efficiencies of smart applications. In this way, DIATOMIC brings about smart growth throughout the EU.

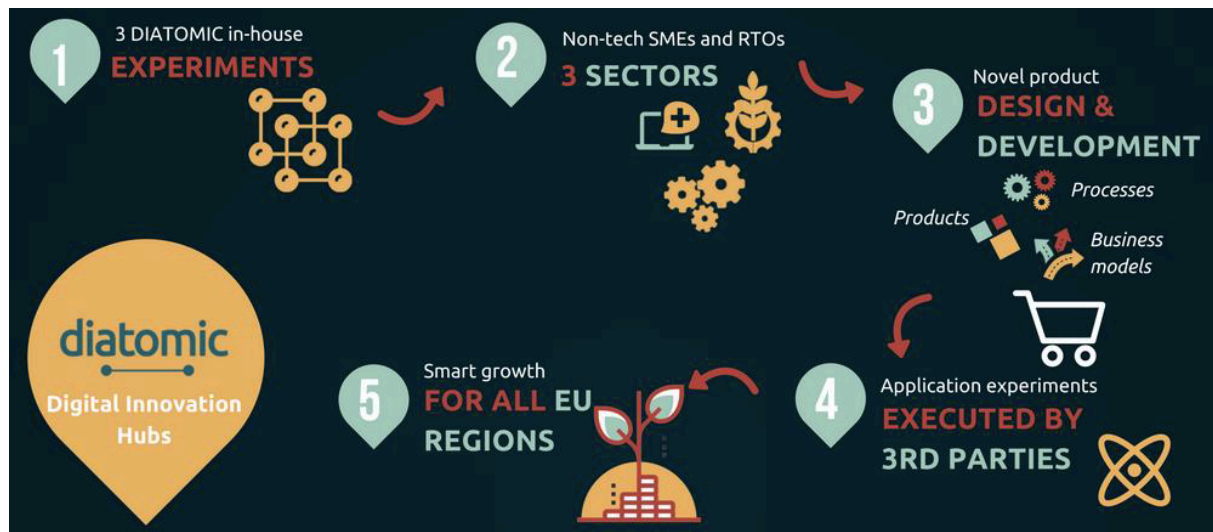
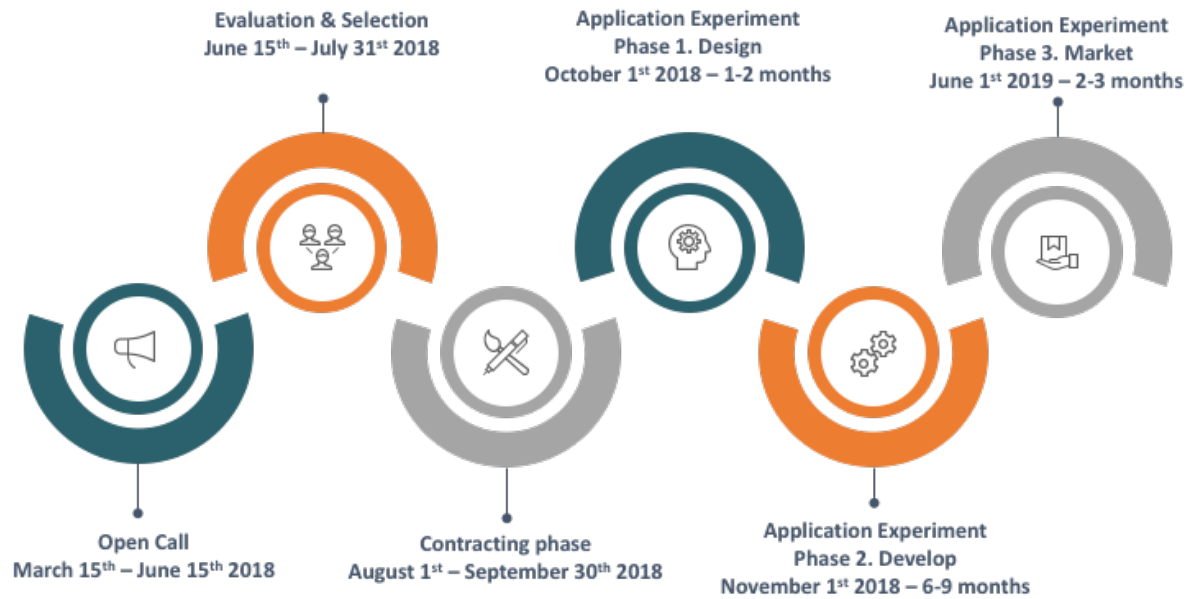


Figure 1: DIATOMIC digital ecosystem

### 1.3 Timeline – Open call #1

The first Open Call will be opened on the 15<sup>th</sup> of March 2018 and will close on the 15<sup>th</sup> of June 2018, lasting in total three and a half months. The following phases will proceed the closing of the call: Evaluation & selection and Contracting. The selected consortia will enter the DIATOMIC Design-Develop-Market programme with the below indicative timeline.



**Figure 2: DIATOMIC Open Call 1 timeline**

Dates are an initial estimation and might suffer slight changes if agreed by DIATOMIC consortium for the benefit of the sub-grantees.

## 2 General information

### 2.1 Means of submission

The F6S platform (<https://www.f6s.com/diatomic>) will be the entry point for all proposals in phase 1. Submissions received by any other channel will be automatically discarded.

Documents required in subsequent phases will be submitted via dedicated channel, which will be indicated by DIATOMIC consortium during the sub-granted projects execution.

### 2.2 Language

**English** is the official language for DIATOMIC open calls. Submissions done in any other language will not be evaluated. English is also the only official language during the whole execution of the DIATOMIC programme. This means any requested submission of deliverable will be done in English in order to be eligible.

### 2.3 Documentation formats

Any document requested in any of the phases must be submitted electronically in PDF format without restrictions for printing.

### 2.4 Origin of the funds

Any selected proposer will sign a dedicated Sub-Grantee Funding Agreement with the members of the DIATOMIC consortium. The funds attached to the Sub-Grantee Funding Agreement come directly from the funds of the European Project DIATOMIC, and are therefore, funds owned by the European Commission, whose management has been led to the project partners in DIATOMIC via European Commission Grant Agreement Number 761809.

As it can be seen in the Sub-Grantee Funding Agreement template (Annex 4), this relation between the sub-grantees and the European Commission through DIATOMIC project carries a set of obligations to the sub-grantees with the European Commission. It is the task of the sub-grantees to accomplish them, and of the DIATOMIC consortium partners to inform about them.



## 3 Proposal Eligibility Criteria

DIATOMIC ecosystem invites small consortia to design, develop, experiment and market innovative, smart SAE applications, which will facilitate *Advanced micro-electronics components and Smart System Integration* (AME/SSI) based innovation in the *health, agrifood and manufacturing* sectors. The consortia should consist of 2 to 3 partners consisting of:

- **AME/SSI Technology providers:** Technology SMEs, Competence Centres, Research Centres and academia
- **Technology adopters/users:** SMEs/mid-caps active in any of the three targeted sectors

### 3.1 Applicants & Consortium Eligibility

A consortium is considered eligible if it complies with all the following rules:

- i. All consortium members are legal entities established and based in one of the EU Member States or an H2020 Associated country as defined in H2020 rules for participation<sup>1</sup>:
- ii. All consortia members are SMEs (or midcaps) or research/non-industrial legal entities (i.e. research centres, universities, Competence Centres), either AME/SSI Technology providers or technology adopters/users in the AME/SSI sector or provide innovation in the health, agrifood and manufacturing sectors.
- iii. Consortia can only be led by industrial partners (SMEs and midcaps),
- iv. Non-industry partners must be members of the DIATOMIC DIH i.e. register at least ten days before the open call deadline through DIATOMIC DIH portal (<https://diatomic.eu/DiatomicPortal/>).

### 3.2 Financial Eligibility

The following financial eligibility criteria apply:

- i. The budget per experiment may vary from €70.000 to €200.000.
- ii. The total funding of the non-industry and/or non-profit partners (if any) cannot exceed the 40% of the entire experiment budget,
- iii. Each partner can receive funding in the range €20.000-€100.000.

### 3.3 Number of proposals per applicant

Consortia will be led only by eligible industrial partners. Given the fact this call is a competitive one, and DIATOMIC consortium wants the SMEs to focus on their specific experiment, **each industrial organization may participate, either as coordinator or as consortium member, only with one (1) proposal at each DIATOMIC open call.**

**Multiple participations is a disqualify factor. In case an industrial organization participates in more than one proposal per open call, all associated proposals will be automatic excluded from the evaluation process.**

**Industrial organizations may participate in maximum one (1) accepted sub-project.**

---

<sup>1</sup> Association to Horizon 2020 is governed by Article 7 of the Horizon 2020 Regulation. The list of associated countries is available 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)

**Industrial organizations or research institutions that have been already awarded a sub-contract in Open Call 1 are automatically excluded from participating in an Open Call 2 proposal.**

## 4 Open Call submission and selection process

DIATOMIC will issue two open calls. All open calls will address all three sectors – agrifood, manufacturing and health – and a fourth topic – others. The open call process will be as follows:

### 4.1 Open Call Submission

The Open Call submission will follow the steps that are listed in this section:

#### 4.1.1 Open Call publication

Each open call will be published on the dates shown in section 3. Each open call will be supported by:

- **Annex 1: Open Call text**, which provides the scope and objectives of the open call,
- **Annex 2: Guidelines for Applicants**, this document.
- **Annex 3: Proposal Template**, an online application form, available at F6S platform (<https://www.f6s.com/diatomicsmesbrokerageapplication/apply>)
- **Annex 4: Sub-grant Agreement Template**, which provides a template of the sub-grant agreement that the successful applicants will be requested to sign.
- **Annex 5: Consortium and honour Declaration**, which provides the consortium leader participant, the consortium members and the budget distribution per partner.
- **Annex 6: Administrative data form/ SME Declaration**, which evaluates the status of the SMEs participating at an open call
- **Annex 7: Bank account information**, which collects information on coordinator bank account for which DIATOMIC payments will be made.
- **Frequently Asked Questions & answers** published at the community feed (<https://www.f6s.com/diatomicopencall1/discuss>).

Please download the relevant files and read them carefully before you submit your proposal. For the 1<sup>st</sup> Call for proposals the submission deadline is 15<sup>th</sup> June 2018 at 12:00 CEST.

#### 4.1.2 Applicants Registration

Interested applicants should register at the DIATOMIC F6S page (<http://www.f6s.com/diatomic>). This will be the central interface for managing the experiment applications for the remainder of the open calls.

#### 4.1.3 Proposal Preparation

Please follow the steps:

1. For consortium building, the applicants are invited to access DIATOMIC brokerage services by applying to these at:  
<https://www.f6s.com/diatomicsmesbrokerageapplication/apply>
2. For the proposal preparation, the applicants are requested to apply online and answering to all mandatory questions (with no exception):  
<https://www.f6s.com/diatomicopencall1>
3. Applicants that do not accept the terms and conditions and do not sign and upload to the f6s platform the completed Annex 5 **Consortium and honour Declaration** and **Annex 6: Administrative data form/ SME Declaration** will not be eligible

4. Be concrete and concise, questions have characters limitation. Please examine all the open call documents and attend the various online and physical events promoted by the DIATOMIC projects (<https://diatomic.eu/>).
5. It is highly recommended to submit your proposal before the deadline. If the applicant discovers an error in the proposal, and provided the call deadline has not passed, the applicant may request the F6S DIATOMIC team to re-submit the proposal (for this purpose please contact us at [support@f6s.com](mailto:support@f6s.com)). **However, DIATOMIC is not committed that resubmission in time will be feasible in case the request for resubmission is not received by the F6S DIATOMIC team at least 48 hours before the call deadline.**
6. Optionally the applicants may submit, in addition to the proposal, a 3 minutes video to support their proposal describing their idea and how they will achieve sustainability to the final application.
7. As described in evaluation criteria and section 5 "Private Funding", proposals that demonstrate own investment have beneficial punctuation.

***It is 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 network communications delays, is not acceptable as an extenuating circumstance. The time of receipt of the message as recorded by the submission system will be definitive.***

## 4.2 Open Call Evaluation

### 4.2.1 Proposals reception

Submissions will be done ONLY F6S platform on <https://www.f6s.com/diatomic>. A full list of proposers will be drafted containing their basic information for statistical purposes and clarity (which will be also shared with EC for transparency).

The application reception will close at 12:00 PM CEST on 15<sup>th</sup> June 2018. There will not be deadline extensions unless a major problem caused by the F6S platform and not by the proposers, makes the system unavailable.

### 4.2.2 Evaluation

#### 4.2.2.1 Stage 1 - Eligibility

An automatic filtering to discard non-eligible proposals will follow the short list. Eligibility criteria check will verify:

- a. All consortium entities are eligible for EC funding under the rules of H2020 [Y/N]
- b. The consortium has minimum 2 and maximum 3 partners [Y/N]
- c. All consortium members are SMEs (or midcaps) or research/non-industrial legal entities, either AME/SSI Technology providers or technology adopters/users in the AME/SSI sector or provide innovation in the health, agrifood and manufacturing sectors [Y/N]
- d. Are the participation rules as expressed in section 3.1 "Applicants & Consortium Eligibility" followed [Y/N]
- e. Are the participation rules as expressed in section 3.2 "Financial Eligibility" followed [Y/N]
- f. Is the participation rule as expressed in section 3.3 "Number of proposals per applicant" followed [Y/N]
- g. Is the proposal written in the English Language [Y/N]
- h. Are all required documentation: **Annex 5: Consortium and honour Declaration and Annex 6: Administrative data form/ SME Declaration submitted correctly** [Y/N]

Proposals being marked as non-eligible will get a rejection letter including the reasons (a to g) for being catalogued as non-eligible. No further feedback on the process will be given.

#### 4.2.2.2 Stage 2 – External remote evaluation

Remotely and within F6S platform, 2 external evaluators will score and comment each proposal according to the following evaluation criteria:

- *Experiment [1-5; min.3]*: design, reliability, feasibility, novelty of the experiment concept
- *Technology [1-5; min.3]*: innovation, integration with DIATOMIC expertise, technical capacity to achieve TRL 6-9 (to cross the valley of death), technical milestones
- *Consortium [1-5; min.3]*: capacity to perform; knowledge, technological and business expertise; commitment
- *Impact [1-5; min.4]*: experiment output, business scalability, exploitation plan, commercial milestones

Additional points will be given to proposals that bring private fund into the total experiment budget, reducing the funding rate of DIATOMIC:

- (i) Funding rate: 100%: +0 points
- (ii) Funding rate: 85%: +1 points
- (iii) Funding rate: 70%: +2 points

After evaluation proposals will be ranked. Only the top proposals (double number of expected proposals to be selected) will access the stage 3 of the evaluation process

#### **4.2.2.3 Stage 3 – On-line interview**

The top projects (at least double the number that may be funded) that succeed previous stage 2 will be access to online-interview. The interview aims to deeply understand project concept, team skills & competence, capacity and wiliness to exploit Application Experiment results. The interviews will be carried out by 2 evaluation board and 1 DIATOMIC partner member and will evaluate the following criteria:

- *Concept & Technology (40%) [1-5; min.3]* - confirmation of proposed targets and technology fit;
- *Business (30%) [1-5; min.3]* - the viability of the proposed business model;
- *Exploitation (30%) [1-5; min.3]* - reliability to reach milestones; readiness to present to investors & corporate

If during interview applicants do not commit to what had been presented in application form, these will be declassified (for instance percentage of private investment).

#### **4.2.2.4 Stage 4 – Consensus meeting & notification**

After the online interview, the evaluators will have a consensus meeting to finalize their evaluation reports.

At the end, all received applications will be informed about their scores and evaluation summary. DIATOMIC will publish the stage that each proposal achieved and selection/ non-selection. To the successful applicants, it will follow the Contracting phase, where financial and legal validation of the proposers and signature of a binding agreement for the implementation of the application/related technology will be performed

### 4.3 Projects Negotiations

After DIATOMIC conclusion of the Open Call evaluation, the DIATOMIC coordinator will start negotiations with the proposals' coordinator that have been evaluated in the short list. Negotiations will go via an administrative and financial checking (and potentially into technical negotiations) based on evaluators comments. On a case by case approach, a face to face meeting in coordinator's premises may be needed for clarification.

The objective of the negotiations is fulfilling the legal requirements between DIATOMIC consortium and every beneficiary of the call. The items covered will be:

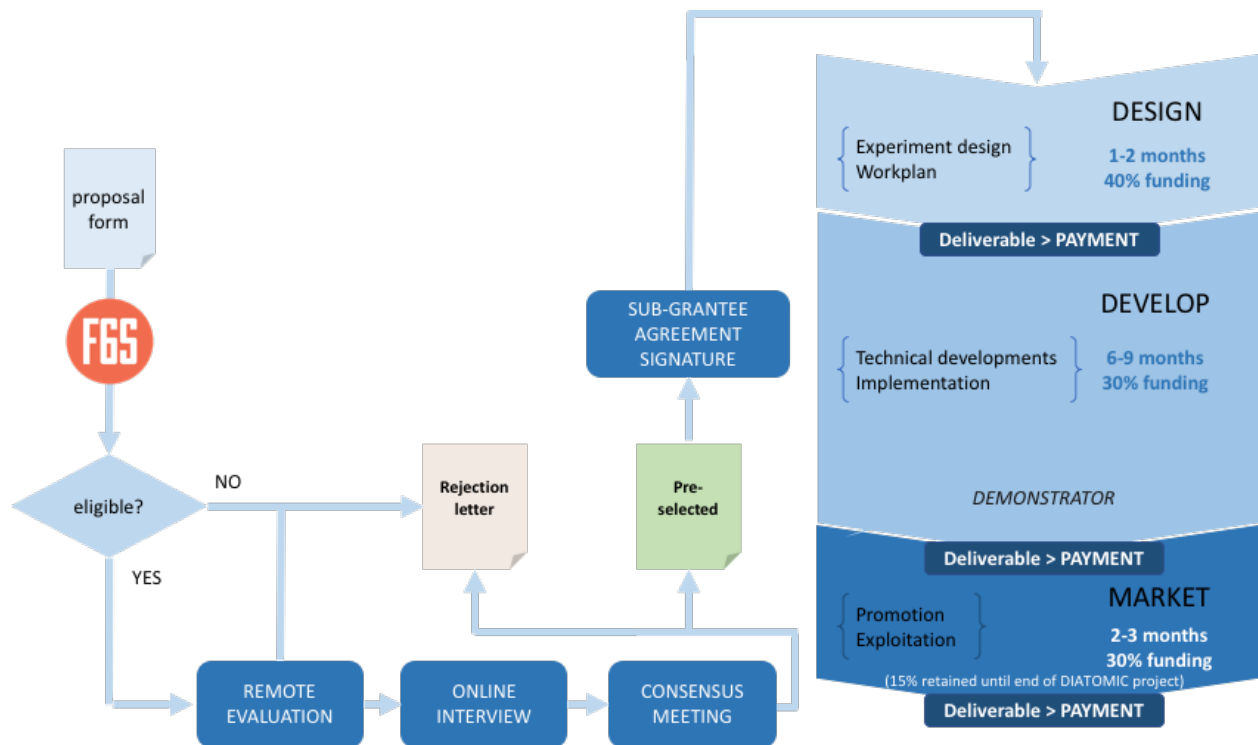
- Inclusion of the comments in the Evaluation Summary Report of the proposals and mapping to the Sub-grant agreement (contract).
- Status information of the beneficiaries:

**SMEs:** the following documents will be required to prove the status as SME:

- **SMEs declaration:** signed and stamped. In the event the applicant declares being non-autonomous, the balance sheet and profit and loss account (with annexes) for the last period for upstream and downstream organizations should also be provided
- **Status Information Form.** In case this is not a start-up, it includes the headcount (AWU), balance, profit & loss accounts of the latest closed financial year and the relation, upstream and downstream, of any linked or partner company. In case it is a start-up, legal document of the official founding date.
- **Legal existence.** Company Register, Official Gazette or other official document per country showing the name of the organisation, the legal address and registration number and, if applicable, a copy of a document proving VAT registration (in case the VAT number does not show on the registration extract or its equivalent)
- In cases where the **number of employees and/or the ownership is not clearly identified:** any other supporting documents which demonstrate headcount and ownership such as payroll details, annual reports, national regional, association records, etc. In case it is a start-up, legal document of the official founding date and declaration of ownership.
- **Bank account information:** The account where the funds will be transferred will be indicated via form signed by the SME, individuals and the bank owners. The holder of the account will be the SME or all the individuals (the coordinator of the group on its own if allowed by the other team members).
- **Sub-grantee funding agreement:** Signed between the DIATOMIC Consortium represented by its coordinator (INTRASOFT) and the Budget Holder (BIOSENSE) and the beneficiary(ies).

The request, by DIATOMIC consortium, of the documentation will be done including deadlines. Failing to meet the deadlines requested will directly end up the negotiation process and projects under the reserve list will substitute the failing applicants.

## 4.4 Summary of The Evaluation and Payment Process



The given information about the open calls is indicative and will be specified at later stage. It can't be considered as legally binding.



## 5 Private Funding

DIATOMIC strongly supports private contribution to the experiments and additional points will be given to proposals that bring private fund into the total experiment budget, reducing the funding rate of DIATOMIC.

In case of complementary private funding, the proposers are obliged to provide sufficient evidence at the proposal evaluation time, the sub-project negotiation time and during the sub-project execution. In more details:

- *During the proposal time*, the proposers should demonstrate the budget of the experiment and select DIATOMIC funding rate to be associated. Sufficient contact and communication details should also be provided, along with declaration of honour signed from the private organization (as part of Annex 5).
- *During negotiation time and before the sub-grant signature*, the proposers should demonstrate financial capacity to co-finance the experiment (bank statement or company financial results) and agree on the complementary text on the sub-grant agreement referring to the budget of the experiment and the DIATOMIC funding rate.
- *During the sub-project execution time*, the coordinator of the sub-project should provide the invoices where clearly is presented the DIATOMIC funding rate.

The DIATOMIC consortium reserves the right during the negotiation or project execution time to request sufficient evidence of the ability of the consortium to realize the complementary contract funding. Moreover, DIATOMIC may request support at any time from the EC services including the European Anti-Fraud office (OLAF) to the organization providing the private funding, including on-the-spot checks and inspections in accordance with Council Regulation (Euratom, EC) No 2185/96 of 11 November 1996.

**In case no sufficient documentation is provided the Diatomic consortium reserves the right to exclude the applicant and pick up the next one in the reserve list. Moreover, DIATOMIC keeps the right to suspend or stop at any time a sub-project that is not able to prove that the above conditions are in place.**

## 6 Sub-Projects Execution

### 6.1 Reviews

Each project will go through 3 reviews, each one highlighting the end of a phase. In some cases the 2<sup>nd</sup> and 3<sup>rd</sup> review may be executed together. The reviews will be organized by the DIATOMIC consortium based on DIATOMIC Task 4.4 leader and external reviewers' availability.

The sub-project coordinator should deliver at least one (1) week in advance all relevant deliverables, so that the reviewers will be able to read it. During the review, the sub-project consortium members should present their work, answer questions and demonstrate their experiment.

Reviews (Months after the project start)	Project Duration (in Months)		
	Up to 9	10-12	13-15
Design Review	M2		
Develop Review	M10		
Market Review	M10	M13	M16

Table 1: Project Reviews Planning

**The maximum sub-project duration will be 15 months and should finish at least 2 months before the end of DIATOMIC project.** As such reviews are scheduled to meet this requirement. Yet sub-projects with shorter duration may have development and market review together at end of month 10.

### 6.2 Payments

Each sub-project (selected via the open calls) will receive the funding on a lump sum scheme and according to the terms of the contract signed between DIATOMIC consortium and the selected project representative. In more details, each sub-project deliverable will be associated with a specific cost. This cost will be explicitly referred to the sub-contract and will include the total amount that each 3<sup>rd</sup> party of the project consortium will receive for the specific activity.

After each sub-project review and successful evaluation of each deliverable, its cost will become eligible. Deliverables that are not accepted will be re-evaluated at next review. **If this is the last review, the cost of these deliverables will not be paid to the sub-project and their cost will be automatically reduced from the subcontract.**

As soon as a deliverable cost becomes eligible, the sub-project coordinator will provide a Financial Statement to the DIATOMIC Budget Holder (BIOS). The Budget Holder (BIOS) in collaboration with the Evaluation and Assessment leader (SYN) will cross-check that the financial statement of each project includes only the deliverables that have been accepted. Then, the Budget Holder will create an Aggregated Financial Statement towards the DIATOMIC Project Coordinator (INTRA) where the amount of funding per sub-project and per deliverable will be referred. The aggregated funding will be transferred to the Budget Holder, who in turn will forward it to the sub-project coordinator. The funding per each phase (i.e. Design, Develop and Market), should not exceed the Open Call funding scheme (up to 40% after Phase 1 (with €30.000,00 ceiling), up to 70% in total after Phase2, and up to 100% in total after Phase 3), while **15% of the last payment will be retained until the end of the DIATOMIC project and DIATOMIC receives the final payment from the EC.** This final 15% is beyond DIATOMIC consortium influence and may be delayed well beyond the end of the DIATOMIC project.

Phase	Duration	Deliverable	Funding % (in total)
Design	1-2 months	Application Experiment Plan	Up to 40% Max. €30k
Develop	6-9 months	Demonstration of the experiment results	Up to 70%
Market	2-3 months	Report on market associated activities	Up to 100%*

\*15% of the payment will be retained until DIATOMIC project receives the final payment from the EC

**Table 2: DIATOMIC Open Calls funding scheme**

The payment from the DIATOMIC project (Budget Holder) to the sub-project will take place via the sub-project coordinator organization. The DIATOMIC has no other obligation to ensure or monitor that funding actually has reached the sub-contract consortium participant. The sub-project coordinator is responsible to distribute the funding to the consortium members based on the sub-contract that has been signed and the funding distribution per deliverable and per party

## 7 Responsibilities of consortia members

The sub-projects consortia members are indirectly beneficiaries of European Commission funding. As such, they are responsible for the proper use of the funding and ensure that the recipients comply with obligations under H2020 specific requirements as described in Horizon 2020 - the Framework Programme for Research and Innovation (2014-2020 [1]). The obligations that are applicable to the recipients include<sup>2</sup>:

### 7.1 Conflict of Interest

The 3<sup>rd</sup> parties (sub-contract consortium member) must take all measures to prevent any situation where the impartial and objective implementation of the sub-project is compromised for reasons involving economic interest, political or national affinity, family or emotional ties or any other shared interest ('conflict of interests').

They must formally notify to the Commission (via the DIATOMIC coordinator) without delay any situation constituting or likely to lead to a conflict of interests and immediately take all the necessary steps to rectify this situation. The DIATOMIC coordinator may verify that the measures taken are appropriate and may require additional measures to be taken by a specified deadline.

If the sub-contract consortium member breaches any of its obligations, the sub-contract may be automatically terminated. Moreover, in case costs are not explicitly included in the sub-project, they may be rejected. Finally, the cost of the deliverables, which are clearly specified in the sub-project and are accepted during a review process, becomes eligible. Deliverables that are not accepted will be re-evaluated at next review. If this is the last review, the cost of these deliverables will not be paid to the sub-project.

### 7.2 Maintaining Confidentiality

During implementation of the sub-project and for four years after the end of the sub-project, the parties must keep confidential any data, documents or other material (in any form) that is identified as confidential at sub-contract signing time ('confidential information').

If a 3<sup>rd</sup> party requests, the Commission and the DIATOMIC consortium may agree to keep such information confidential for an additional period beyond the initial four years. This will be explicitly stated at the sub-contract.

If information has been identified as confidential during the sub-project execution or only orally, it will be considered to be confidential only if this is accepted by the DIATOMIC coordinator and confirmed in writing within 15 days of the oral disclosure. Unless otherwise agreed between the parties, they may use confidential information only to implement the Agreement.

The sub-project consortium may disclose confidential information to the DIATOMIC consortium and to the selected reviewers, who will be bounded by a specific Non-Disclosure Agreement.

### 7.3 Promoting the action and give visibility to the EU funding

The 3<sup>rd</sup> parties (sub-contract consortium member) must promote the sub-project, DIATOMIC project and its results, by providing targeted information to multiple audiences (including the media and the public) in a strategic and effective manner and to highlight the financial support of the EC.

---

<sup>2</sup> The obligations described here are not binding and may be modified, refined or additional obligations may be inserted during the sub-project negotiation if needed.

Unless the European Commission or the DIATOMIC coordinator requests or agrees otherwise or unless it is impossible, any communication activity related to the action (including in electronic form, via social media, etc.), any publicity, including at a conference or seminar or any type of information or promotional material (brochure, leaflet, poster, presentation etc.), and any infrastructure, equipment and major results funded by the grant must:

- (a) display the EU emblem
- (b) display the DIATOMIC logo and
- (c) include the following text:

For communication activities: *“This project has indirectly received funding from the European Union’s Horizon 2020 research and innovation programme, via an Open Call issued and executed under project DIATOMIC (grant agreement No 761809)”*.

For infrastructure, equipment and major results: *“This [infrastructure][equipment][insert type of result] is part of a sub-project that has indirectly received funding from the European Union’s Horizon 2020 research and innovation programme via an Open Call issued and executed under project DIATOMIC (grant agreement No 761809)”*.

When displayed in association with a logo, the European emblem should be given appropriate prominence. This obligation to use the European emblem in respect of projects to which the EC contributes implies no right of exclusive use. It is subject to general third-party use restrictions which do not permit the appropriation of the emblem, or of any similar trademark or logo, whether by registration or by any other means. Under these conditions, the Beneficiary is exempted from the obligation to obtain prior permission from the EC to use the emblem. Further detailed information on the EU emblem can be found on the Europa web page.

Any publicity made by the Beneficiary in respect of the project, in whatever form and on or by whatever medium, must specify that it reflects only the author’s views and that the EC or DIATOMIC project is not liable for any use that may be made of the information contained therein.

The EC and the DIATOMIC consortium shall be authorised to publish, in whatever form and on or by whatever medium, the following information:

- the name of the sub-project coordinator and all consortium members
- contact address of the sub-project coordinator and all consortium members
- the general purpose of the project
- the amount of the financial contribution foreseen for the project; after the final payment, the amount of the financial contribution actually received by the sub-project
- the geographic location of the activities carried out;
- the list of dissemination activities and/or of patent (applications) relating to foreground;
- the details/references and the abstracts of scientific publications relating to foreground and, if funded within the sub-project, the published version or the final manuscript accepted for publication;
- the publishable reports submitted to DIATOMIC;
- any picture or any audiovisual or web material provided to the EC and DIATOMIC in the framework of the project.

The sub-project coordinator shall ensure that all necessary authorisations for such publication have been obtained and that the publication of the information by the EC and DIATOMIC does not infringe any rights of third parties.

Upon a duly substantiated request by the sub-project coordinator on behalf of any sub-project consortium member, the DIATOMIC, if such permission is provided by the EC, may agree to forego such publicity if disclosure of the information indicated above would risk compromising the beneficiary’s security, academic or commercial interests.

## 7.4 Financial audits and controls

The European Commission (EC) will monitor that DIATOMIC beneficiaries and the sub-contract consortium members that comply with the conditions for financial support to third parties such as set out in Annex 1 of the DIATOMIC grant agreement and may take any action foreseen by the grant agreement in case of non-compliance vis à vis the beneficiary concerned.

Moreover, the EC at any time during the implementation of the DIATOMIC project and up to five years after the end of the DIATOMIC project, arrange for financial audits to be carried out, by external auditors, or by the EC services themselves including the European Anti-Fraud office (OLAF). The audit procedure shall be deemed to be initiated on the date of receipt of the relevant letter sent by the EC. Such audits may cover financial, systemic and other aspects (such as accounting and management principles) relating to the proper execution of the grant agreement. They shall be carried out on a confidential basis.

The sub-project consortium member shall make available directly to the EC all detailed information and data that may be requested by the EC or any representative authorised by it, with a view to verifying that the grant agreement is properly managed and performed in accordance with its provisions and that costs have been charged in compliance with it. This information and data must be precise, complete and effective.

The sub-project consortium member shall keep all sub-project deliverables and the originals or, in exceptional cases, duly authenticated copies – including electronic copies - of all documents relating to the sub-project contract for up to five years from the end of the project. These shall be made available to the EC where requested during any audit under the grant agreement.

In order to carry out these audits, the sub-project consortium member shall ensure that the EC's services and any external body(ies) authorised by it have on-the-spot access at all reasonable times, notably to the sub-project consortium member offices, to its computer data, to its accounting data and to all the information needed to carry out those audits, including information on individual salaries of persons involved in the project. They shall ensure that the information is readily available on the spot at the moment of the audit and, if so requested, that data be handed over in an appropriate form.

On the basis of the findings made during the financial audit, a provisional report shall be drawn up. It shall be sent by the EC or its authorised representative to the beneficiary concerned, which may make observations thereon within one month of receiving it. The Commission may decide not to take into account observations conveyed or documents sent after that deadline. The final report shall be sent to the beneficiary concerned within two months of expiry of the aforesaid deadline.

On the basis of the conclusions of the audit, the EC shall take all appropriate measures which it considers necessary, including the issuing of recovery orders regarding all or part of the payments made by it and the application of any applicable sanction.

The European Court of Auditors shall have the same rights as the EC, notably right of access, for the purpose of checks and audits, without prejudice to its own rules.

In addition, the EC may carry out on-the-spot checks and inspections in accordance with Council Regulation (Euratom, EC) No 2185/96 of 11 November 1996 concerning on-the-spot checks and inspections carried out by the Commission in order to protect the European Communities' financial interests against fraud and other irregularities.

## 7.5 Sub-project Consortium Agreement

Each sub-project deliverable will be associated with a specific cost. This cost will be explicitly referred to the sub-contract and will include the total amount that each 3rd party of the project consortium will receive for the specific activity.

The payment from the DIATOMIC project (Budget Holder) to the sub-project will take place via the sub-project coordinator organization. The DIATOMIC has no other obligation to ensure or monitor that funding has actually reached the sub-contract consortium participant. The sub-project coordinator is responsible to distribute the funding to the consortium members based on the sub-contract that has been signed and the funding distribution per deliverable and per party.

As such, the sub-project consortium members should ensure the DIATOMIC coordinator via Annex 5 “Consortium Honour Declaration” that a relevant consortium agreement has been signed, where:

- The sub-project coordinator ensures for the financial viability of each sub-project consortium member
- Each consortium member authorized the sub-project coordinator to act on its behalf
- Each consortium member authorized the sub-project coordinator to receive the sub-project funding from the DIATOMIC coordinator and distribute it according to the sub-contract
- Defines a decision-making procedure and conflict resolution schema among the consortium members
- Ensures proper IPR protection of the sub-project consortium members.

## **7.6 Sub-project Communication**

The sub-project coordinator should:

- Provide any notice be in writing to the DIATOMIC project coordinator
- Notify immediately any change of persons or contact details to the DIATOMIC coordinator. The address list shall be accessible to all concerned.

## 8 DIATOMIC EVENTS

DIATOMIC will organise physical events to the teams involved. It will be compulsory to attend those events in person. At least one representative per team will be required on each event, although it is strongly advised that at least two people attend.

Failing to attend any of the proposed events defined at the beginning of each phase by DIATOMIC will automatically disqualify the team from DIATOMIC programme.

All the events will be informed with enough time to prepare the logistics and reservations for all the team members. At least 2 events/ bootcamps (in different EU locations, with duration of up to 2 days) will be performed with all the selected projects.



## 9 Checklist

- 1) **Does your planned work fit with the call for proposals?** Check that your proposed work does indeed address one of the topics open in this call.
- 2) **Does your proposal address AME/SSI-based technology?** Check that your proposed work does indeed address the AME/SSI technologies in one of the target sectors.
- 3) **Is your proposal eligible?** The eligibility criteria are given in chapter 3 “Proposal Eligibility Criteria”. In particular, make sure that you satisfy the minimum participation requirements (entity from eligible countries)
- 4) **Budgetary limits.** Check that you comply with any budgetary limits as expressed in chapter 3 “Proposal Eligibility Criteria”. Any proposal not meeting the eligibility requirements will be considered ineligible and will not be evaluated.
- 5) **Is your proposal complete?** Have you completed all mandatory questions?
- 6) **Does your proposal fulfil questions requests/ comments?** Proposals should be precise, concise and must answer to requested questions, which are designed to correspond to the applied evaluation. Omitting requested information will almost certainly lead to lower scores and possible rejection.
- 7) **Have you maximised your chances?** There will be strong competition. Therefore, edit your proposal tightly, strengthen or eliminate weak points.
- 8) **Have you submitted your proposal before the deadline?** It is 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 network communications delays, is not acceptable as an extenuating circumstance. The time of receipt of the message as recorded by the submission system will be definitive.
- 9) **Have you provided the necessary annexes?**
- 10) **Do you need further advice and support?** You are strongly advised to communicate with the DIATOMIC team via the DIATOMIC blog.

## 10 Points of Contact

The DIATOMIC consortium will provide information to the applicants only via the F6S blog, so that the information (question and answer), will be visible to all participants.

No binding information will be provided via any other mean (e.g. telephone or email).

More info at: <https://diatomic.eu/index.php/open-calls/>

Apply via: <https://www.f6s.com/diatomic>

F6S support team: [support@f6s.com](mailto:support@f6s.com)

Online Q&A: <https://www.f6s.com/diatomic/discuss>

## 11 References

- [1] Digital Innovation Initiatives based on European Networks of Competence Centres in H2020, available on line at <https://smartanythingeverywhere.eu/smart-anything-everywhere/>
- [2] REGULATION (EU) No 1290/2013 OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL of 11 December 2013 laying down the rules for participation and dissemination in "Horizon 2020 - the Framework Programme for Research and Innovation (2014-2020)" and repealing Regulation (EC) No 1906/2006
- [3] EUROPEAN COMMISSION, Directorate-General for Communications Networks, Content and Technology, "Guidance note on financial support to third parties under H2020", Annex K. "Actions involving financial support to third parties", [http://ec.europa.eu/research/participants/data/ref/h2020/other/wp/2016\\_2017/annexes/h2020-wp1617-annex-k-fs3p\\_en.pdf](http://ec.europa.eu/research/participants/data/ref/h2020/other/wp/2016_2017/annexes/h2020-wp1617-annex-k-fs3p_en.pdf)
- [4] H2020 Call Objective ICT-04-2017 TOPIC: Smart Anything Everywhere Initiative, <https://ec.europa.eu/research/participants/portal/desktop/en/opportunities/h2020/topics/ict-04-2017.html>