



HUBCAP

Grant Agreement: 872698

Digital Innovation HUBs and CollAborative
Platform for cyber-physical systems

Call #3 INNOVATE Documentation Kit
April/2021



This project has received funding by the European
Union's Horizon 2020 research and innovation
programme under grant agreement 872698.



HUBCAP

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Digital innovation HUBs and Collaborative
Platform for cyber-physical systems

Annex 1: Open Call #3 INNOVATE

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The HUBCAP Consortium is the following:

Table 1: HUBCAP consortium.

HUBCAP Consortium			
Participant Number	Participant organisation name	Short name	Country
1	Aarhus University	AU	Denmark
2	Newcastle University	UNEW	UK
3	Fortiss GmbH	FOR	Germany
4	Virtual Vehicle Research Center	VV	Austria
5	Fondazione Bruno Kessler	FBK	Italy
6	KTH Royal Institute of Technology	KTH	Sweden
7	University “Lucian Blaga” of Sibiu	ULBS	Romania
8	Engineering Ingegneria Informatica S.p.A.	ENGIT	Italy
9	Research Institutes of Sweden AB	RISE	Sweden
10	F6S Network Ireland Limited	F6S	Ireland
11	Politecnico di Milano	POLIMI	Italy
12	Unparallel Innovation	UNP	Portugal
13	Controllab Products	CLP	Netherlands
14	BEIA Consult	BEIA	Romania
15	Verified Systems International	VSI	Germany
16	Validas	VAL	Germany
17	Technology Transfer Systems srl	TTS	Italy

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Moreover, it is clearly stated that the HUBCAP 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.

The HUBCAP project, co-funded from the European Union’s Horizon 2020 research and innovation programme under grant agreement No 872698, foresees as an eligible activity the provision of financial support to third parties, to achieve its own objectives.

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Funding Scheme: Innovation Action (IA) • Theme: DT-ICT-01-2019
 Smart Anything Everywhere
 Start date of project: 01 January 2020 • Duration: 36 months

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Table 2: List of abbreviations and acronyms

List of Abbreviations and Acronyms	
HUBCAP	DIGITAL INNOVATION HUBS AND COLLABORATIVE PLATFORM FOR CYBER-PHYSICAL SYSTEMS
CET	Central European Time
EC	European Commission
EU	European Union
OCs	Open Calls
DIHs	Digital Innovation Hubs
RTD	Research and Technological Development

SME	Small Medium-sized enterprises
CPS	Cyber-Physical Systems
MBD	Model-Based Design
ESR	Evaluation Summary Report
CER	Consensus Evaluation Report
KPIs	Key Performance Indicator
IPR	Intellectual Property Right

1 Introduction

This document provides a summary regarding the Open Call #3 INNOVATE of the HUBCAP project (www.huncap.eu). The **Annex 7: Sub-Grant Agreement model** must be additionally considered for the submission of an application to Open Call #3 INNOVATE.

HUBCAP will organise three sets of open calls (OCs) to select and directly finance SMEs to develop, experiment, integrate, and deploy new existing Model-Based Design (MBD) and Cyber-Physical Systems (CPS) technology through the application of high valuable experiments. These will include:

Call #1 – PULL (Call #1.1; Call #1.2; Call #1.3; Call #1.4; Call #1.5);

Call #2 – EXPERIMENT (Call #2.1; Call #2.2);

Call #3 – INNOVATE (Call #3)

1.1 Open Call #3 INNOVATE scope

The main goal of Call #3 INNOVATE is to fund the development and implementation of high innovative and challenging MBD CPS projects, which will become part of the HUBCAP flagship portfolio of success stories, enlarging the value and outreach of the HUBCAP ecosystem, models, and technologies.

The Call #3 INNOVATE will finance 10 innovative projects made of small consortia of 2–3 partners representing at least a tech provider and an adopter. The INNOVATE projects will have a total duration of 12-month divided in three stages: Design >Develop & Operate > Assess; along which HUBCAP will provide technology and business support to assure the highest impact. The expected result will be 10 innovative Application Experiments (AEs) by European SMEs, demonstrating the value and benefits of HUBCAP MBD CPS technologies in different industry environments.

The following table provides an overview of the Open Call #3 INNOVATE to be launched within the HUBCAP project, to support the candidate in understanding the overall Open Calls approach.

Table 3: Call #3 INNOVATE overview.

Open Call	Overview
Call #3 INNOVATE	<p>Duration: high budget and 12 months duration projects divided into three phases:</p> <ul style="list-style-type: none"> • Design, 2 months, • Develop & Operate, 8 months; and • Assess, 2 months. <p>Target Group: Consortia of 2-3 SMEs to deploy high value and impactful experiments employing MBD CPS technologies.</p> <p>Number of Projects: Top 10 innovative Application Experiments (AEs) by European SMEs, demonstrating the value and benefits of HUBCAP MBD CPS technologies in different industry environments.</p> <p>Calls to be launched: only one open call to be launched in April 2021.</p> <p>Activities: Finance consortium of 2-3 SMEs to innovate with MBD CPS to create new products. Deployment of HUBCAP MBD technologies in the field, different industries, and geographies.</p> <ul style="list-style-type: none"> • Provision of funding & services for the development of 10 innovative Application Experiments (AEs) making use/developing new CPS technologies in different industry environments. • The MBD assets applied in the innovative experiments will feed back into HUBCAP. <p>Funding: up to 200 000EUR per consortium, 100 000EUR maximum per SME.</p> <ul style="list-style-type: none"> • <u>Design (20%)</u>: consortia will be invited to fine-tune their pilot planning and technology usage with HUBCAP experts; prepare follow up/ KPI document associated with respective pilot, • <u>Develop & Operate (60%)</u>: deploy technologies in the field, configure units and software, initiate operations and collect relevant data, • <u>Assess (20%)</u>: aggregate results on technologies impacts, communicate achievements. <p>Evaluation: Meeting with HUBCAP assigned members of the consortium (depending on the pilot MBD technology and geographic region) and approval of report presented at the end of each phase, based on the milestones/deliverables/KPIs defined by the applicants in their application.</p>

1.2 Open Call #3 INNOVATE Activities and Timeline

Submission to Call #3 INNOVATE will be enabled on the **1st of April 2021** and will end on the **30th of June 2021 at 17:00 CET time** (Brussels time). In figure 2 you can see the different timelines for the activities expected under Call #3 INNOVATE.

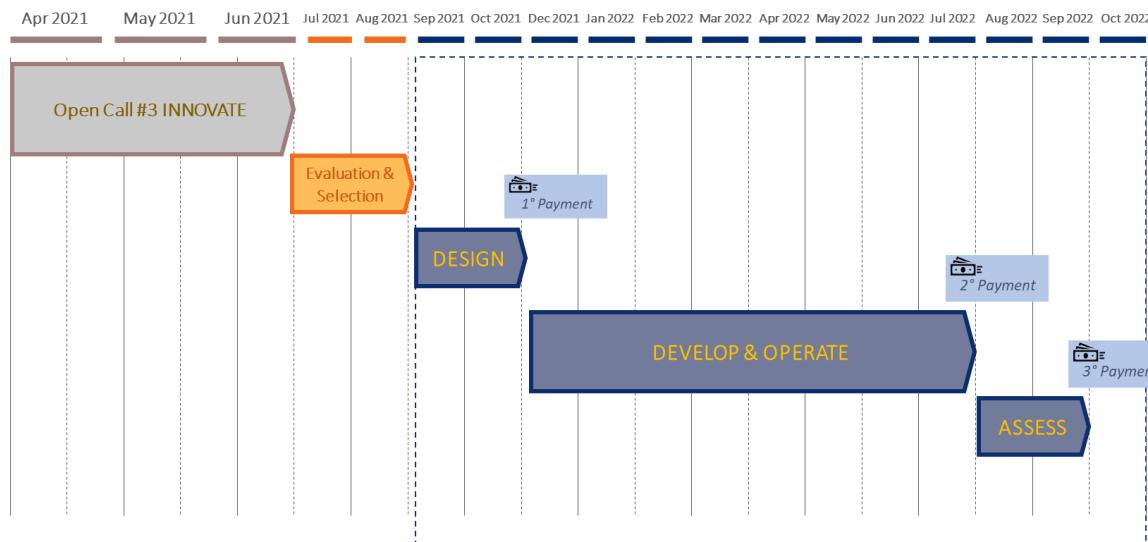


Figure 1: Call #3 INNOVATE activities timeline.

The evaluation process will be done after the open call closes, to ensure a fair process. The evaluation will be conducted by an external evaluation board with expertise in MBD CPS technologies and business development. Remotely and within the F6S platform, two evaluators will score and comment each proposal based on the following evaluation criteria:

Table 4: External remote evaluation criteria

No	Criteria	Score	Description
1	Alignment	1 – 10	Applicants must align with each call objectives/challenges, including the added value by integrating or developing upon digitalisation.
2	Excellence	1 – 10	Projects must demonstrate a clear set of objectives aligned with the definition of the Call #2.1 EXP and with the general objectives of the project. Is evaluated according to the following criteria: <ul style="list-style-type: none"> • Clarity and pertinence of the objectives, • Excellence, innovation, and quality of the objectives, • How innovative it is (demonstrate the innovation potential compared to the existing technology and/or solutions available on the market).
3	Impact	1 – 10	Development outcomes, business scalability/replicability, and targeted markets through a go-to-market strategy. Applicants must define a clear set of deliverables aligned with the objectives of the OCs. Proposals must demonstrate impact on the HUBCAP ecosystem and its contribution to meeting the overall project objectives. Demonstrate a clear effectiveness of the proposed measures to exploit and disseminate the project proposal results (including management of IPR), to communicate

			the project proposal, and to manage research data where relevant.
4	Value	1 – 10	Proposals must also include a clear budget definition: clearly explain the presented budget distribution per experiment phase, deliverables/milestones, partners and consequently its value/benefit for the user SME.
5	Implementation and Team Capacity	1 – 10	<p>Quality of the workplan (including milestones), including appropriateness of the allocation of tasks and resources, justifications of resources.</p> <p>Complementary and capacity of the team based on proven experience to deliver the project proposal and to commercialise it.</p> <p>The team management experience to be able to deliver the project in the timescales as well as comply with the proposed budget specified (financial management).</p>

After evaluation, proposals will be ranked based on overall score. The top ranked proposals (twice the number of planned number of proposals to be selected) will be invited to interview with external evaluators. Proposals not invited to interview will be notified that they have not qualified.

The online interview aims to go into details in what it refers to as concept and innovativeness; team and engagement; and capacity and willingness to exploit experiment results. The interviews will be carried out by 2 external evaluators, having 1 HUBCAP member as moderator.

The following criteria are to be evaluated along the interview:

Table 5: Online Interviews Evaluation Criteria.

No	Criteria	Score	Description
1	Concept & Technology	1 – 10	Confirmation of the proposed targets and technology fit.
2	Business	1 – 10	The viability of the proposed business model.
3	Exploitation	1 – 10	<p>Reliability to reach milestones proposed.</p> <p>Readiness to present to investors & corporates.</p> <p>Demonstrate a clear effectiveness of the proposed measures to exploit and disseminate the project proposal results (including management of IPR), to communicate the project proposal, and to manage research data where relevant.</p>

After the interviews, evaluators form a consensus regarding the evaluation and a report is prepared. After the 2-stage evaluation process (remote evaluation and interview) all proposals will be ranked based on their scores.

The Call #3 INNOVATE aims to select 10 innovative projects. All applicants will be informed about the evaluation results via email where they will receive their respective acceptance or rejection letters, together with an anonymized version of their Consensus Evaluation Report (CER).

For a more detail information please consult the ***Annex 2: Guidelines for Applicants.***

Please note that opening and closing dates of Call #3 INNOVATE can be subject to change in case of any modifications in the projects schedule.

It should be underlined that in case of any Force Majeure (i.e. any unforeseeable exceptional situation or event beyond the HUBCAP consortium control), the final number of applications being selected in each call might be different.

1.3 Announcement of open call #3 INNOVATE of financial support

Table 6: Call #3 INNOVATE Competitive Calls and FSTP

	Information to be provided by the project consortium
Call title:	HUBCAP Open Call #3 INNOVATE - Funds the deployment of new products and demonstrations of highly innovative collaborations using the HUBCAP platform.
Full name of the EU funded project:	DIGITAL INNOVATION HUBS AND COLLABORATIVE PLATFORM FOR CYBER-PHYSICAL SYSTEMS
Project acronym:	HUBCAP
Grant agreement number:	H2020-872698
Call publication date:	1 st April 2021
Call deadline:	30 th June 2021 at 17h00 CET (Brussels time)
Expected duration of participation:	12 Months
Total EU funding available:	2.000.000EUR Financial support per Consortium: up to 200.000EUR
Submission & evaluation process:	<p>HUBCAP open Call #3 INNOVATE will have only one call along the project timeline. It is expected to stimulate the development and implementation of highly innovative and challenging MBD CPS projects. These innovative projects will connect adopters and providers SMEs from several industries and funding projects collaborations with consortia of 2-3 SMEs. The INNOVATE projects will have a total duration of 12 months divided in three phases: Design > Develop & Operate > Assess.</p> <p>The evaluation will be conducted by an external evaluation board with expertise in MBD CPS technologies and business development. Remotely and within the F6S platform, two evaluators will score and comment each proposal: Alignment, Excellence, Impact, Value, Implementation, Quality and Efficiency. The top ranked consortia will be invited to interview with external evaluators. After the online interviews, external evaluators will form a consensus about the evaluation and a report is prepared.</p> <p>HUBCAP Open Call #3 INNOVATE will select 10 innovative proposals applications.</p> <p>Submissions are available via</p>

	www.f6s.com/call-3-innovate/apply
Further information:	Details available at www.hubcap.eu
Task description:	The HUBCAP ecosystem will increase the outreach and adoption of MBD CPS technologies by providing funding and value-added services for the development of innovative projects making use or developing new Cyber-Physical Systems technologies. The Model-Based Design assets applied in the innovative projects will feed back into the HUBCAP ecosystem, becoming the HUBCAP flagship portfolio of success stories, enlarging the value and outreach of the HUBCAP ecosystem, model, and technologies. The expected result from INNOVATE call will be 10 innovative Application Experiments (AEs) by European SMEs, demonstrating the value and benefits of HUBCAP MBD CPS technologies in different industry environments.

2 Additional Information

2.1 Open Call #3 INNOVATE Additional Material

Open Call supported material:

- **Annex 1: Open Call text**, which provides a full set of information regarding the Open Calls under the HUBCAP project.
- **Annex 2: Guidelines for Applicants**, this document.
- **Annex 3: Proposals Application Form**, an online application form, available at F6S platform (www.f6s.com/call-3-innovate/apply).
- **Annex 3.1: New Asset Description**, a form in which the provider(s) SME(s) that has a new asset(s), will inform the HUBCAP consortium of the basic technology needs and allow its respective asset integration in the project platform.
- **Annex 4: Applicant Declaration of Honour**, which declares that all conditions of the Open Call #3 INNOVATE are accepted by the SMEs legal representatives.
- **Annex 5: SME Declaration**, which evaluates the status of the SMEs participating at the Open Call #3 INNOVATE.
- **Annex 6: Consortium Declaration of Honour**, which provides information about the consortium leader and the budget allocated per SMEs and declares that all conditions on exclusion criteria and absence of conflict of interest between the Consortium and the Contractor are accepted.
- **Annex 7: Sub-grant Agreement Template**, which provides a template of the sub-grant agreement that the successful applicants will be requested to sign.
- **Annex 8: Bank Account Information Form**, which collects information on the applicant(s)' bank account where the HUBCAP payments will be sent to.
- **Annex 9: Competitive Calls Financial Support to Third Parties**, which contains the formal announcement to be published in the EU portal.
- **Annex 10: Ethics Self-Assessment Form**, which summarizes potential ethics issues that a project proposal could raise.
- **Annex 11: Justification of Costs Table**, which provides the information concerning the projects budget and request for funding.
- **Frequently Asked Questions & answers** published at the project website respective page (<https://www.hubcap.eu/faq>).

Applicants are expected to provide complete, accurate data and contact details.

2.2 Contacts

The HUBCAP 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 means (e.g. telephone or email).

More info at: www.hubcap.eu

Apply via: www.f6s.com/call-3-innovate/apply

F6S Q&A: <https://www.f6s.com/hubcap/discuss>

HUBCAP Service Centre: info@hubcap.eu

F6S support team (for platform issues during the application): support@f6s.com

HUBCAP Coordinator (for contractual aspects and payments): mesp@au.dk



HUBCAP

Grant Agreement: 872698

Digital innovation HUBs and Collaborative
Platform for cyber-physical systems

Annex 2: Guidelines for Applicants Call #3 INNOVATE
April/2021



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2	Newcastle University	UNEW	UK
3	Fortiss GmbH	FOR	Germany
4	Virtual Vehicle Research Center	VV	Austria
5	Fondazione Bruno Kessler	FBK	Italy
6	KTH Royal Institute of Technology	KTH	Sweden
7	University “Lucian Blaga” of Sibiu	ULBS	Romania
8	Engineering Ingegneria Informatica S.p.A.	ENGIT	Italy
9	Research Institutes of Sweden AB	RISE	Sweden
10	F6S Network Ireland Limited	F6S	Ireland
11	Politecnico di Milano	POLIMI	Italy
12	Unparallel Innovation	UNP	Portugal
13	Controllab Products	CLP	Netherlands
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Funding Scheme: Innovation Action (IA) • Theme: H2020-DT-2018-2020
 Start date of project: 01 January 2020 • Duration: 36 months

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Table 2: List of abbreviations and acronyms.

List of Abbreviations and Acronyms	
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CET	Central European Time
EC	European Commission
EU	European Union
MBD	Model-Based Design
CPS	Cyber-Physical System
RTD	Research and Technological Development
SME	Small and Medium-sized enterprises (including start-ups)
DIHs	Digital Innovation Hubs
TRL	Technology Readiness Level
VAT	Value Added Tax
OC	Open Call
OLAF	European Anti-Fraud
ESR	Evaluation Summary Report
AWU	Annual Work Unit
GDPR	General Data Privacy Regulations
ESR	Evaluation Summary Report
CER	Consensus Evaluation Report
IPR	Intellectual Property Rights
FAQ	Frequently Asked Questions

1 Introduction

The HUBCAP project (www.hubcap.eu) will organise three set of open calls (OCs) to select and directly finance SMEs to develop, experiment, integrate, and deploy new existing Model-Based Design (MBD) and Cyber-Physical Systems (CPS) technology through the application of high valuable experiments. These will include:

1. **Call #1 - PULL** (Call #1.1; Call #1.2; Call #1.3; Call #1.4; Call #1.5)
2. **Call #2 - EXPERIMENT** (Call #2.1; Call #2.2)
3. **Call #3 - INNOVATE** (Call #3).

This document provides a full set of information regarding the Open Call #3 INNOVATE. The Sub-Grant Agreement model (*Annex 7*) must be additionally considered for the submission of an application to Open Call #3 INNOVATE.

1.1 Background information on the HUBCAP project

HUBCAP provides a one-stop-shop for European SMEs wanting to join the Cyber-Physical Systems (CPS) revolution using Model-Based Design (MBD) techniques. It builds on seven established Digital Innovation Hubs (DIHs) in seven European countries, each embedded in its regional innovation ecosystem, offering complementary technical expertise, experimental capabilities, and specialist knowledge in CPS application domains. From this base, HUBCAP is creating a growing and sustainable European network offering SMEs opportunities to undertake experiments, seek investment, access expertise and training, and form new business links. This is enabled by a cloud-based open collaboration platform with a ‘sandbox’ capability to help users’ trial new technology.

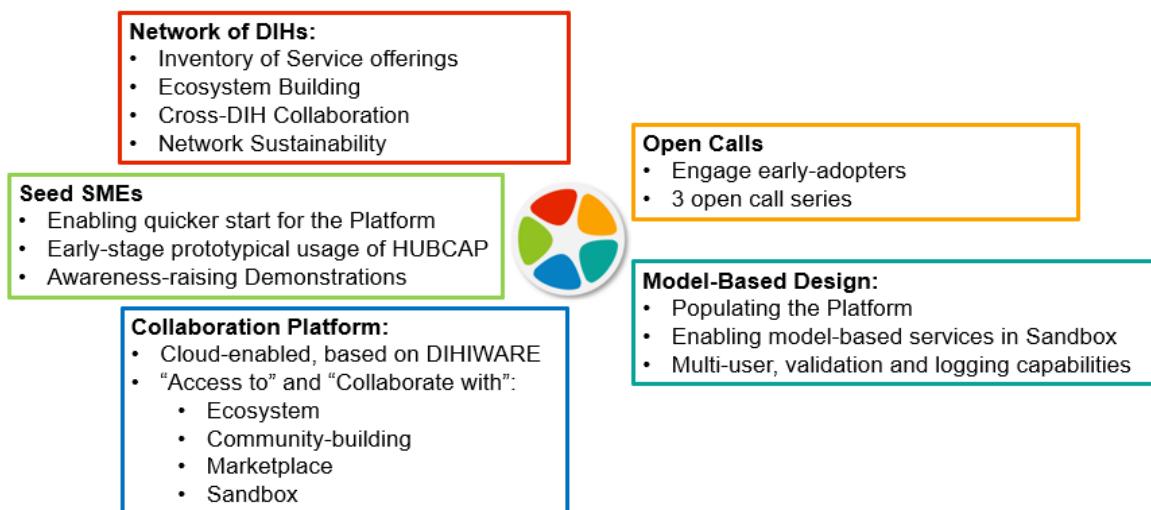


Figure 1: HUBCAP one-stop-shop for SMEs

HUBCAP aims to lower barriers for SMEs to realise the potential of growing autonomy in CPSs by accessing advanced MBD technology, providing training and guidance, and acting as a gateway to the full network of all registered DIHs specialising in CPS. Half the project funding goes to supporting SMEs, including open call funding for SMEs to join the ecosystem and experiment with MBD technology. HUBCAP provides an open collaboration platform to enable SMEs to co-create, analyse and validate new CPS products in a virtual setting, by accessing CPS assets (models, tools, services) and experimenting with new solutions, de-risking investments in skills or resources.

Technology providers will help populate and validate the collaboration platform and carefully selected seed SMEs will assist in kickstarting the ecosystem and reaching out to entirely new users of MBD technologies.

The vision of the Digital Innovation Hubs and Collaborative Platform for Cyber-Physical System (HUBCAP) project is to lower the initial costs for SMEs for using a MBD approach for the development of CPSs, delivering a sustainable network of SMEs, DIHs and other actors that enables and encourages suppliers and users of CPS models and MBD tools to meet and collaborate. This will be achieved by building an ecosystem around a cloud-based collaboration platform supported by DIHs and by the SMEs enhanced by Open Calls.

1.2 HUBCAP approach

HUBCAP aims to create a sustainable ecosystem based on three key elements.

First, it will create a sustainable network from existing DIHs with complementary competencies in CPS design and from a range of European countries. This network will build up an innovation ecosystem with the help of innovative seed SMEs.

Second, HUBCAP will run a programme of open calls:

- to pull SMEs into the ecosystem and help them get their assets in the platform (Call #1 PULL),
- to finance a consortium of SMEs and allow them to experiment with new technologies (Call #2 EXPERIMENT), and
- to finance a consortium of SMEs to innovate with MBD and create new products and services (Call #3 INNOVATE).

Third, HUBCAP will create a cloud-based platform to underpin the ecosystem and enable collaboration through servitisation of MBD tools. This will enable users and suppliers to explore, share, and buy CPS assets (models, tools, services, training) from across the ecosystem through a ‘try-before-you-buy’ sandbox and integrated ‘pay-as-you-go’ charging.



Figure 2: HUBCAP overall approach.

As mentioned above, HUBCAP will organize three sets of open calls to select and directly finance SMEs to develop, experiment, integrate, and deploy innovative Model-Based Design (MBD) and Cyber-Physical Systems (CPS) technology to create new products.

Working with the DIHs, SMEs will be able to access central funding for experiments via open calls as well as direct support. Members will make models, tools, training materials and expertise available to

each other, either freely or on a commercial basis, making it faster and easier to access MBD CPS engineering tools.

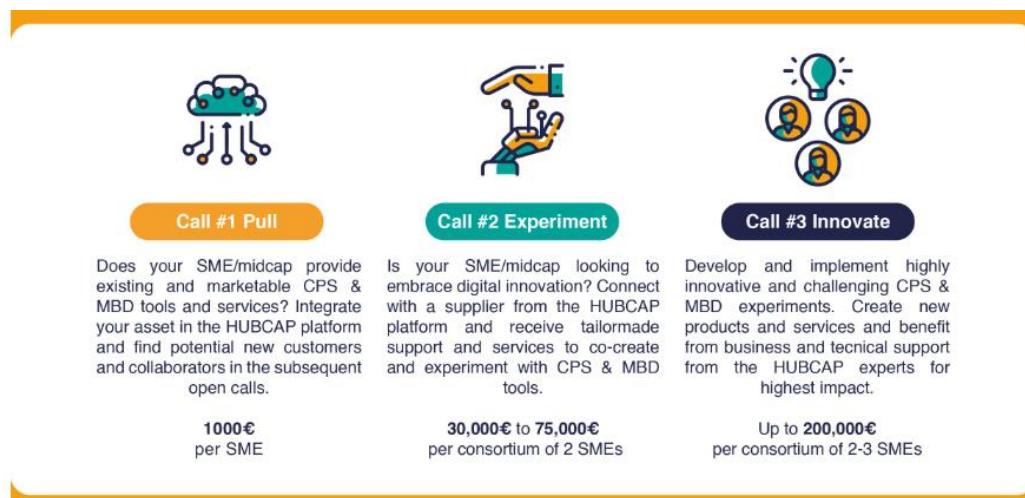


Figure 3: HUBCAP Programme Information.

It is expected that new innovations will emerge towards the third year from the project third-party experiments through the EXPERIMENT and INNOVATE calls. Conversely, the PULL call is open from early in the project (with five regular deadlines) and has a budget dedicated to workshops helping companies get their assets into the collaboration platform.

IMPORTANT: the information provided in this document is only binding in relation to Call #3 INNOVATE, and applicants to further calls should comply with their respective guidelines and sub-grantee agreements.

1.3 Call #3 INNOVATE Scope

The HUBCAP open calls embody an innovation cycle that will provide a collaboration framework between SMEs, Cyber-Physical Systems stakeholders, and technology providers as necessary to build complementary consortiums and realise successful experiments of new or enhanced products and services, or to implement and validate new business models enabled by HUBCAP. This action is a critical step for the route to market of the SMEs innovation concepts.

The main goal of HUBCAP Call #3 INNOVATE is thus to fund the development and implementation of high innovative and challenging MBD CPS projects, which will become part of the HUBCAP flagship portfolio of success stories, enlarging the value and outreach of the HUBCAP ecosystem, models, and technologies.

The Open Call #3 INNOVATE will fund a consortium of two or three SMEs, namely at least one adopter SME and at least one provider SME, to innovate with MBD with the aim to create new CPS technologies solutions and/or products.

The consortium of two-three SMEs should consist of either:

- At least one adopter SME partnering with at least one provider SME from the Call #1 PULL whose asset(s) is already on the HUBCAP platform,
- At least one adopter SME partnering with at least one new provider SME whose asset(s) will be added to the platform as part of the project.

In case of (b), the consortium should complete ***Annex 3.1: New Asset Description***, to describe the asset(s), which will be subject to an additional suitability check.

Projects should clearly show their innovation potential and address a clear business need and business solution for all member so the consortium, in terms of improving the lifecycle process or design of new CPS solutions for example through visual prototyping or models simulation. For more information on the type of projects and practical examples, please go to our project website FAQs¹ page.

The topic of the project idea must be new to all consortium members, new to the market but not necessarily new in terms of research. The consortium must have the innovation of the product/service clear so that evaluators are able to identify the innovation of the product/service.

The following table provides an overview of the Call #3 INNOVATE, to support the applicants in understanding the overall Open Call approach.

Table 3: Call #3 INNOVATE overview

Open Call	Overview
Call #3 INNOVATE	<p>Duration: high budget and 12 months duration projects divided into three phases:</p> <ul style="list-style-type: none"> • Design, 2 months, • Develop & Operate, 8 months; and • Assess, 2 months. <p>Target Group: Consortia of 2-3 SMEs to deploy high value and impactful experiments employing MBD CPS technologies.</p> <p>Number of Projects: Top 10 innovative Application Experiments (AEs) by European SMEs, demonstrating the value and benefits of HUBCAP MBD CPS technologies in different industry environments.</p> <p>Calls to be launched: only one open call to be launched in April 2021.</p> <p>Activities: Finance consortium of 2-3 SMEs to innovate with MBD CPS to create new products. Deployment of HUBCAP MBD technologies in the field, different industries, and geographies.</p> <ul style="list-style-type: none"> • Provision of funding & services for the development of 10 innovative Application Experiments (AEs) making use/developing new CPS technologies in different industry environments. • The MBD assets applied in the innovative experiments will feed back into HUBCAP. <p>Funding: up to 200.000EUR per consortium, 100.000EUR maximum per SME.</p> <ul style="list-style-type: none"> • <u>Design (20%)</u>: consortia will be invited to fine-tune their pilot planning and technology usage with HUBCAP experts; prepare follow up/ KPI document associated with respective pilot, • <u>Develop & Operate (60%)</u>: deploy technologies in the field, configure units and software, initiate operations and collect relevant data, • <u>Assess (20%)</u>: aggregate results on technologies impacts, communicate achievements.

¹ HUBCAP FAQs: <https://www.hubcap.eu/faq>

Evaluation: Meeting with HUBCAP assigned members of the consortium (depending on the pilot MBD technology and geographic region) and approval of report presented at the end of each phase, based on the milestones/deliverables/KPIs defined by the applicants in their application.

It should be underlined that in case of any Force Majeure (i.e., any unforeseeable exceptional situation or event beyond the HUBCAP consortium control), the final number of applications being selected in each call might be different.

1.4 Project Proposals Execution Timeline

Submissions to Call #3 INNOVATE will be enabled on the **1st of April 2021** and will end on the **30th of June 2021 at 17h00 CET** (Brussels time).

Call INNOVATE will open for submissions for 3 months, were adopter and provider SMEs of MBD CPS technologies will identify and form a consortium to create and implement new innovative projects ideas using MBD for CPSs technologies.

For the Call #3 INNOVATE, the SMEs can consult a simplified portfolio in the HUBCAP project website (<https://www.hubcap.eu/technologies>) in case they want to select one or more provider SMEs from the HUBCAP ecosystem.

In the figure presented below it is possible to see the timeline for the activities expected for Call #3 INNOVATE.

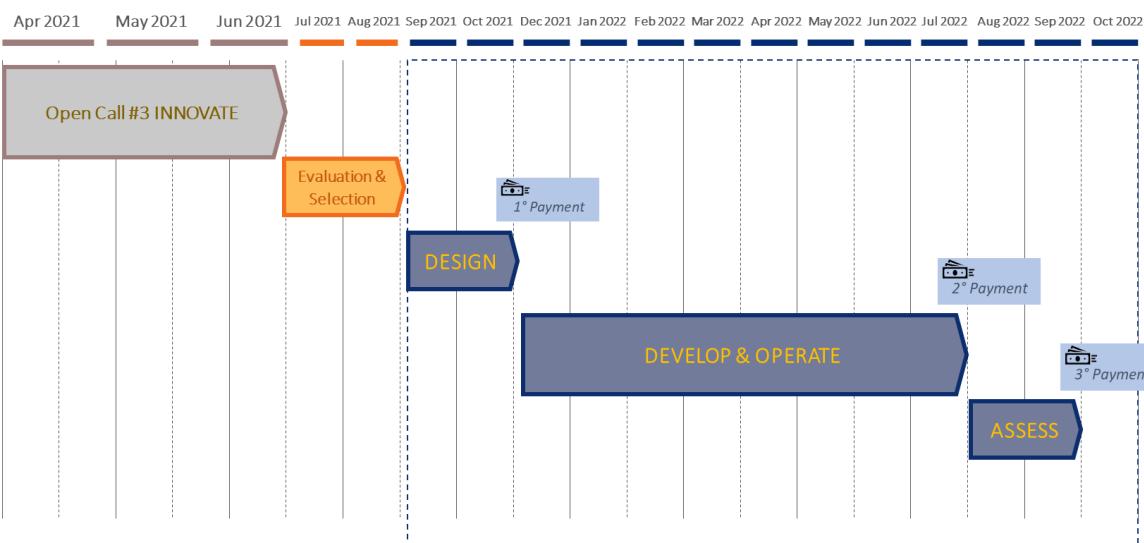


Figure 4: Call #3 INNOVATE activities timeline.

The selected INNOVATE projects will have a duration of 12 months, and are divided into three interactive phases, along which HUBCAP will provide technology and business support to assure the highest impact, namely:

- **Phase 1 Design:** will have a duration of 2 months, starting in September and end in October 2021. During this phase projects are to be planned, detailed, and aligned with HUBCAP platform and assets. This information is included in the first deliverable. Associated with positive assessment of the deliverable, is a payment corresponding to 20% of the project budget.

- *Phase 2 Develop & Operate:* will have a duration of 8 months, starting in November 2021 and ending in June 2022. During this phase, projects will perform their technical developments. The second deliverable is a demonstration of the projects development results and its operation. Associated with positive assessment of the deliverable, is a payment corresponding to 60% of the project budget.
- *Phase 3 Assess:* will have a duration of 2 months, starting in July and ending in August 2022. During this phase, projects are to focus on assessment and exploitation of results and achievements. The third deliverable is a report on projects assessment and exploitation activities. Associated with positive assessment of the deliverable, is a payment corresponding to 20% of the project budget.

Please note that all these dates are preliminary and can be subject to change.

2 General Information

2.1 Means of submission

The F6S platform (www.f6s.com/call-3-innovate/apply) will be the entry point for all proposal's submission to HUBCAP Open Call #3 INNOVATE. Submissions received by any other channel will be automatically discarded.

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

2.2 Language

English is the official language for HUBCAP 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 HUBCAP programme. This means any requested submission of deliverable will be done in English in order to be eligible.

2.3 Data protection

Beneficiary's personal data processing

In order to process and evaluate applications, HUBCAP will need to collect Personal and Industrial Data. F6S Network Ireland Limited, as the Project Open Calls Manager will act as Data Controller and will be responsible for ensuring that collection, processing and sharing of personal data and/or special categories of personal data are in compliance with Regulation (EU) 2016/679 of the European Parliament and of the Council of 27 April 2016 (the General Data Protection Regulation ("GDPR")). F6S will therefore ensure the legal grounds for personal data processing, ensuring the contractual basis and taking required security measures in accordance with GDPR before processing and sharing any personal data and/or special categories of personal data.

Moreover, as personal data included in the applications need to be shared with the external evaluators, F6S Network will assure the lawful basis for this sharing and processing, according to GDPR Article 6.1 (b) ("Processing is necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract"), namely promoting a data processing agreement with said external evaluators.

Personal data embedded in the Beneficiary's technology

If the beneficiary SMEs acts as data processor in respect of any personal data included and/or processed through the creation and deployment of highly innovative projects using MBD for CPSs, the data controlling beneficiary SMEs undertakes to bind any and all of their data processors, including if necessary F6S and/or any other HUBCAP consortium partner, to a data processing agreement in compliance with the applicable statutory data protection laws.

The F6S platform's system design and operational procedures ensure that data is managed in compliance with The General Data Protection Regulation (EU) 2016/679 (GDPR). Each applicant will accept the F6S terms to ensure coverage.

Please note that HUBCAP requests the minimum information needed to deliver the evaluation procedures. ***Annex 7: Sub-grant Agreement Template***, and ***Annex 8: Bank Account Information*** are provided for reference and will only be requested if the consortium is accepted in Call #3 INNOVATE for the development and deployment of high innovative and challenging new MBD CPS solutions and products, by either using or developing new CPS technologies. The MBD assets applied in these innovative projects will become part of the HUBCAP ecosystem.

Please refer to <https://www.f6s.com/terms> to check F6S platform data privacy policy and security measures.

3 Eligibility Criteria

HUBCAP invites market-oriented SMEs, namely adopters and providers of MBD tools and models and CPSs, to establish a consortium of 2-3 SMEs and deploy new products and demonstrations of highly innovative collaborations using CPS technologies from the HUBCAP ecosystem or developing new ones.

3.1 Beneficiaries Eligibility

The HUBCAP Open Call #3 INNOVATE will fund a consortium composed by two or three elements of Single European mid-caps, SMEs and Micro SMEs as defined in EU law: EU recommendation 2003/361/EC [1] and the SME user guide [2].

Only SMEs complying with the European Commission Recommendation 2003/361/EC² and the SME user guide³ are eligible. As a summary, the criteria which define an SME are:

- a. Independent (not linked or owned by another enterprise), in accordance with Recommendation 2003/361/EC.
- b. Headcount in Annual Work Unit (AWU) less than 250.
- c. Annual turnover less or equal to €50 million OR annual balance sheet total less or equal to €43 million.
- d. Has not received, nor would exceed if the project is funded, over 100.000EUR from projects under the I4MS⁴ Initiative or Smart Anything Everywhere⁵ (SAE) Initiative.

² European Commission Recommendation 2003/361/EC.
<http://eurlex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2003:124:0036:0041:en:PDF>

³ SME definition http://ec.europa.eu/enterprise/policies/sme/files/sme_definition/sme_user_guide_en.pdf

⁴ <https://i4ms.eu/projects>

⁵ <https://smartanythingeverywhere.eu/funding/projects/>

In addition, an SME is considered eligible for HUBCAP open call #3 INNOVATE if it complies will ALL the following rules:

- a. have not been declared bankrupt or have initiated bankruptcy procedures,
- b. have not convictions for fraudulent behavior, other financial irregularities, unethical or illegal business practices,
- c. are not under liquidation or an enterprise under difficulty accordingly to the Commission Regulation No 651/2014 art. 2.18,
- d. the consortium is composed by at least one provider SME and at least one adopter SME of MBD CPS technology.

For UK applicants: Applicant SMEs from the UK remain eligible for grants and procurement procedures as if the UK were a member state for the entirety of the Horizon 2020 framework programme and previous framework programmes. This also applies for financial support to third parties according to Article 204 FR (cascading grants) and applies for the duration of H2020 projects.

Please note that a signed version of ***Annex 4: Honour Declaration, Annex 5: SME Declaration, Annex 6: Consortium Declaration of Honour, Annex 10: Ethics Self-Assessment Form*** and ***Annex 11: Justification of Costs Table*** are mandatory for a proposal submission for the HUBCAP open Call #3 INNOVATE.

In case the provider(s) SME(s) of MBD CPS technology is not from the HUBCAP ecosystem, then it is mandatory that the ***Annex 3.1: New Asset Description*** is submitted along with the application.

3.2 Proposal Eligibility Criteria

Only one proposal will be accepted for funding per Consortia. In the case of a multiple submission, only the last one received (timestamp of the system) will enter into the evaluation process, the rest being declared as non-eligible. If the last submitted proposal is declared not eligible or fails to reach the thresholds of the evaluation, the other proposals submitted earlier will not be considered for evaluation in any case.

The following proposals eligibility criteria also apply:

- 1) Applications must have a **clear European dimension, facilitate HUBCAP based innovation and contribute towards European Union digitization, targeting clear economic and societal impact.**
- 2) **Each Consortia may submit only one (1) proposal at HUBCAP open call #3 INNOVATE.** In case of multiple submissions by the same consortium, only the last project proposal submitted will be considered for evaluation.
- 3) **Each SME may only participate in one (1) consortium.** In case the same SME participates in different consortia and apply different proposals, this will be considered as a disqualifying factor.
- 4) **The amount of direct funding that a consortium may receive via HUBCAP Call #3 INNOVATE is up to 200.000EUR.**
- 5) **The maximum amount of funding a SME can receive from the HUBCAP Programme, I4MS and SAE Initiatives is 100.000EUR.**

4 Open Call Evaluation Process

4.1 Check of Proposal Eligibility

Before assigning external evaluators, each proposal eligibility is verified by the consortium. Important eligibility criteria to discard not eligible proposals will be applied. The eligibility criteria check will verify:

- Natural persons and companies that comply with the Commission Recommendation for Small and Medium sized Enterprises (SMEs) 2003/361/EC,
- Consortium with SMEs based in Member States or H2020 associated countries,
- The consortium is composed by at least one provider SME and at least one adopter SME,
- The New Asset Description document (as given in **Annex 3.1**), if the provider(s) SME(s) is not from the HUBCAP ecosystem,
- Signed Declaration of Honour (as given in **Annex 4**) and SME Declaration (as given in **Annex 5**) from each member of the consortium, stipulating that the entities are eligible for financing in line with eligibility rules of H2020, with the possibility for requests for additional documentation if/when required,
- Signed Consortium Declaration of Honour (as given in **Annex 6**) by all consortium members,
- Signed Ethics Self-Assessment Template (as given in **Annex 10**) by all consortium members,
- Signed Justification of Costs Table (as given in **Annex 11**) by all consortium members,
- The application is finalized,
- The application is written in English,
- The existence of the same SME in multiple Consortia under Call #3 INNOVATE.

Proposals being marked as not eligible will get a rejection letter that will include the reasons for being catalogued as non-eligible. No further feedback on the process will be given.

4.2 External Remote Evaluation

The evaluation process will be undertaken after the deadline for applying to INNOVATE call is concluded, to ensure a fair process. HUBCAP Call #3 INNOVATE will execute a trustworthy evaluation process.

Remotely and within F6S platform, the evaluation will be conducted by an external evaluation board with expertise in MBD CPS technologies and business development. Two external evaluators will score and comment each proposal, based on the following evaluation criteria:

Table 4:External remote evaluation criteria

No	Criteria	Score	Description
1	Alignment	1 – 10	Applicants must align with each call objectives/challenges, including the added value by integrating or developing upon digitalisation.
2	Excellence	1 – 10	Projects must demonstrate a clear set of objectives aligned with the definition of the Call #3 INNO and with

			the general objectives of the project. Is evaluated according to the following criteria: <ul style="list-style-type: none"> • Clarity and pertinence of the objectives, • Excellence, innovation, and quality of the objectives, • How innovative it is (demonstrate the innovation potential compared to the existing technology and/or solutions available on the market).
3	Impact	1 – 10	Development outcomes, business scalability/replicability, and targeted markets through a go-to-market strategy. Applicants must define a clear set of deliverables and KPIs aligned with the objectives of the OCs. Proposals must demonstrate impact on the HUBCAP ecosystem and its contribution to meeting the overall project objectives. Demonstrate a clear effectiveness of the proposed measures to exploit and disseminate the project proposal results (including management of IPR), to communicate the project proposal, and to manage research data where relevant.
4	Value	1 – 10	Proposals must also include a clear budget definition: clearly explain the presented budget distribution per project phase, deliverables/milestones, and consortium members. The budget must represent good value for money in the opinion of the evaluation panel selected to evaluate the projects.
5	Implementation and Team Capacity	1 – 10	Quality of the workplan (including milestones), including appropriateness of the allocation of tasks and resources, justifications of resources. Complementary and capacity of the team based on proven experience to deliver the project proposal and to commercialise it. The team management experience to be able to deliver the project in the timescales as well as comply with the proposed budget specified (financial management).

Each criterion will have a mark between 1 and 10. Half point scores are not given. For each criterion under examination, score values will indicate the following assessments:

- **1-2: Poor.** The project proposal fails to address the criterion under examination or cannot be judged due to missing or incomplete information.
- **3-4: Fair.** The project proposal criterion is addressed but in an unsatisfactory manner. There are serious inherent weaknesses.
- **5-6: Good.** While the project proposal broadly addresses the criterion, there are minor weaknesses that would need correcting.
- **7-8: Very Good.** The project proposal addresses the criterion well, although certain improvements are possible.

- 9-10: Excellent.** The project proposal successfully addresses all relevant aspects of the criterion in question. Any shortcomings are minor.

All project proposals must reach the minimum **threshold of 5 in each category**, in order to be considered for selection.

Any score from 1 to 2 on any of the criteria disqualifies the overall proposal.

Each proposal will be evaluated by two external evaluators. They will record their individual opinion of each proposal on an Individual Evaluation Report.

4.3 Interview with External Evaluators

After evaluation, proposals will be ranked based on overall score. The top ranked proposals (twice the number of planned number of proposals to be selected) will be invited to interview with external evaluators. Proposals not invited to interview will be notified that they have not qualified.

The online interview aims to go into details in what it refers to as concept and innovativeness; team and engagement; and capacity and willingness to exploit experiment results. The interviews will be carried out by two (2) external evaluators, having one (1) HUBCAP member as moderator.

The following criteria are to be evaluated along the interview:

Table 5: Interviews Evaluation Criteria

No	Criteria	Score	Description
1	Concept & Technology	1 – 10	Confirmation of the proposed targets and technology fit.
2	Business	1 – 10	The viability of the proposed business model.
3	Exploitation	1 – 10	Reliability to reach milestones proposed. Readiness to present to investors & corporates. Demonstrate a clear effectiveness of the proposed measures to exploit and disseminate the project proposal results (including management of IPR), to communicate the project proposal, and to manage research data where relevant.

If during the interviews, applicants do not commit with what had been presented in their project proposal, they will be declassified.

Any score from 0 to 1 on any of the criteria disqualifies the overall proposal.

After the interviews, evaluators form a consensus regarding the evaluation and a report is prepared. After the 2-stage evaluation process (remote evaluation and interview) all proposals will be ranked based on their scores.

The list of accepted proposals will be published as well as the information about the non-eligible proposals.

The criteria for the ranking of the proposals will be semi-automatic following the rules below:

Rule 1: The proposals will be ranked based on their overall score (summary of the remote evaluation scores).

Rule 2: In case following Rule 1 there are proposals in the same position, priority will be given to proposals that have higher Impact.

Rule 3: In case following Rule 2 there are proposals in the same position, priority will be given to proposals that have higher Excellence.

Rule 4: In case following Rule 3 there are proposals in the same position, priority will be given to innovation of the Implementation & Team Capacity.

Rule 5: In case following Rule 4 there are proposals in the same position, priority will be given to the number of female researchers participating in the team.

At the end, 10 projects will be selected, and 5 others will remain in a reserve list, in case a selected proposal fails to start the HUBCAP Call #3 Phase 1 Design.

All applicants will be informed about the evaluation results. All proposals will receive an acceptance or rejection letter together with an anonymized version of their proposal Evaluation Summary Report (ESR).

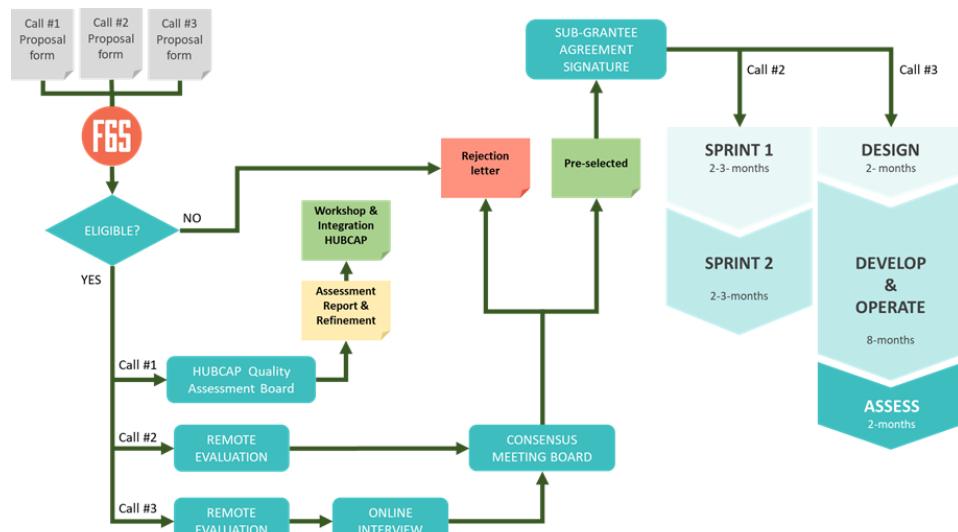


Figure 5: HUBCAP Programme evaluation and selection process.

4.4 Redress Process

Within 3 working days of the delivery of a rejection letter considering the project proposal as not eligible or an ESR, a proposer may submit a request for redress if s/he believes the results of the eligibility checks have not been correctly applied, or if s/he feels that there has been a shortcoming in the way his/her project proposal has been evaluated that may affect the final decision on whether to enter the Call #3 INNOVATE or not.

In that case, an internal review committee of the HUBCAP consortium will examine the request for redress. The committee's role is to ensure a coherent interpretation of such requests, and equal treatment of applicants.

Requests must be:

- Related to the evaluation process or eligibility checks.
- Clearly describe the complaint.
- Received within the time limit (3 working days) from the reception of a rejection letter considering the project proposal as not eligible or the ESR information letter delivered.
- Sent by the Consortium leader SME legal representative that has also submitted the project proposal.

The committee will review the complaint and will recommend an appropriate course of action. If there is clear evidence of a shortcoming that could affect the eventual funding decision, it is possible that all or part of the project proposal will be re-evaluated.

Please note:

- This procedure is concerned only with the evaluation and/or eligibility checking process. The committee will not call into question the scientific or technical judgement of appropriately qualified experts.
- A re-evaluation will only be carried out if there is evidence of a shortcoming that affects the final decision on whether to fund it or not. This means, for example, that a problem relating to one evaluation criterion will not lead to a re-evaluation if an project proposal has failed anyway on other criteria.
- The evaluation score following any re-evaluation will be regarded as definitive. It may be lower than the original score.

Only one request for redress per project proposal will be considered by the committee. All requests for redress will be treated in confidence and must be sent to Project Coordinator via the F6S platform.

5 Proposals Preparation and Submission

The following chapter shows all the relevant information for a successful application to HUBCAP Open Call #3 INNOVATE.

5.1 Open Call Submission System

5.1.1 Open Call Publication

Candidate consortia are invited to submit their applications and corresponding documents on the F6S platform. Each consortium will have to submit the following documentation to support their project proposal application:

- **Annex 1: Open Call text**, which provides a full set of information regarding the Open Calls under the HUBCAP project.
- **Annex 2: Guidelines for Applicants**, this document.
- **Annex 3: Proposals Application Form**, an online application form, available at F6S platform (www.f6s.com/call-3-innovate/apply).

- **Annex 3.1: New Asset Description**, a form in which the provider(s) SME(s) that has a new asset(s), will inform the HUBCAP consortium of the basic technology needs and allow its respective asset integration in the project platform.
- **Annex 4: Applicant Declaration of Honour**, which declares that all conditions of the Open Call #3 INNOVATE are accepted by the SMEs legal representatives.
- **Annex 5: SME Declaration**, which evaluates the status of the SMEs participating at the Open Call #3 INNOVATE.
- **Annex 6: Consortium Declaration of Honour**, which provides information about the consortium leader and the budget allocated per SMEs and declares that all conditions on exclusion criteria and absence of conflict of interest between the Consortium and the Contractor are accepted.
- **Annex 7: Sub-grant Agreement Template**, which provides a template of the sub-grant agreement that the successful applicants will be requested to sign.
- **Annex 8: Bank Account Information Form**, which collects information on the applicant(s)' bank account where the HUBCAP payments will be sent to.
- **Annex 9: Competitive Calls Financial Support to Third Parties**, which contains the formal announcement to be published in the EU portal.
- **Annex 10: Ethics Self-Assessment Form**, which summarizes potential ethics issues that a project proposal could raise.
- **Annex 11: Justification of Costs Table**, which provides the information concerning the projects budget and request for funding.
- **Frequently Asked Questions & answers** published at the project website respective page (<https://www.hubcap.eu/faq>).

Applicants are expected to provide complete, accurate data and contact details.

5.1.2 Open Call Registration

Interested applicants should register at F6S (www.f6s.com), to be able to access the HUBCAP F6S page (www.f6s.com/call-3-innovate/about). This will be the central interface for managing the applications.

5.1.3 Proposal Application Preparation

Please follow the steps:

- For the application preparation, the 2-3 SMEs Consortia are requested to apply online and answer to all mandatory questions (with no exception) at: www.f6s.com/call-3-innovate/apply
- In case the SME provider does not come from the HUBCAP ecosystem, applicants must submit along with their proposal the respective **Annex 3.1: New Asset Description**, where the provider(s) SME(s) will inform the HUBCAP consortium of the basic technology needs and allow its respective asset integration in the project platform.
- The applicants must sign and upload it along with their project proposal the respective **Annex 6: Consortium Declaration of Honour**, where the SME consortia representative is identified. Applicants who fail to do so will not be considered eligible.
- All applicants must accept the terms and conditions and must sign and upload along with their project proposal the completed **Annex 4: Declaration of Honour** and **Annex 5: SME Declaration**. Applicants who fail to do so will not be considered eligible.

- All applicants must fill in, sign, and upload the ***Annex 10: Ethics Self-Assessment Form***. Applicants who fail to do so will not be considered eligible.
- All applicants must fill in, sign, and upload the ***Annex 11: Justification of Costs Table***. Applicants who fail to do so will not be considered eligible.
- Be concrete and concise. Questions have character limitations. Please examine all the open call documents and for more information please go to HUBCAP project website (www.hubcap.eu)
- It is highly recommended to submit your project proposal application well before the deadline. If the Consortium discovers an error in the project proposal, and provided the call deadline has not passed, the Consortium may request the F6S HUBCAP team to re-submit the project proposal (for this purpose please contact us at support@f6s.com). However, **HUBCAP is not committed that resubmission in time will be feasible in case the request for resubmission is not received by the F6S HUBCAP team at least 48 hours before the call deadline.**

It is strongly recommended not to wait until the last minute to submit the project proposal. Failure of the project proposal to arrive in time for any reason, including network communications delays or working from multiple browsers or multiple browser windows, is not acceptable as an extenuating circumstance. The time of receipt of the application as recorded by the submission system will be definitive.

5.1.4 Proposal Reception

Submissions will be done ONLY via the F6S platform on www.f6s.com/call-3-innovate/apply. A full list of applicants will be drafted containing their basic information for statistical purposes and clarity (which will be also shared with EC for transparency).

The project proposal reception will close on **30th of June 2021, 17h00 CET (Brussels time)** There will not be any deadline extensions unless a major problem caused by the F6S platform and not by the applicants, makes the system unavailable.

6 Financial Support Provided

6.1 Origin of Funds

All the selected Consortia will sign a dedicated Sub-Grant Agreement with the HUBCAP consortium.

The funds attached to the Sub-Grant Agreement come directly from the funds of the European Project HUBCAP funded itself by the European Commission and remain therefore, property of the EU until the payment of the balance, whose management rights have been transferred to the project partners in HUBCAP via European Commission Grant Agreement Number 872698.

As it can be seen in the Sub-Grant Agreement template (as given in ***Annex 7***), this relation between the sub-granted and the European Commission through HUBCAP project carries a set of obligations to the sub-granted with the European Commission. It is the task of the sub-granted to accomplish them, and of the HUBCAP consortium partners to inform about them.

6.2 Funding Limitation

On the particularity of call #3 INNOVATE, the total grant requested by the third parties will represent 100% of the total costs of the project proposals. However, based on the European Commission rules, HUBCAP project will only **fund 70% of the total cost** involved by the SMEs.

Checking the consistency between these costs and the expected work of the project proposals will be part of the evaluation process. The amount of financial support given will be calculated on the basis of estimated costs. The Call #3 INNOVATE will provide funding **up to 200.000EUR**, per consortium of 2-3 SMEs.

HUBCAP funding is results-driven, provided as vouchers in a lump sum way. As such, there is no need for a traditional administrative-justification system (e.g., counting hourly dedication or calculating workload), but getting the funding is associated with the full achievement of the relevant milestone and KPIs (see section 6.4).

6.3 Funding across H2020 I4MS and SAE Initiatives

The maximum funding that may be allocated to any individual legal entity via open calls from any H2020 I4MS (ICT Innovation for Manufacturing SMEs)⁶ or SAE (Smart Anything Everywhere)⁷ project should not exceed the 100.000EUR.

HUBCAP will receive assistance from the European Commission to cross check if an organization that has been shortlisted for getting funding under HUBCAP Call #3 INNOVATE has already received funding via an open call from any H2020 I4MS and SAE project and ensure that no funding is allocated to a subproject in case an entity (coordinator or member of the consortium) exceeds the above threshold.

6.4 Criteria for payments during the Projects Execution

The evaluation will be made by the HUBCAP team members that will be allocated to each project. This evaluation will trigger the distribution of funds as set in the table below.

Phase 1 - Design		Phase 2 – Develop & Operate		Phase 3 - Assess	
Sep to Oct 2021*	Dec 2021*	Dec 2021 to Jul 2022*	Aug 2022*	Aug to Sep 2022*	Oct 2022*
Initiation of all projects	20% of the sum is given upon the successful completion of KPI (see 6.4.1)	Project's development and operations	60% of the sum upon the successful completion of KPI (see 6.4.2)	Project's exploitation and communication achievements	Remaining 20% upon the successful completion of KPI (see 6.4.3)

*These are provisional dates.

After each project review and successful evaluation of each report, its costs will become eligible. Reports that are not accepted will be given a period of **three (3) days** for Phase 1 & Phase 3, and **one (1) week** for Phase 2, to be improved, after which they will be re-evaluated. **In case the report assessment is once more unsatisfactory, the cost associated to the report will be revised and will be automatically reduced from the SGA (see section 6.5.2).**

⁶ <https://i4ms.eu/>

⁷ <https://smartanythingeverywhere.eu/cluster-projects/>

As soon as a report cost becomes eligible, the SME consortium leader will provide a Financial Statement to the HUBCAP Coordinator (AU). The HUBCAP coordinator in collaboration with the HUBCAP reviewers will cross-check that the financial statement of each project corresponds to each reporting phase.

The payments to each consortium, from the HUBCAP project, will be made to the SME consortium leader. The HUBCAP has no obligation to ensure or monitor the funding distribution between consortium members. The SME consortium leader is responsible to distribute the funding to the consortium members based on the Sub-Grant Agreement (Contract) that has been signed.

Detailed payment schedule and payment conditions will be settled in the ***Annex 7: Sub-grant Agreement.***

6.4.1 Phase 1 Design

The Phase 1 Design is associated with the starting point of each project and will have a maximum duration of 2 months. Within this phase, consortia must design a detailed pilot plan, aligned with the HUBCAP platform and assets.

The pilot plan should include the following:

- Description of how the pilot will be carried out,
- Description of technology usage,
- List of milestones and KPIs to achieve (metrics for how the success will be determined)
- Pilot timeline,
- Pilot costs,
- Risk management plan.

At the end of the Phase 1, consortia will have to deliver their 1st Report, which will describe the activities undertaken during this time. Associated with a positive assessment of the 1st Report from the HUBCAP review team, payment of 20% of the project budget will be released.

6.4.2 Phase 2 Develop & Operate

The Phase 2 Develop & Operate is the most relevant phase of each project and will have a maximum duration of 8 months. Within this phase, projects will perform their technical developments to achieve what has been previously proposed.

Pilot's development and operation should consider the following:

- Description of technical development,
- Configuration of units and software,
- Description of the operation initiation,
- Deployment of technology in the field,
- Collection of relevant data,
- Project performance (in terms of numbers),
- Proof that the HUBCAP platform has been used for the collaboration purposes (by using an asset from the repository in the sandbox environment),
- Provide a Demo at the end.

At the end of Phase 2, consortia will have to deliver their 2nd Report, which will demonstrate the projects pilot development results and its operation system. The 2nd Report must clearly show the milestones and KPIs accomplished during this phase and justify in case they have not been

achievement. Associated with a positive assessment of the 2nd Report from the HUBCAP review team, payment of 60% of the project budget will be released.

6.4.3 Phase 3 Assess

The Phase 3 Assess is critical to leverage the results of Design and Develop & Operate phases and will have a maximum duration of 2 months. The aim of the Assess phase is to provide a business support that will foster the exploitation of projects results, sustainable growth and envisages an investment round for the products. Within this phase, projects have to focus on the assessment and exploitation of results/achievements.

Pilot's assessment and exploitation should include the following:

- Business Model & Plan,
- Market Analysis Completeness,
- Direct & Indirect competition analysis,
- Scalability potential,
- Communication of achievements.

At the end of Phase 3, consortia will deliver the 3rd Report (final report), which will be a report on market associated activities. Associated with a positive assessment of the 3rd Report from the HUBCAP review team, payment of 20% of the project budget will be released.

6.5 Projects Support and Review

6.5.1 HUBCAP DIHs Support

A multi-disciplinary team with background on technology and business will be set up with the purpose of supporting and monitoring the third parties project progress and results, against which are associated payments, according to each project's milestones/deliverables.

To each project it will be assigned two (2) HUBCAP members of the consortium (team). These teams are composed by the DIHs partners, that will have the responsibility to communicate with the projects on a regular basis, monitor and following up the projects progress. Additional, free consultancy services and support may be provided by the DIHs and Seed-SMEs, in case one of their tools or models is selected by the consortia beneficiaries as an extra asset to be used in their projects.

6.5.2 Projects Review

Each project will go through 3 reviews, each one highlighting the end of a phase. The project review will be held on the basis milestones and KPIs defined by the consortia in their applications and accordingly to Phase 1 specifications.

Prior to each report submission, Q&A meetings will be held between each consortium and its respective DIHs reviewers, so that they can present the status of their work, clarify doubts, and prepare the reports delivery. These Q&A meetings will be organised by the consortium members and DIHs reviewer's availability.

Each consortium must deliver their respective reports at least one (1) week in advance to the end of each phase, so that the DIHs reviewers are able to read it and assess it. Once the reports assessment is concluded, the reviewers will inform all the consortia of the reports results.

At the end of each evaluation phase, the HUBCAP DIHs reviewers involved in this task will inform the HUBCAP Coordinator so that the payments can be released upon respective work and costs approved.

Consortia that have not reached a positive report assessment will be given a period to improve their respective reports, after which they will be re-evaluated.

Phase 1 - Design

If a consortium receives a negative assessment for the Phase 1 Report, they will be given a **three (3) days** period to improved it based on the comments received from the DIHs reviewers. The DIHs reviewers will have two (2) days to re-evaluate the reports, upon which they will communicate the outcomes. In case the consortium receives once more a negative assessment:

- **The respective consortium will not proceed to Phase 2, and the HUBCAP consortium will terminate the SGA.** The HUBCAP consortium is entitled to contact other potential consortia from the Open Call #3 INNOVATE reserve list.

Phase 2 – Develop & Operate

If a consortium receives a negative assessment for the Phase 2 Report, they will be given a **one (1) week** period to improve it based on the comments received from the DIHs reviewers. The DIHs reviewers will have three (3) days to re-evaluate the reports, upon which they will communicate the outcomes. In case the consortium receives once more a negative assessment:

- The respective consortium will **only receive 30%** of the project budget and will proceed to Phase 3.

Phase 3 – Assess

If a consortium receives a negative assessment for the Phase 3 Report, they will be given a **three (3) days** period to improved it based on the comments received from the DIHs reviewers. The DIHs reviewers will have two (2) days to re-evaluate the reports, upon which they will communicate the outcomes. In case the consortium receives once more a negative assessment:

- The respective consortium will **only receive 10%** of the project budget.

Reports that have not reached a positive assessment from Phase 2 will be given a chance to be re-evaluated at the end of Phase 3. A specific team of DIHs reviewers will be set up to address this re-evaluation. They will have a **one (1) day consensus evaluation meeting** to assess the reports and issue the final results. **In case the report results are not satisfactory, the pending 30% payment of the reports will not be released to the consortium and the respective costs will be automatically reduced from the Sub-grant Agreement (Contract).**

7 Negotiation process to access Call #3 INNOVATE

After the Open Call evaluation conclusion and project proposals selection, the HUBCAP coordinator (Aarhus University) will start the Sub-Grant Agreement (Contract) preparation in collaboration with the proposals' coordinator that have been evaluated. The Sub-Grant Agreement (Contract) preparation will go via an administrative and financial checking (and potentially into technical or

ethical/security negotiations) based on evaluators' comments. On a case-by-case approach, a phone call or teleconference may be needed for clarification.

The objective of the Sub-Grant Agreement (Contract) preparation is fulfilling the legal requirements between the HUBCAP consortium and every consortia beneficiaries of the Call #3 INNOVATE. There will be an inclusion of the comments (if any) in the Consensus Evaluation Report of the project proposal and mapping to the Sub-Grant Agreement (Contract).

7.1 Administrative Duties

To validate the status information, the following documents will be required from each SME of the consortia:

- **Annex 5 SME 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.
- **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 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.
- **Annex 8 SME Bank account information:** the account where the funds will be transferred will be indicated via a form signed by the SME legal representative and the bank representatives. The account should be a business bank account of the SME.
- **Annex 4 Declaration of Honour:** signed and stamped.
- **Annex 6 Consortium Declaration of Honour:** signed and stamped.

It should be emphasised that each **SME should provide at Sub-Grant agreement preparation time a valid VAT⁸. Failure to provide the VAT number will automatically result in proposal rejection.**

The request of the above documentation by the HUBCAP consortium will be done including deadlines. In general, the Sub-Grant Agreement negotiation should be concluded **within two weeks**. An additional week may be provided by HUBCAP coordinator in case of a significant reasoning. In case the negotiations have not been concluded within the above period, the application is automatically rejected, and another Consortium applicant will be given the opportunity of acceptance.

7.2 Sub-Grant Agreement Signature

At the end the negotiation phase, the Sub-Grant Agreement (Contract) will be signed between the HUBCAP Consortium and the selected Consortia.

The Sub-grant Agreement will be signed by the SME consortium leader on behalf of the consortium, and it's the responsibility of the consortium leader and consortium partner to make an agreement that shall cover the rights and obligations between the two parties involved.

⁸ To be checked at European Commission services such as http://ec.europa.eu/taxation_customs/vies/

After received the payments from the Aarhus University (AU) as HUBCAP Coordinator, the SME consortium leader has to transfer the respective payment to the SME consortium partner, based on the budget established in the Consortium Declaration of Honour (as given in **Annex 6**).

Please note:

- The sub-grant agreement (contract) will cover the complete 3 phases: Design, Develop & Operate, and Assess,
- The sub-grant agreement (contract) will automatically expire at the end of phase 3 Assess, without any further notice from the HUBCAP consortium, or if the ***Consortium Declaration of Honour*** has been violated.

The selected consortia should submit the signed Sub-grant Agreements (Contracts) to the HUBCAP Coordinator (AU) using the following email address: oc.administrative@hubcap.eu.

Failure to receive the electronic version of the documents means that the consortia applicants no longer want to participate in Call #3 INNOVATE and the vouchers may be granted to other consortia from the reserve list.

8 Responsibilities of beneficiaries

The selected SMEs of Call #3 INNOVATE 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 Frameworks Programme for Innovation Action 2014-2020 (Digitising and transforming European Industry and services: digital innovation hubs and platforms).

The obligations that are applicable to the recipients include⁹ successfully accomplishing the development and deployment of innovative CPS products and solutions using MBD, in an appropriate manner. Appropriate manner means that the participant will comply with the house rules in case of an onsite meeting and in general to the meeting rules.

8.1 Conflict of Interest

The beneficiary SMEs 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').

The beneficiary SMEs cannot have any legal connection with the partners of the HUBCAP Consortium both DIHs and Seed-SMEs in case they are making use of their assets for their experiments. Also note that none of these HUBCAP consortium partners (both DIHs and Seed-SMEs) will receive further funding and that they may only provide their assets usability free of any charge.

They must formally notify the HUBCAP 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 HUBCAP Coordinator may verify that the measures taken are appropriate and may require additional measures to be taken by a specified deadline.

⁹ The obligations described here are not binding and may be modified, refined or additional obligations may be inserted during the sub-grant agreement negotiation if needed.

If the beneficiary SMEs breaches any of its obligations the sub-grant agreement may be automatically terminated. Moreover, payments may be rejected.

8.2 Data Protection & Confidentiality

During the implementation of the Call #3 programme and for five years after the end of the Call #3 programme, the parties must keep confidential any data, documents, or other material (in any form) that is identified as confidential at the sub-grantee agreement signing time ('confidential information').

If a beneficiary SMEs requests, the Commission and the HUBCAP consortium may agree to keep such information confidential for an additional period beyond the initial five years. This shall be explicitly stated at the sub-grant agreement.

If information has been identified as confidential during the Call #3 INNOVATE programme execution or only orally, it will be confidential only if this is accepted by the HUBCAP 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 beneficiary SMEs may disclose confidential information to the HUBCAP consortium and to the selected reviewers, who will be bound by a specific Non-Disclosure Agreement.

8.3 Promoting the action and give visibility to the EU funding

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

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

- the name of the Beneficiaries,
- contact address of the Beneficiaries,
- the general purpose of the project,
- the amount of the financial contribution of the EC.

The Beneficiary SMEs shall ensure that all necessary authorizations for such publication have been obtained and that the publication of the information by the Contractor, HUBCAP Consortium or EC does not infringe any rights of third parties.

Unless the European Commission or the HUBCAP 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 HUBCAP logo and,
- c. include the following text:

For communication activities: “*This MBD CPS technology has indirectly received funding from the European Union’s Horizon 2020 innovation action programme, via an Open Call #3 INNOVATE issued and executed under project HUBCAP (grant agreement No 872698)*”.

When displayed in association with a logo, the EU 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.

8.4 Financial Audits and Controls

The European Commission (EC) will monitor that HUBCAP beneficiary SMEs comply with the conditions for Financial Support to Third Parties such as set out in Annex 1 of the HUBCAP sub-grant agreement and may take any action foreseen by the sub-grant agreement in case of non-compliance vis à vis the beneficiary SMEs concerned.

Moreover, the EC may at any time during the implementation of the HUBCAP project and up to 5 (five) years after the end of the HUBCAP 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 beneficiary SMEs 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 beneficiary SMEs 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 were requested during any audit under the grant agreement.

In order to carry out these audits, the beneficiary SMEs 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 applicant 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. The beneficiaries SMEs shall ensure that the information is readily available on the spot during the moment of the audit and, if so requested, that data be handed over in an appropriate form.

Based on 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 consider 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.

9 Contacts

The HUBCAP 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 means (e.g., telephone or email).

More info at: www.hubcap.eu

Apply via: www.f6s.com/call-3-innovate/apply

F6S Q&A: <https://www.f6s.com/hubcap/discuss>

HUBCAP Service Centre: info@hubcap.eu

F6S support team (for platform issues during the application): support@f6s.com

HUBCAP Coordinator (for contractual aspects and payments): mesp@au.dk

10 References

Digital Innovation Initiatives based on European Networks of Competence Centres in H2020, available online at <https://smartanythingeverywhere.eu/smart-anything-everywhere/>

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

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

H2020 Call Objective DT-ICT-01-2019 TOPIC: Smart Anything Everywhere Initiative, <https://ec.europa.eu/research/participants/portal/desktop/en/opportunities/h2020/topics/ict-01-2019.html>

Smart Anything Everywhere (SAE) Initiative, Innovation Actions aligned to the SAE initiative: <https://smartanythingeverywhere.eu/funding/projects/>

I4MS Initiative, Information on the projects that are part of this initiative: <https://i4ms.eu/projects>



HUBCAP

Grant Agreement: 872698

Digital innovation HUBs and CollAborative
Platform for cyber-physical systems

Annex 3: Application Form SMEs

Sample of OC #3 INNOVATE application form available on F6S

April/2021



This project has received funding by the European
Union's Horizon 2020 research and innovation
programme under grant agreement 872698.



Questions



Call #3 INNOVATE Application Form

HUBCAP aims to develop and promote European Cyber-Physical Systems (CPS) technology (www.hubcap.eu) . As part of this, it is developing a platform for technology providers and users to collaborate and access tools and services for the Model-Based Design (MBD) of CPS.

This is the application form for HUBCAP Call #3 INNOVATE. This call aims to fund the development and implementation of highly innovative and challenging CPS solutions using MBD tools and techniques. Each project will be undertaken by a consortium of 2-3 SMEs, including at least one provider and one adopter of MBD.

Use this application form to describe the details of the project your consortium aims to run, which MBD tools you will use, and which CPS products & services you will develop. The project must be clear and innovative. Please make sure to read the programme guidelines before submitting your application.

The application must be submitted online at www.f6s.com/call-3-innovate/apply. The questions in the form are listed below for reference. There are 58 open and closed questions in the following sections:

- A. YOUR CONSORTIUM
- B. CONSORTIUM REPRESENTATIVE
- C. YOUR PROJECT
- D. EXCELLENCE
- E. IMPACT & EXPLOITATION
- F. IMPLEMENTATION
- G. YOUR BUDGET
- H. REQUIREMENTS

A. YOUR CONSORTIUM

Your consortium must contain 2-3 partners including at least one SME that will be adopting MBD, and at least one provider SME (as defined in Annex 2), who contributes a model-based design tool or models of existing components. In this section, please briefly describe the relevant expertise and experience of each partner, showing that they complement one another in a way that helps to deliver the project.

Partner #1

1 SME Name *

200

2 SME Role *

Select One ▾

3 Country *

Please select from the list.

Select One ▾

4 Brief description and expertise of the SME *

1000

5 Which application domains are your company active in? *

Please select from the list.

- | | | |
|--|--|--|
| <input type="checkbox"/> Industrial automation | <input type="checkbox"/> Aviation | <input type="checkbox"/> Smart transports/mobility |
| <input type="checkbox"/> Power systems | <input type="checkbox"/> Sensors | <input type="checkbox"/> Smart energy |
| <input type="checkbox"/> Smart cities | <input type="checkbox"/> Smart agriculture | <input type="checkbox"/> Smart health |
| <input type="checkbox"/> Robotics | <input type="checkbox"/> Consumer technologies/electronics | <input type="checkbox"/> Other |

6 Website *

300

Partner #2

7 SME Name *

200

8 Country *

9 SME Role *

10 Brief description and expertise of the SME *

1000

11 Which application domains are your company active in? *

Please select from the list.

- | | | |
|--|--|--|
| <input type="checkbox"/> Industrial automation | <input type="checkbox"/> Aviation | <input type="checkbox"/> Smart transports/mobility |
| <input type="checkbox"/> Power systems | <input type="checkbox"/> Sensors | <input type="checkbox"/> Smart energy |
| <input type="checkbox"/> Smart cities | <input type="checkbox"/> Smart agriculture | <input type="checkbox"/> Smart health |
| <input type="checkbox"/> Robotics | <input type="checkbox"/> Consumer technologies/electronics | <input type="checkbox"/> Other |

12 Website *

300

Partner #3

13 SME Name

14 SME Role

15 Country

16 Brief description and expertise of organization

1000

17 Which application domain are your SME active in?

- | | | |
|--|---------------------------------------|---|
| <input type="checkbox"/> Industrial Automation | <input type="checkbox"/> Aviation | <input type="checkbox"/> Smart Mobility |
| <input type="checkbox"/> Automotive | <input type="checkbox"/> Rail | <input type="checkbox"/> Power Systems |
| <input type="checkbox"/> Sensors | <input type="checkbox"/> Smart Energy | <input type="checkbox"/> Smart Cities |
| <input type="checkbox"/> Smart Agriculture | <input type="checkbox"/> Smart Health | <input type="checkbox"/> Robotics |
| <input type="checkbox"/> Consumer technologies/electronics | <input type="checkbox"/> Other | |

18 Website

500

B. CONSORTIUM REPRESENTATIVE

Please provide details on the coordinator, who should be a representative of the consortium members, and who will be the contact person for the HUBCAP project proposal.

19 Person Name *

300

20 Email address *

300

21 Phone number (with indicative) *

100

22 LinkedIn profile *

200

23 SME Name *

 200

24 Position *

 200

C. YOUR PROJECT

This section asks for details of the innovative technology or product you will develop in your project, as well as the MBD methods and tools you intend to use. The description of the targeted CPS and MBD must be clear and innovative.

25 Project Title *

 300

26 Project acronym *

 100

27 Project Summary *

This information will be made public. What is your project about? Please, provide a clear summary of your project proposal that can be understood by a member of the public. Introduce the concept of your project, highlighting the new product or improved process, and list your objectives.

 2000

28 Main domain/focus area of the project *

Select One ▾

29 Will you use a tool asset from the HUBCAP Ecosystem? *

Select One ▾

29 Will you use a tool asset from the HUBCAP Ecosystem? *

Select One ▾

30 If your previous answer was YES, indicate the HUBCAP asset you will use

Choose from the list the tool asset from the HUBCAP website portfolio you will use in your project proposal.

Link here: www.hubcap.eu/technologies

 300

- 31 If your previous answer was NO, please upload "Annex 3.1: New asset description" properly filled-in and signed (Max file size 30MB.) (Max file size 30MB.)

You may download the document from here: www.hubcap.eu/calls/innovate

Choose a File

- 32 Please indicate if there are any other assets from the HUBCAP ecosystem which you are planning on using in your project pilot *

The HUBCAP platform also includes assets that are only available to Call #3 beneficiaries to make use of in their projects. Choose from the list provided in the HUBCAP website portfolio (DIHs & Seed-SMEs) which assets or models will you use in your project. Link here: www.hubcap.eu/technologies

Coordinator and team complementariness

- 33 Transdisciplinary competences and synergies *

Identify who is the coordinator and explain how the competences of the team (MBD CPS user and MBD CPS provider) will contribute to the success of the experiment and how they complement each other.

1000

- 34 Have any of the organisations in the consortium previously received funding from Horizon 2020, including cascading funding from projects in the SAE or I4MS initiatives *

If YES, please provide details. Please consult the following links.

SAE Initiative: smartanythingeverywhere.eu/funding/projects/

I4MS: i4ms.eu/projects

Select One ▾

D. EXCELLENCE

- 35 Project concept and goals *

Please clearly describe up to 5 project objectives, each of which should be Specific, Measurable, Assignable, Realistic, Time-related. Give targets for measurable Key Performance Indicators to be assessed at appropriate phases.

4000

- 36 Expected CPS products/services/technology description *

2000

- 37 Description of used/deployed MBD tools and models *

2000

38 Progress beyond state of art and key innovation potential *

Please discuss current state of the art and how your project will enable you to take your technology or product beyond the state of the art. Describe the innovation potential of the project proposal.

3000

E. IMPACT AND EXPLOITATION**39 Project outcomes and value proposition ***

Please describe the added value to your business area that you expect as a result of this project.

3000

40 Project Impact *

Please describe the impact that this project aims to have on the technology, products, and businesses in your consortium, and on the wider domain. Explain how you will maximise this impact. Highlight potential pilot customers and/or installations that you could involve during the project to demonstrate the expected impact.

3000

41 Business Plan and Market Strategy *

Explain your business plan, detailing business opportunities for the project's results. You must also explain your exploitation plan and describe clearly how the results will gain continuity after the project. Providing target business indicators would be welcome, including your planned strategy for reaching them. Please describe the user need and market need and how your project will address this need. Provide an illustrative example.

4000

42 Intellectual Property Rights (IPR) Management *

Please describe how your Intellectual Property Rights (IPR) strategy will be developed in the project, and how will be managed by the partners of the consortium. Indicate the main licensing approach (Open-source, proprietary, other). Specify how the ownership of the outcome and potential IPR will be manage by all partners.

3000

F. IMPLEMENTATION**43 Activity Plan ***

Please outline the main tasks, milestones and resources needed in each of the three project phases: 1) Design; 2) Develop & Operate; 3) Assess. Information concerning each phase can be found in the Annex 2: Guideline for applicants: www.hubcap.eu/calls/innovate

4000

44 Project scheme/picture (Max file size 30MB.)

Please upload a technical design/infographic/scheme outlining the project - one A4 page max.

G. YOUR BUDGET

- 45 Please upload your Annex 11 Justification of Costs Table, properly filled and signed by all partners (Max file size 30MB) (Max file size 30MB.) *

Provide details of the person months allocated to each partner. This should be consistent with the details provided in the work plan you provided above. Provide a list of other direct costs that will be incurred (equipment, travel etc.). Provide details of the direct and indirect costs, and the project budget allocated to each partner. You may download the document from here: www.hubcap.eu/calls/innovate
The Annex 11 can be found on Call #3 INNO documentation Kit

[Choose a File](#)

H. REQUIREMENTS

- 46 Please upload Partner #1 "Annex 4: Declaration of Honor" properly filled-in and signed (Max file size 30MB.) (Max file size 30MB.) *

You may download the document from here: www.hubcap.eu/calls/innovate
The Annex 4 can be found on Call #3 INNO documentation Kit

[Choose a File](#)

- 47 Please upload Partner #2 "Annex 4: Declaration of Honor" properly filled-in and signed (Max file size 30MB.) (Max file size 30MB.) *

You may download the document from here: www.hubcap.eu/calls/innovate
The Annex 4 can be found on Call #3 INNO documentation Kit

[Choose a File](#)

- 48 Please upload Partner #3 Annex 4: Declaration of Honor, properly filled-in and signed (Max file size 30MB) (Max file size 30MB.)

You may download the document from here: www.hubcap.eu/calls/innovate
The Annex 4 can be found on Call #3 INNO documentation Kit

[Choose a File](#)

- 49 Please upload Partner #1 "Annex 5: SME Declaration" properly filled-in and signed (Max file size 30MB.) (Max file size 30MB.) *

You may download the document from here: www.hubcap.eu/calls/innovate
The Annex 5 can be found on Call #3 INNO documentation Kit

[Choose a File](#)

- 50 Please upload Partner #2 "Annex 5: SME Declaration" properly filled-in and signed (Max file size 30MB.) (Max file size 30MB.) *

You may download the document from here: www.hubcap.eu/calls/innovate
The Annex 5 can be found on Call #3 INNO documentation Kit

[Choose a File](#)

- 51 Please upload Partner #3 Annex 5: SME Declaration, properly filled-in and signed (Max file size 30MB) (Max file size 30MB.)

You may download the document from here: www.hubcap.eu/calls/innovate
The Annex 5 can be found on Call #3 INNO documentation Kit

[Choose a File](#)

- 52 Please upload "Annex 6: Consortium Declaration of Honour" properly filled in and signed (Max file size 30MB). (Max file size 30MB.) *

You may download the document from here: www.hubcap.eu/calls/innovate
The Annex 6 can be found on Call #3 INNO documentation Kit

Choose a File

- 53 Please upload your "Annex 10: Ethics Self-Assessment Form", properly filled, and signed by all partners (Max file size 30MB). (Max file size 30MB.) *

Is your proposal ethics ready for H2020 funding? Please undertake the ethics self-assessment, with support from the following EC document: ec.europa.eu/research/participants/portal/doc/call/h2020/h2020-msca-itn-2015/1620147-h2020_-guidance_ethics_self_assess_en.pdf

You may download the document from here: www.hubcap.eu/calls/innovate
The Annex 10 can be found on Call #3 INNO documentation Kit

Choose a File

- 54 Have you filled in the survey regarding HUBCAP Ecosystem Building? *

Please click on the following link to access the HUBCAP Ecosystem survey: www.surveymonkey.com/r/2P6NR3F

Select One ▾

- 55 How did you hear about HUBCAP programme? *

Please select from the list.

Select One ▾

- 56 Right of image/information sharing *

Reasonable information about all HUBCAP innovate projects will be made public/promoted. In case the project proposal is accepted and the project proceeds, do you allow the HUBCAP to give public visibility to your organizations and your funded project?

Select One ▾

- 57 GDPR awareness *

Awareness of the GDPR is required for the insertion of the asset in the HUBCAP platform. Do you confirm that you are fully aware of the GDPR regulation?

Select One ▾

- 58 F6S may share the submitted data with HUBCAP consortium *

Submitted data will be shared with members of the HUBCAP consortium and external evaluators.

Select One ▾



HUBCAP

Grant Agreement: 872698

Digital innovation HUBs and Collaborative
Platform for cyber-physical systems

Annex 3.1: New Asset Description Template

April/2021



This project has received funding by the European
Union's Horizon 2020 research and innovation
programme under grant agreement 872698.

General Information

Please use this template to describe your new asset, that must be added to your project proposal application.

It has been organized to ensure that the important information of your new asset is clearly understood with respect to its integration on the HUBCAP platform as part of your project proposal in case your consortium is selected for funding (see the *Annex 2: Guidelines for Applicants* document for details).

The structure of this template must be followed to facilitate the suitability check. Applicants using other kind of template/document structure will be **automatically ineligible**.

Please take advantage of the different communication instruments offered by the HUBCAP Consortium (i.e., info webinars, helpdesk, online Q&A, and FAQ section in the website) to receive feedback on any questions you may have before submitting your template.

The allowed font type is “Calibri”, and the minimum font size is 11 points. The page size is A4, and all margins (top, bottom, left, right) should be at least 15 mm.

Please delete this page when submitting the new asset description.

Delete the guidance text provided in each section/question.

New Asset Description Template

This new asset description template refers to the Open Call #3 INNOVATE. The application form for SMEs under the HUBCAP Open Call INNOVATE, exclusively available online at www.f6s.com/call-3-innovate/apply, provided here for reference, contains 11 open questions and it is divided into the following sections:

- A. PROJECT PROPOSAL INFORMATION
- B. NEW ASSET FOR THE HUBCAP PLATFORM
- C. NEW ASSET RELEVANCE FOR HUBCAP
- D. SIGNATURE OF THE PROVIDER SME

A. PROJECT PROPOSAL INFORMATION

1. **Project Title.**
Indicate the Experiment title as given in your project proposal application.
2. **Project Acronym.**
Indicate your Experiment acronym as given in your project proposal application.

B. NEW ASSET FOR THE HUBCAP PLATFORM (PUBLIC INFO)

In this section, please describe your Cyber-Physical Systems and Model-Based Design product/technology/service/tool that you wish to integrate in the HUBCAP platform as part of your project. If selected, this information will be made public.

3. **Asset title.**
Short title/expression. This information will be made public.
4. **Description of Asset.**
Please describe the tool/asset/technology to be inserted in the HUBCAP platform. Please make sure to emphasise the MBD aspect. This information will be made public.
5. **Domain.**
To which application domains can the tool/asset be applied to? This information will be made public.
6. **What are the benefits of the technology for end-users? How does it differentiate from similar technologies?**
This information will be made public.

C. NEW ASSET RELEVANCE FOR HUBCAP

7. **Is your asset ready to be executed in a Cloud environment (e.g., inside a Virtual Machine)?**
[YES/NO]
8. **Is your asset/technology performing any kind of personal data processing?**
[YES/NO]
9. **What technology and/or scientific discoveries underpin the asset?**
10. **What is the maturity level of the technology?**

Please indicate the TRL level of your technology based on the EU measurement:

https://ec.europa.eu/research/participants/data/ref/h2020/wp/2014_2015/annexes/h2020-wp1415-annex-q-trl_en.pdf

- 11. What Model-Based Design technique are you using? Please see examples from our FAQ page:** www.hubcap.eu/faq

D. SIGNATURE OF THE PROVIDER SME

For [Entity] (the provider SME)
Mr/Ms [NAME SURNAME]
[POSITION_IN_COMPANY] if applicable
Signature

Done at _____ on DD/MM/YEAR



HUBCAP

Grant Agreement: 872698

Digital innovation HUBs and Collaborative
Platform for cyber-physical systems

Annex 4: Declaration of Honour

April/2021

Name of the Organisation	
Proposal title	
Month/Year	



This project has received funding by the European
Union's Horizon 2020 research and innovation
programme under grant agreement 872698.

Declaration of Honour

Proposal Title: _____

On behalf of _____ [Company name] established in _____, [Official SME address], SME VAT number _____,¹ represented for the purposes of signing the Declaration of Honour by _____ [Name of legal representative],

By signing this document, I declare that:

- 1) I have the power of legally binding the above-mentioned SME.
- 2) The above-mentioned SME has not submitted any other application under HUBCAP Open Call #3 INNOVATE. The above-mentioned SME can only submit one asset application to this Open Call #3.
- 3) I and the above SME that I legally represent are fully aware and duly accept all HUBCAP rules and conditions as expressed in HUBCAP Open Call #3 INNOVATE documents and all Annexes and will fully respect any evaluation decision and application selection under HUBCAP Call INNOVATE.
- 4) The information included in the **Annex 5: SME Declaration** document is true and legally binding.
- 5) All provided information in this declaration is true and legally binding.

SME Legal representative Contact Information:

Title (Mr, Mrs, Dr.)	
Name	
Surname	
Position in the company	
Full Address	
Country	
Email Address	
Telephone	
Mobile	
Signature and stamp	

Declaration of Honour on exclusion criteria and

¹ VAT is mandatory during the contract preparation. Failure providing of a valid VAT of the specific SME will result in automatic rejection of the proposal.

absence of conflict of interest

By signing this declaration of honour, I declare that all provided information below is true and legally binding both for me and for the SME that I legally represent:

1. I declare that the mentioned SME is not in one of the following situations:
 - a) it is bankrupt or being wound up, is having its affairs administered by the courts, has entered into an arrangement with creditors, has suspended business activities, is the subject of proceedings concerning those matters, or is in any analogous situation arising from a similar procedure provided for in national legislation or regulations.
 - b) it or persons having powers of representation, decision making or control over it have been convicted of an offence concerning their professional conduct by a judgment which has the force of res judicata.
 - c) it has been guilty of grave professional misconduct proven by any means which the contracting authority can justify including by decisions of the European Investment Bank and international organizations.
 - d) it is not in compliance with its obligations relating to the payment of social security contributions or the payment of taxes in accordance with the legal provisions of the country in which it is established or with those of the country of the contracting authority or those of the country where the contract is to be performed, to be proved by the deliverance of official documents issued by the local authorities, according to the local applicable rules.
 - e) it or persons having powers of representation, decision making or control over it have been the subject of a judgment which has the force of res judicata for fraud, corruption, involvement in a criminal organization or any other illegal activity, where such illegal activity is detrimental to the Union's financial interests.
 - f) is subject to an administrative penalty for being guilty of misrepresenting the information required by the contracting authority as a condition of participation in a grant award procedure or another procurement procedure or failing to supply this information or having been declared to be in serious breach of its obligations under contracts or grants covered by the Union's budget.
2. I declare that the natural persons with power of representation, decision-making or control over the above-mentioned SME are not in the situations referred to in a) to f) above;
3. I declare that:
 - a) Neither myself nor any person that I know is subject to a HUBCAP conflict of interest.
 - b) I have not made false declarations in supplying the information required by participation in the Open Calls of HUBCAP Project or does not fail to supply this information.
 - c) I am not in one of the situations of exclusion, referred to in the abovementioned points a) to f).
 - d) I am aware and fully accept all HUBCAP condition and rules as expressed in HUBCAP Open Call #3 INNOVATE documents Annex 1, Annex 2, Annex 3.1, Annex 4, Annex 5, Annex 6, Annex 7, Annex 8 and Annex 10.
4. I certify that the SME that I represent:
 - is committed to participate in the abovementioned project.
 - has stable and enough sources of funding to maintain its activity throughout its participation in the above-mentioned project and to provide any counterpart funding necessary.
 - has or will have the necessary resources as and when needed to carry out its involvement in the above-mentioned project.

Full name:	Signature and stamp (if applicable)
On _____ behalf of _____ SME:	
Done at (place) _____ the (day) _____ (month) _____ (year) _____	



HUBCAP

Grant Agreement: 872698

Digital innovation HUBs and CollAborative
Platform for cyber-physical systems

Annex 5: SME Declaration

April/2021



This project has received funding by the European
Union's Horizon 2020 research and innovation
programme under grant agreement 872698.



Declaration on information on the SME qualification

Precise identification of the applicant enterprise

Name or Business name

Address (of registered office)

Registration / VAT number

Names and titles of the principal director(s)

Type of enterprise (see explanatory note)

Tick to indicate which case(s) applies to the applicant enterprise:

- | | |
|--|--|
| <input type="checkbox"/> Autonomous enterprise | In this case the data filled in the box below result from the accounts of the applicant enterprise only. Fill in the declaration only, without annex. |
| <input type="checkbox"/> Partner enterprise | Fill in and attach the annex (and any additional sheets), then complete the declaration by copying the results of the calculations into the box below. |
| <input type="checkbox"/> Linked enterprise | |

Data used to determine the category of enterprise

Calculated according to Article 6 of the Annex to the Commission Recommendation 2003/361/EC on the SME definition.

Reference period (*)		
Headcount (AWU)	Annual turnover (**)	Balance sheet total (**)

(*) All data must be relating to the last approved accounting period and calculated on an annual basis. In the case of newly established enterprises whose accounts have not yet been approved, the data to apply shall be derived from a reliable estimate made in the course of the financial year

(**) EUR 1 000.

Important:

Compared to the previous accounting period there is a change regarding the data, which could result in a change of category of the applicant enterprise (micro, small, medium-sized or big enterprise).

No

Yes (in this case fill in and attach a declaration regarding the previous accounting period).

Signature

Name and position of the signatory, being authorised to represent the enterprise:

I declare on my honour the accuracy of this declaration and of any annexes thereto.

Done at

Signature



This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 872698.

Funding Scheme: Innovation Action (IA)

Theme: DT-ICT-01-2019



EXPLANATORY NOTE ON THE TYPES OF ENTERPRISES TAKEN INTO ACCOUNT FOR CALCULATING THE HEADCOUNT AND THE FINANCIAL AMOUNTS

I. TYPES OF ENTERPRISES

The definition of an SME¹ distinguishes three types of enterprise, according to their relationship with other enterprises in terms of holdings of capital or voting rights or the right to exercise a dominant influence².

Type 1: Autonomous Enterprise

This is by far the most common type of enterprise.

It applies to all enterprises which are not one of the two other types of enterprise (partner or linked).

An applicant enterprise is autonomous if it:

- does not have a holding of 25%³ or more in any other enterprise,
- and is not 25%³ or more owned by any enterprise or public body or jointly by several linked enterprises or public bodies, apart from some exceptions⁴,
- and does not draw up consolidated accounts and is not included in the accounts of an enterprise which draws up consolidated accounts and is thus not a linked enterprise⁵.

Type 2: Partner Enterprise

This type represents the situation of enterprises which establish major financial partnerships with other enterprises, without the one exercising effective direct or indirect control over the other. Partners are enterprises which are not autonomous, but which are not linked to one another.

The applicant enterprise is a partner of another enterprise if:

¹ Henceforth in the text, the term "Definition" refers to the Annex to Commission Recommendation 2003/361/EC on the definition of SMEs.

² Definition, Article 3

³ In terms of the share of the capital or voting rights, whichever is higher is applied. To this percentage should be added the holding in that same enterprise of each enterprise, which is linked to the holding company (Definition, Article 3 paragraph 2)

⁴ An enterprise may continue being considered as autonomous when this 25% threshold is reached or exceeded, if that percentage is held by the following categories of investors (provided that those are not linked with the applicant enterprise):

- a) public investment corporations, venture capital companies, individuals or groups of individuals with a regular venture capital investment activity who invest equity capital in unquoted businesses ("business angels"), provided the total investment of those business angels in the same enterprise is less than EUR 1 250 000,
- b) universities or non-profit research centres,
- c) institutional investors, including regional development funds,
- d) autonomous local authorities with an annual budget of less than EUR 10 million and less than 5000 inhabitants.

(Definition, Article 3 paragraph 2, second sub-paragraph)

⁵ - If the registered office of the enterprise is situated in a Member State which has provided for an exception to the requirement to draw up such accounts pursuant to the Seventh Council Directive 83/349/EEC of 13 June 1983, the enterprise should nevertheless check specifically whether it does not meet one or other of the conditions laid down in Article 3 paragraph 3 of the Definition.

- There are also some very rare cases in which an enterprise may be considered linked to another enterprise through a person or a group of natural persons acting jointly (Definition, Article 3 paragraph 3).

- Conversely, there are very few cases of enterprises drawing up consolidated accounts voluntarily, without being required to do so under the Seventh Directive. In that case, the enterprise is not necessarily linked and can consider itself only a partner.

To determine whether the enterprise is linked or not, in each of the three situations it should be checked whether or not the enterprise meets one or other of the conditions laid down in Article 3 paragraph 3 of the Definition, where applicable through a natural person or group of natural persons acting jointly.





- it has a holding or voting rights equal to or greater than 25% in the other enterprise, or the other enterprise has a holding or voting rights equal to or greater than 25% in the applicant enterprise,
- the enterprises are not linked enterprises within the meaning defined below, which means, among other things, that the voting rights of one in the other do not exceed 50%,
- and the applicant enterprise does not draw up consolidated accounts which include the other enterprise by consolidation and is not included by consolidation in the accounts of the other enterprise or of an enterprise linked to it⁵.

Type 3: Linked Enterprise

This type corresponds to the economic situation of enterprises which form a group through the direct or indirect control of the majority of the voting rights (including through agreements or, in certain cases, through natural persons as shareholders), or through the ability to exercise a dominant influence on an enterprise. Such cases are thus less frequent than the two preceding types.

In order to avoid difficulties of interpretation for enterprises, the Commission has defined this type of enterprise by taking over – wherever they are suitable for the purposes of the Definition – the conditions set out in Article 1 of Council Directive 83/349/EEC on consolidated accounts⁶, which has been applied for many years.

An enterprise thus generally knows immediately that it is linked, since it is already required under that Directive to draw up consolidated accounts or is included by consolidation in the accounts of an enterprise which is required to draw up such consolidated accounts.

The only two cases, which are however not very frequent, in which an enterprise can be considered linked although it is not already required to draw up consolidated accounts, are described in the first two indents of endnote 5 of this explanatory note. In those cases, the enterprise should check whether it meets one or other of the conditions set out in Article 3 paragraph 3 of the Definition.

II. THE HEADCOUNT AND THE ANNUAL WORK UNITS⁷

The headcount of an enterprise corresponds to the number of annual work units (AWU).

Who is included in the headcount?

- The employees of the applicant enterprise,
- persons working for the enterprise being subordinate to it and considered to be employees under national law,
- owner-managers,
- partners engaging in a regular activity in the enterprise and benefiting from financial advantages from the enterprise.

Apprentices or students engaged in vocational training with an apprenticeship or vocational training contract are not taken into account in the headcount.

How is the headcount calculated?

⁶ Seventh Council Directive 83/349/EEC of 13 June 1983, based on Article 54(3)(g) of the Treaty and concerning consolidated accounts (OJ L 193, 18/7/1983, p. 1), as last amended by Directive 2001/65/EC of the European Parliament and of the Council (OJ L 283, 27/10/01, p. 28).

⁷ Definition, Article 5.





One AWU corresponds to one person who worked full-time in the enterprise in question or on its behalf during the entire reference year. The headcount is expressed in AWUs.

The work of persons, who did not work the entire year, or who worked part-time - regardless of its duration - and seasonal work is counted as fractions of AWU.

The duration of maternity or parental leaves is not counted.





ANNEX TO THE DECLARATION CALCULATION FOR THE PARTNER OR LINKED TYPE OF ENTREPRISE

Annexes to be enclosed if necessary

- Annex A if the applicant enterprise has at least one partner enterprise (and any additional sheets)
- Annex B if the applicant enterprise has at least one linked enterprise (and any additional sheets)

Calculation for the partner or linked type of enterprise⁸ (see explanatory note)

Reference period⁹:

	Headcount (AWU)	Annual turnover (*)	Balance sheet total (*)
1. Data ⁹ of the applicant enterprise or consolidated accounts (copy data from box B(1) in annex B ¹⁰)			
2. Proportionally aggregated data ⁹ of all partner enterprises (if any) (copy data from box A in annex A)			
3. Added up data ⁹ of all linked enterprises (if any) – if not included by consolidation in line 1 (copy data from box B(2) in annex B)			
Total			

(*) EUR 1 000.

The data entered in the "Total" row of the above table should be entered in the box "Data used to determine the category of enterprise" in the declaration.

⁸ Definition, Article 6 paragraphs 2 and 3

⁹ All data must be relating to the last approved accounting period and calculated on an annual basis. In the case of newly established enterprises whose accounts have not yet been approved, the data to apply shall be derived from a reliable estimate made in the course of the financial year (Definition, Article 4).

¹⁰ The data of the enterprise, including the headcount, are determined on the basis of the accounts and other data of the enterprise or, where they exist, the consolidated accounts of the enterprise, or the consolidated accounts in which the enterprise is included through consolidation.





ANNEX A

Partner enterprises

For each enterprise for which a 'partnership sheet' has been completed (one sheet for each partner enterprise of the applicant enterprise and for any partner enterprises of any linked enterprise, of which the data is not yet included in the consolidated accounts of that linked enterprise), the data in the 'partnership box' in question should be entered in the summary table below:

BOX A

Partner enterprise (name / identification)	Headcount (AWU)	Annual turnover (*)	Balance sheet total (*)
1.			
2.			
3.			
4.			
5.			
6.			
7.			
Total			

(*) EUR 1 000.

(attach sheets or expand the present table, if necessary)

Reminder:

This data is the result of a proportional calculation done on the 'partnership sheet' for each direct or indirect partner enterprise.

The data entered in the "Total" row of the above table should be entered in line 2 (regarding partner enterprises) of the table in the Annex to the declaration.





PARTNERSHIP SHEET

1. Precise identification of the applicant enterprise

Name or Business name

Address (of registered office)

Registration/VAT number¹¹Names and titles of the principal director(s)¹²

2. Raw data regarding that partner enterprise

Reference period

	Headcount (AWU)	Annual turnover (*)	Balance sheet total (*)
Raw data			

(*) EUR 1 000.

Reminder: These raw data are derived from the accounts and other data of the partner enterprise, consolidated if they exist. To them are added 100% of the data of enterprises which are linked to this partner enterprise, unless the accounts data of those linked enterprises are already included through consolidation in the accounts of the partner enterprise¹³. If necessary, add "linkage sheets" for the enterprises which are not yet included through consolidation.

3. Proportional calculation

- a) Indicate precisely the holding¹⁴ of the enterprise drawing up the declaration (or of the linked enterprise via which the relation to the partner enterprise is established) in the partner enterprise to which this sheet relates:

.....

.....

Indicate also the holding of the partner enterprise to which this sheet relates in the enterprise drawing up the declaration (or in the linked enterprise):

.....

.....

- b) The higher of these two holding percentages should be applied to the raw data entered in the previous box. The results of this proportional calculation should be given in the following table:

'Partnership box'

Percentage:	Headcount (AWU)	Annual turnover (*)	Balance sheet total (*)
Proportional results			

(*) EUR 1 000.

¹¹ To be determined by the Member State according to its needs

¹² Chairman (CEO), Director-General or equivalent.

¹³ Definition, Article 6 paragraph 3, first sub-paragraph

¹⁴ In terms of the share of the capital or voting rights, whichever is higher. To this holding should be added the holding of each linked enterprise in the same enterprise (Definition, Article 3 paragraph 2 first sub-paragraph).





These data should be entered in Box A in Annex A.



This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 872698.

Funding Scheme: Innovation Action (IA)

Theme: DT-ICT-01-2019



ANNEX B Linked enterprises

DETERMINE THE CASE APPLICABLE TO THE APPLICANT ENTERPRISE:

- Case 1:** The applicant enterprise draws up consolidated accounts or is included by consolidation in the consolidated accounts of another enterprise. (Box B(1))
- Case 2:** The applicant enterprise or one or more of the linked enterprises do not establish consolidated accounts or are not included in the consolidated accounts. (Box B(2)).

Please note: The data of the enterprises, which are linked to the applicant enterprise, are derived from their accounts and their other data, consolidated if they exist. To them are aggregated proportionally the data of any possible partner enterprise of that linked enterprise, situated immediately upstream or downstream from it, unless it has already been included through consolidation¹⁵.

CALCULATION METHODS FOR EACH CASE:

In case 1: The consolidated accounts serve as the basis for the calculation. Fill in Box B(1) below.

Box B(1)

	Headcount (*)	Annual turnover (**)	Balance sheet total (**)
Total			

(*) Where in the consolidated accounts no headcount data appears, the calculation of it is done by adding the data from the enterprises to which the enterprise in question is linked.

(**) EUR 1 000.

The data entered in the "Total" row of the above table should be entered in line 1 of the table in the Annex to the declaration.

Identification of the enterprises included through consolidation

Linked enterprise (name / identification)	Address (of registered office)	Registration / VAT number (*)	Names and titles of the principal director(s) (**)
1.			
2.			
3.			
4.			
5.			
6.			
7.			

¹⁵ Definition, Article 6 paragraph 3, second sub-paragraph





Total			
-------	--	--	--

(*) To be determined by the Member State according to its needs

(**) Chairman (CEO), Director-General or equivalent.

Important: Partner enterprises of such a linked enterprise, which are not yet included through consolidation, are treated like direct partners of the applicant enterprise. Their data and a 'partnership sheet' should therefore be added in Annex A.

In case 2: For each linked enterprise (including links via other linked enterprises), complete a "linkage sheet" and simply add together the accounts of all the linked enterprises by filling in Box B(2) below.

Box B(2)

Enterprise No.:	Headcount (AWU)	Annual turnover (**)	Balance sheet total (**)
1. (*)			
2. (*)			
3. (*)			
Total			

(*) attach one "linkage sheet" per enterprise

(**) EUR 1 000.

The data entered in the "Total" row of the above table should be entered in line 3 (regarding linked enterprises) of the table in the Annex to the declaration.





LINKAGE SHEET

(only for linked enterprises not included by consolidation in Box B)

1. Precise identification of the applicant enterprise

Name or Business name
Address (of registered office)
Registration/VAT number¹⁶
Names and titles of the principal director(s)¹⁷

2. Data on enterprise

Reference period

	Headcount (AWU)	Annual turnover (*)	Balance sheet total (*)
Total			

(*) EUR 1 000.

These data should be entered in Box B (2) in Annex B.

Important: The data of the enterprises, which are linked to the applicant enterprise, are derived from their accounts and their other data, consolidated if they exist. To them are aggregated proportionally the data of any possible partner enterprise of that linked enterprise, situated immediately upstream or downstream from it, unless it has already been included through consolidation¹⁸.

Such partner enterprises are treated like direct partner enterprises of the applicant enterprise. Their data and a ‘partnership sheet’ have therefore to be added in Annex A.

¹⁶ To be determined by the Member State according to its needs

¹⁷ Chairman (CEO), Director-General or equivalent.

¹⁸ If the data of an enterprise are included in the consolidated accounts to a lesser proportion than the one determined under Article 6 paragraph 2, the percentage rate according to that article should be applied (Definition, Article 6 paragraph 3, second sub-paragraph).





HUBCAP

Grant Agreement: 872698

Digital innovation HUBs and Collaborative
Platform for cyber-physical systems

Annex 6: Consortium Declaration of Honour

April/2021

SME Consortium Leader	
Project title	
Month/Year	



This project has received funding by the European
Union's Horizon 2020 research and innovation
programme under grant agreement 872698.

Consortium Declaration of Honour

Title of the Proposal: _____

BETWEEN

_____ [Company name] established in _____, [Official SME address], SME VAT number¹ _____, represented for the purposes of signing and submitting the proposal and the Consortium Declaration of Honour by _____ [Name of legal representative].

AND

_____ [Company name] established in _____, [Official SME address], SME VAT number² _____, represented for the purposes of signing and submitting the proposal and the Consortium Declaration of Honour by _____ [Name of legal representative].

_____ [Company name] established in _____, [Official SME address], SME VAT number³ _____, represented for the purposes of signing and submitting the proposal and the Consortium Declaration of Honour by _____ [Name of legal representative].

IT IS HEREBY AGREED THAT

All provided information is true and legally binding.

The Consortium SMEs have agreed on their roles and budget shares.

The [Company name] is acting on behalf the following partner(s) as the Consortium leader.

- Partner 2: [COMPANY_NAME], a SME organized under the laws of [COUNTRY], established in [LEGAL_ADDRESS], with VAT number [VAT_NUMBER], duly represented by [LEGAL_REPRESENTATIVE], [LEGAL_REPRESENTATIVE_POSITION],

¹ VAT is mandatory during the contract preparation. Failure providing of a valid VAT of the specific SME will result in automatic rejection of the proposal.

² VAT is mandatory during the contract preparation. Failure providing of a valid VAT of the specific SME will result in automatic rejection of the proposal.

³ VAT is mandatory during the contract preparation. Failure providing of a valid VAT of the specific SME will result in automatic rejection of the proposal.

- Partner 3: [COMPANY_NAME], a SME organized under the laws of [COUNTRY], established in [LEGAL_ADDRESS], with VAT number [VAT_NUMBER], duly represented by [LEGAL_REPRESENTATIVE], [LEGAL_REPRESENTATIVE_POSITION],

The SME Consortium leader is solely responsible to distribute the budget shares to Consortium partners in accordance with this Consortium Declaration of Honour.

HUBCAP Consortium bears no responsibility in case a Consortium SMEs violates the mutual agreement set in this Consortium Declaration of Honour.

HUBCAP Consortium bears no responsibility in case of dispute among consortium partners regarding IP rights.

By signing this declaration, all Consortium SMEs declare that they are not members of any other competitive Consortium in HUBCAP Call #3 INNOVATE. In case, an applicant participates in more than one Consortia, both Consortia will be excluded.

By submitting this document, the Consortium accepts all the rules explained in HUBCAP Guidelines for Applicants (as given in ***Annex 2***).

1. SME Consortium leader

Company name	
Full address	
Country	
Legal representative	
Estimated budget share	Phase 1 Design _____ (EUR)
	Phase 2 Develop & Operate _____ (EUR)
	Phase 3 Assess _____ (EUR)
	TOTAL Budget: _____ (EUR)*
Bank information	
Bank Name	
Branch Address	
Postcode	
Town/City	
Country	
IBAN number / Account number	

SWIFT code	
Legal representative signature and stamp (stamp if applicable)	

* cannot exceed the maximum amount of funding of 100.000EUR per SME, from HUBCAP programme and other projects under the I4MS or SAE initiatives

2. SME Consortium partner No 2

Company name	
Full address	
Legal representative	
Estimated budget share	Phase 1 Design _____ (EUR) Phase 2 Develop & Operate _____ (EUR) Phase 3 Assess _____ (EUR) TOTAL Budget: _____ (EUR)*
Legal representative signature and stamp (stamp if applicable)	

* cannot exceed the maximum amount of funding of 100.000EUR per SME, from HUBCAP programme and other projects under the I4MS or SAE initiatives

3. SME Consortium partner No 3

Company name	
Full address	
Legal representative	

Estimated budget share	Phase 1 Design _____ (EUR) Phase 2 Develop & Operate _____ (EUR) Phase 3 Assess _____ (EUR) TOTAL Budget: _____ (EUR)*
Legal representative signature and stamp (stamp if applicable)	

* cannot exceed the maximum amount of funding of 100.000EUR per SME, from HUBCAP programme and other projects under the I4MS or SAE initiatives



HUBCAP

Grant Agreement: 872698

Digital innovation HUBs and CollAborative
Platform for cyber-physical systems

Annex 7: Sub-Grant Agreement Template

Agreement Number: HUBCAP-OC3-2021/____

(Insert the corresponding number)



This project has received funding by the European
Union's Horizon 2020 research and innovation
programme under grant agreement 872698.

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Contracting parties

The University of Aarhus, Department of Engineering (AU), established in NORDRE RINGGADE 1, AARHUS C, 8000, DENMARK, VAT number: 31119103.

Hereinafter referred as the “Coordinator”

Of the one part,

and

[COMPANY_NAME], a SME organized under the laws of [COUNTRY], established in [LEGAL_ADDRESS], with VAT number [VAT_NUMBER], duly represented by [LEGAL_REPRESENTATIVE], [LEGAL_REPRESENTATIVE_POSITION],

Hereinafter referred as the “Beneficiary”

The “Beneficiary” is acting on behalf the following partner(s) as the Consortium leader:

- Partner 1: [COMPANY_NAME], a SME organized under the laws of [COUNTRY], established in [LEGAL_ADDRESS], with VAT number [VAT_NUMBER], duly represented by [LEGAL_REPRESENTATIVE], [LEGAL_REPRESENTATIVE_POSITION],
- Partner 2: [COMPANY_NAME], a SME organized under the laws of [COUNTRY], established in [LEGAL_ADDRESS], with VAT number [VAT_NUMBER], duly represented by [LEGAL_REPRESENTATIVE], [LEGAL_REPRESENTATIVE_POSITION],
- Partner 3: [COMPANY_NAME], a SME organized under the laws of [COUNTRY], established in [LEGAL_ADDRESS], with VAT number [VAT_NUMBER], duly represented by [LEGAL_REPRESENTATIVE], [LEGAL_REPRESENTATIVE_POSITION],

It will be the responsibility of the Beneficiary to establish its own agreement with the other partner(s).

Hereinafter collectively referred as the “Contracting Parties”

HAVE AGREED to the following terms and conditions including those in the following Annexes, which form an integral part of this HUBCAP Open Call #3 INNOVATE Sub-Grant Agreement (hereinafter referred as the “Contract”):

General Provisions

The European Commission (hereinafter referred as the “EC”) and the Coordinator, as a member of the HUBCAP consortium, have signed the grant agreement no 872698 for the implementation of the project “DIGITAL INNOVATION HUBS AND COLLABORATIVE PLATFORM FOR CYBER-PHYSICAL

SYSTEMS" (Acronym: HUBCAP) within the framework of the Programme H2020-DT-2019-1/DT-ICT-01-2019.

The HUBCAP project is performed by the Coordinator, as coordinator of the HUBCAP Project, in collaboration with the other HUBCAP consortium partners. The HUBCAP consortium partners have among themselves entered into a written agreement detailing their respective rights and obligations towards each other for carrying out the HUBCAP project and exploiting the results thereof ("the Consortium Agreement" or "CA").

The purpose of the HUBCAP project is to make a cloud-based open collaboration platform (the "HUBCAP Platform") with a capability to help users' trial new technology. As part of the HUBCAP project, the HUBCAP Open Call #3 INNOVATE has been issued stimulate the development and implementation of highly innovative MBD CPS solutions, by funding projects proposed by a team of 2 – 3 entities across Europe.

The Beneficiary has been selected for funding under HUBCAP Open Call #3 INNOVATE based on its Application Form (***Annex 3***).

This Contract aims at defining the framework of rights and obligations of the Contracting Parties with respect to the Beneficiary's participating in the HUBCAP Open Call #3 INNOVATE.

The Funding to be received by the Beneficiary is property of the EC. The Coordinator is the mere holder and manager of the funds.

Article 1 – Entry into force & Termination of the contract

1.1 Entry into force

This Contract shall enter into force on the day of its signature by the last Contracting Party. The Coordinator shall sign this contract, only after all the following documents have been received from the Beneficiary:

1. The originals signed *Applicants Declaration of Honour* (as given in ***Annex 4***),
2. *SMEs Declaration* form (as given in ***Annex 5***),
3. The original signed *Consortium Declaration of Honour* (as given in ***Annex 6***),
4. *Bank Account Form* (as given in ***Annex 8***).

All documents, properly signed and stamped (if applicable), shall be sent to the Coordinator via email: oc.administrative@hubcap.eu. It is requested to the Beneficiary to send all documents in one e-mail, and with an e-mail subject that is identifiable:

- HUBCAP Call #3 INNOVATE,
- Form of identifier to the selected Consortium in question (e.g., experiment title or acronym).

After collection and approval of all documentation, the Beneficiary will receive a Sub-grant Agreement (Contract) for signature.

The Beneficiary is solely responsible for the accuracy of all data provided to the Coordinator.

The contact details of the Beneficiary for notices under this Contract is: [name of contact person, address, e-mail etc.]

1.2 Contract Termination

This Contract will automatically terminate at the end of the Open Call #3 INNOVATE which will happen when the Beneficiary has fulfilled all obligations in Article 2, except for all obligations that according to their content are intended to remain in effect, which keep their full force and effect.

The Coordinator shall be entitled to terminate this Contract by written notice with immediate effect in the event that the Beneficiary does not fulfil its obligations hereunder, cf. Article 4. Coordinator.

Irrespective of the automatic termination of this Contract under this article 1.2, or any early termination hereof under Article 4, all obligations that according to their content are intended to be in effect for longer shall remain in effect.

Article 2 – Obligations and Responsibilities of the Beneficiary

The obligations and responsibilities of the Open Call #3 INNOVATE Beneficiary are successfully accomplishing the development and deployment of high innovative and challenging MBD CPS projects solutions, that not only will become a portfolio of success stories but will also enlarge the added value and outreach of the HUBCAP ecosystem, models, and technologies. Adopters and providers SMEs of MBD CPS will create synergies and develop small consortia, applying together to Call #3 INNOVATE, in an appropriate manner. Appropriate manner means that the Beneficiary will comply with the house rules in case of an onsite meeting and in general to the meeting rules.

Additionally, the Beneficiary shall take every necessary precaution to avoid any risk of conflict of interest relating to economic interests, political or national affinities, personal or any other interests liable to influence the impartial and objective performance of the Project. In case the Beneficiary is involved in a conflict of interest or in a risk of conflict of interest, the Beneficiary must formally notify this situation to the Coordinator without delay and immediately take all the necessary steps to rectify this situation.

Furthermore, the Beneficiary shall have provided true and accurate documentation and declarations as set forth in Article 1.1.

More detailed information can be found in the document **Annex 2: Guidelines for Applicants**, which the Beneficiary shall apply with.

Article 3 – Intellectual Property Rights

The Beneficiary acknowledges that the HUBCAP Platform, and all intellectual property rights and other rights in and to the HUBCAP Platform, are proprietary to and owned by the HUBCAP consortium partners or applicable third parties. Nothing in this Contract shall transfer to the Beneficiary, or confer on the Beneficiary, any license, or other rights in or to, any such intellectual property rights, except for those limited rights of use for the purpose of the Beneficiary MBD CPS Technologies chosen from the HUBCAP Platform (MBD CPS provider) for the three phases proposed during the 12 months the projects development and deployment plan.

All intellectual property rights and title to the MBD CPS Technologies remains with the Beneficiary or applicable third party. The Coordinator and/or relevant HUBCAP consortium partner shall be entitled

to make public the information about the MBD CPS Technologies as provided in the Application Form (**Annex 3**).

Article 4 – Breach of Contract

In the event of breach of the contractual obligation's representations or warranties by the Beneficiary under this Contract, the Coordinator, in coordination with the HUBCAP Consortium, reserves the right to terminate the Contract by written notice with immediate effect, even if such non-fulfilment is due to Force Majeure.

In the event of the breach of the contractual obligations by the Beneficiary, the Coordinator reserves the right of not fulfilling the respective payment to the Beneficiary. The Coordinator also reserves the right to claim a refund of any already paid funds, both in case of breach of contract and/or in case the work/costs are not approved by the EC.

Article 5 – Financial contribution and financial provisions

5.1 Maximum financial contribution under HUBCAP Call #3 INNOVATE

The maximum financial contribution to be granted by the Coordinator to the Beneficiary under HUBCAP Call #3 INNOVATE shall not exceed the amount of 200.000EUR.

The amount of direct funding that an SME may receive via HUBCAP Programme, and under the I4MS¹ or SAE² Initiative, is the **maximum amount of 100.000EUR**.

5.2. Distribution of the financial contribution

Under this Contract, the Beneficiary is granted the financial support up to 200.000EUR, to cover the Beneficiary costs and resources in relation to the implementation plan of the project proposal, i.e., pilot design, pilot development and initiation of operation, technology impact assessment and reporting of project outcomes.

The Funding will be release by the Coordinator to the Beneficiary upon execution of specific activities/deliveries, that are divided in the following interactive phases:

- The Beneficiary has sent the documents mentioned in article 1,
- The Beneficiary has completed Phase 1 Design (20%): consortia will be invited to fine tune their pilot planning and technology usage with HUBCAP experts. Preparation of follow-up/KPI document associated with respective pilot.
- The Beneficiary has completed Phase 2 Develop & Operate (60%): deployment of the technologies in the field, configuration units and software, initiation of operations and collection of relevant data.
- The Beneficiary has completed Phase 3 Assess (20%): aggregation of results on technologies impact, and communication achievements.

¹ <https://i4ms.eu/projects>

² <https://smartanythingeverywhere.eu/funding/projects/>

Payments to the Beneficiary will be made by the Coordinator. In particular:

- The Coordinator reserves the right to withhold the payments in case the Beneficiary does not fulfil with its obligations and tasks as per this Contract and ***Annex 2 - Guidelines for Applicants***,
- The Beneficiary is responsible for complying with any tax and legal obligations that might be attached to this financial contribution,
- Banking and transaction costs charged by any of the banks related to the handling of any financial resources made available to the Beneficiary by the Contractor shall be covered by the holder of the bank account which originated the cost. This means that the Contractor bears the cost of transfers charged by its bank and the Beneficiary bears the cost of transfers charged by its bank.

5.3. Payments Schedule

The financial contribution to be granted to the consortium shall be calculated in accordance with the provisions of the ***Annex 2: Guidelines for Applicants***.

The financial contribution will be made to the SME consortium leader by the contractor. The HUBCAP has no obligation to ensure or monitor the funding distribution between consortium members. After received the respective payments, the SME consortium leader has to transfer the respective payment to the SME consortium partner, based on the budget established in the Consortium Declaration of Honour (as given in ***Annex 6***). During the contractual procedure, the SME consortium leader will be asked to indicate the respective bank account to which the payments shall be made (as given in ***Annex 8***).

Table 1: Project phases payments schedule

Phase 1 Design (2 months)		Phase 2 Develop & Operate (8 months)		Phase 3 Assess (2 months)	
SEP to OCT 2021	DEC 2021	DEC'21 to JUL'22	AUG 2022	AUG to SEP 2022	OCT 2022
20% of the sum is given upon the successful achievement of the milestones and report for the fine tuning of pilots planning & technology.	1st payment	60% of the sum is given upon the successful achievement of the milestones and report for the deployment of technologies in the field and operation initiation.	2nd payment	20% of the sum is given upon the successful achievement of the milestones and report for the presentation of results on technology impact and achievements.	3rd payment

The payment schedule is directly linked to the achievements of the HUBCAP Open Call #3 INNOVATE based on the successful completion of specified milestones and KPIs established by the Beneficiary in its project proposal application, that will be evaluated through a report delivered at the end of each Phase, as per given in the ***Annex 2: Guidelines for Applicants***. Checking the consistency between the estimated costs and resources and the expected work of the project proposal will be also part of the evaluation process, and if requested the SME consortium leader will have to present any documentation for the costs claimed.

The payments will be made subject to receipt of invoice or filled out Financial Identification Form [[EN - BA revised.xlsx \(europa.eu\)](#)]. If the Beneficiary choose to send an invoice, the invoice must state the following details:

- HUBCAP, GA no.872698,
- Call #3 INNOVATE,
- If the payment is referring to Phase 1 “Design”, Phase 2 “Develop & Operate” or Phase 3 “Assess”,
- SME Consortium leader identification (e.g., SME acronym or similar)

The invoice or the Financial Identification Form is to be sent to Mette Søgaard Presser: mesp@au.dk – but payment will only be initiated once the work has been approved (as otherwise described in the **Annex 7**). Payment is made **30 calendar days** after receipt of the invoice to the bank account of the Beneficiary as provided in **Annex 8: Bank Account Information Form**. All payments will be made in Euros.

Article 6 – Liability

6.1 Liability of the Beneficiary

The Beneficiary shall fully and exclusively bear the risks in connection with the fulfilment of its tasks and obligations under this Contract.

Except in case of force majeure (Article 8), the Beneficiary must compensate the Coordinator and the EC for any damage they sustain as a result of the implementation the obligations of the Beneficiary under this Contract or because the tasks and obligations of the Beneficiary were not implemented in full compliance with this Contract.

Accordingly, neither the Coordinator nor the EC can be held liable for any damage caused to the Beneficiary or to third parties as a consequence of implementing this Contract, including for gross negligence. At the same time, neither the Coordinator nor the EC can be held liable for any damage caused by the Beneficiary or third parties, as a consequence of implementing this Contract.

The Beneficiary shall bear sole responsibility for ensuring that its acts within the framework of this Contract do not infringe third parties' rights. There is no joint liability between the Contracting Parties. For this purpose, the Beneficiary shall indemnify and hold the Coordinator and the EC harmless from and against all repayments, loss, liability, costs, charges, claims or damages which the Coordinator or the EC as a result thereof would incur or suffer or have to pay to the EC or any third parties. In addition, should the EC have a right of recovery against the Coordinator regarding any or all of the financial support granted under this Contract, the Beneficiary shall repay the sums in question in the terms and on the date specified by the Coordinator.

6.2 Exclusion of liability

To the extent permissible under applicable law, in no event shall the Coordinator or other HUBCAP consortium partners be liable to the Beneficiary for loss or damage caused by the Coordinator or the HUBCAP consortium partners, their employees, agents and subcontractors in connection with this Contract for any of the following, however caused or arising, on any theory of liability, and even if the Coordinator and/or any other HUBCAP consortium partner were informed or aware of the possibility thereof:

- loss of profits, revenue, income, interest, savings, shelf-space, production, and business opportunities; lost contracts, goodwill, and anticipated savings,
- loss of or damage to reputation or to data,
- costs of recall of products; or
- any type of indirect, incidental, punitive, special, or consequential loss or damage.

In respect of any information or materials (including the HUBCAP Platform) made available to the Beneficiary under this Contract no warranty or representation of any kind is made, given or implied as to the sufficiency, error-free performance, or fitness for purpose, nor as to the absence of any infringement of any proprietary rights of third parties. Therefore, in particular but without limiting the foregoing:

- the Beneficiary shall in all cases be entirely and solely liable for the use to which it puts such information and materials, and the consequences of such use, and
- neither the Coordinator, the EC nor the other HUBCAP consortium partners shall be liable vis-à-vis the Beneficiary in case of infringement of proprietary rights of a third party resulting from the Beneficiary use of the information and material.

The exclusions and limitations stated in this Article 6.2, and any other clause of this Contract that has as its object or effect the exclusion or limitation of liability, shall not apply in respect of any: fraud; death, injury to natural persons or damage to real or immovable property caused by the negligence or wilful act, wilful misconduct, wilful breach; or otherwise in so far as mandatory applicable law overrides such exclusions and limitations.

Article 7 – Confidentiality

7.1 Obligation of confidentiality

All information in whatever form or mode of communication, which is disclosed by a Contracting Party (the “Disclosing Party”) to the other Contracting Party (the “Recipient”) in connection with the implementation of the HUBCAP Call #3 INNOVATE and which has been explicitly marked as “confidential” at the time of disclosure, or when disclosed orally has been identified as confidential at the time of disclosure and has been confirmed and designated in writing within 15 calendar days from oral disclosure at the latest as confidential information by the Disclosing Party, is “Confidential Information”. However, the information on the MBD CPS Technologies as included by the Beneficiary in the Application Form (**Annex 3**) shall not be deemed Confidential Information.

The Recipient hereby undertake in addition and without prejudice to any commitment on non-disclosure towards the EC, for a period of 4 years after the end of the Contract:

- Not to use Confidential Information otherwise than for the purpose for which it was disclosed,
- Not to disclose Confidential Information without the prior written consent by the Disclosing Party,
- To ensure that internal distribution of Confidential Information by a Recipient shall take place on a strict need-to-know basis; and
- To return to the Disclosing Party, or destroy, on demand all Confidential Information that has been disclosed to the Recipient including all copies thereof and to delete all information stored in a machine-readable form to the extent practically possible. The Recipient may keep a copy to the extent it is required to keep, archive, or store such Confidential Information because of compliance with applicable laws and regulations or for the proof of on-going

obligations provided that the Recipient comply with the confidentiality obligations herein contained with respect to such copy for as long as the copy is retained.

The Recipient shall be responsible for the fulfilment of the above obligations on the part of their employees, or third parties involved in the implementation of HUBCAP Call #3 INNOVATE and shall ensure that they remain so obliged, as far as legally possible, during and after the end hereof and/or after the termination of the contractual relationship with the employee or third party.

The Recipient shall apply the same degree of care with regard to the Confidential Information disclosed within the scope of the Project as with its own confidential and/or proprietary information, but in no case less than reasonable care.

Each Party shall promptly advise the other Party in writing of any unauthorized disclosure, misappropriation, or misuse of Confidential Information after it becomes aware of such unauthorized disclosure, misappropriation, or misuse.

7.2 Exceptions to obligation of confidentiality

The above shall not apply for disclosure or use of Confidential Information, if and in so far as the Recipient can show that:

- The Confidential Information has become or becomes publicly available by means other than a breach of the Recipient's confidentiality obligations,
- The Disclosing Party subsequently informs the Recipient that the Confidential Information is no longer confidential,
- The Confidential Information is communicated to the Recipient without any obligation of confidentiality by a third party who is to the best knowledge of the Recipient in lawful possession thereof and under no obligation of confidentiality to the Disclosing Party,
- The disclosure or communication of the Confidential Information is foreseen by provisions of the Grant Agreement,
- The Confidential Information, at any time, was developed by the Recipient completely independently of any such disclosure by the Disclosing Party,
- The Confidential Information was already known to the Recipient prior to disclosure, or
- Disclosure of the Confidential Information is in compliance with mandatory applicable laws or regulations or with a court or administrative order.

7.3 Authorised disclosure(s)

If any Party becomes aware that it will be required, or is likely to be required, to disclose Confidential Information in order to comply with applicable laws or regulations or with a court or administrative order, it shall, to the extent it is lawfully able to do so under the laws and legislation applicable to said Party, prior to any such disclosure:

- Notify the Disclosing Party, and
- Comply with the Disclosing Party's reasonable instructions to protect the confidentiality of the information.

The Coordinator's disclosure of Confidential Information to the EC and/or the other HUBCAP consortium partner shall be governed exclusively by the terms of the Grant Agreement and/or the Consortium Agreement. Accordingly, nothing in this Contract shall prevent the Coordinator from complying with its obligations, including its reporting obligations, towards the EC and the other HUBCAP consortium partners, and any such disclosures shall be subject to the terms of the Grant Agreement or Consortium Agreement.

Likewise, the Beneficiary agrees and acknowledges that the EC shall be entitled to disclose Confidential Information to its staff, other EU institutions and bodies or third parties, if:

- (a) this is necessary to implement the Grant Agreement or safeguard the EU's financial interests and
- (b) the recipients of the information are bound by an obligation of confidentiality.

Article 8 – Force Majeure

“Force Majeure” shall mean, any unforeseeable exceptional situation or event beyond the Contracting Parties control, which prevents either of them from fulfilling any of their obligations under the Agreement, which was not attributable to error or negligence on their part, and which proves to be inevitable in spite of the exercising all due diligence.

Any default of a service, defect in equipment or material or delays in making them available, unless they stem directly from a relevant case of Force Majeure, as well as labour disputes, strikes or financial difficulties cannot be invoked as Force Majeure.

The Contracting Parties shall take the necessary measures to limit any damage due to Force Majeure. They shall do their best to resume the implementation of the action as soon as possible.

No Contracting Party shall be considered in breach of its obligations and tasks if such breach is caused by Force Majeure. A Contracting Party will notify the other Contracting Party of any Force Majeure without delay, stating the nature, likely duration, and foreseeable effects. In case the Beneficiary is not able to overcome the consequences of Force Majeure within 10 (ten) days after such notification, the Coordinator will decide accordingly including the termination of the Contract.

Article 9 – Information and communication

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

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

- the name of the Beneficiary,
- contact address of the Beneficiary,
- the general purpose of the project,
- the amount of the financial contribution of the EC.

The Beneficiary shall ensure that all necessary authorizations for such publication have been obtained and that the publication of the information by the Coordinator, HUBCAP Consortium or EC does not infringe any rights of third parties.

Unless the EC or the 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 HUBCAP logo and,
- c. include the following text:

For communication activities: "*These MBD CPS technologies has indirectly received funding from the European Union's Horizon 2020 research and innovation action programme, via an Open Call #3 INNOVATE issued and executed under project HUBCAP (grant agreement No 872698)*".

When displayed in association with a logo, the EU 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.

Upon a duly substantiated request by the Coordinator on behalf of the Beneficiary, 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.

Article 10 – Data protection

10.1 Data protection obligations

The Contracting Parties have the obligation to abide by the Regulation (EU) 2016/679 (General Data Protection Regulation – GDPR) of the European Parliament and of the Council of 27 April 2016 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data.

The processing of personal data shall be carried out lawfully, fairly and in a transparent manner, collected for specific purposes and adequate, relevant, and limited to what is necessary in relation to the purposes for which it is processed.

The Beneficiary shall specify in the Application Form if the MBD CPS Technologies performs any kind of personal data processing.

If the Beneficiary acts as data processor in respect of any personal data included and/or processed through the MBD CPS Technologies, the data controlling Beneficiary undertakes to bind any and all of their data processors, including if necessary, the Coordinator and/or any other HUBCAP consortium partner, to a data processing agreement in compliance with the applicable statutory data protection laws.

The Beneficiary acknowledges that the Coordinator and any other HUBCAP consortium partners, if appointed as data processors, are not responsible for compliance with any data protection or privacy law applicable to the Beneficiary and not directly, explicitly, and specifically applicable to data processors.

Article 11 – Financial audits and controls

The EC may, at any time during the implementation of the Project and up to five years after the end of the HUBCAP project (foreseen 31st December 2022), arrange for financial audits to be carried out, by external auditors, or by the EC services themselves including the European Anti-Fraud Office (OLAF), on the Beneficiary. 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 Beneficiary 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 Beneficiary shall keep the originals or, in exceptional cases, duly authenticated copies – including electronic copies - of all documents relating to the Contract until 2027. These shall be made available to the EC were requested during any audit under the Grant Agreement.

In order to carry out these audits, the Beneficiary 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 Beneficiary 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 during the time of the audit and, if so requested, that data be handed over in an appropriate form.

Based on 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 EC 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 EC in order to protect the European Communities' financial interests against fraud and other irregularities.

Article 12 – Miscellaneous

Should any provision of this Contract be or become invalid, illegal, or unenforceable, it shall not affect the validity of the remaining provisions of this Contract. In such a case, the Contracting Parties shall be entitled to request that a valid, legal, enforceable, and practicable replacement provision be negotiated which fulfils the purpose of the original provision.

The Beneficiary shall not be entitled to act or to make legally binding declarations on behalf of the Coordinator or any other HUBCAP consortium partner, and nothing in this Contract shall be deemed to constitute a joint venture, agency, partnership, interest grouping or any other kind of formal business grouping or entity between the Contracting Parties or between the Beneficiary and any HUBCAP consortium partner.

No rights or obligations of the Beneficiary arising from this Contract may be assigned or transferred, in whole or in part, and no obligations of the Beneficiary may be sub-contracted, without the Coordinator's prior formal written approval; and such approval shall not exempt the Beneficiary from any of its obligations hereunder. The Beneficiary shall ensure that any permitted sub-Coordinator is bound by the same obligations as provided hereunder.

Although (with the exception of the Coordinator) the HUBCAP consortium partners and their affiliated entities are not Contracting Parties to this Contract, they are intended by the Contracting Parties to be third party beneficiaries under this Contract and accordingly shall be entitled to enforce the terms of this Contract against the Beneficiary and in particular (without limitation) shall be entitled to the benefit of, and to enforce any exclusion of limitation of liability of the HUBCAP consortium partners contained in this Contract and any indemnity in favour of the HUBCAP consortium partners contained in this Contract.

Amendments and modifications to the text of this Agreement require a separate written agreement to be signed between all Parties.

Although this Contract refers to the provisions of the CA and GA, the Beneficiary is not a party to the CA or GA but only bound towards the Coordinator by the CA and GA provisions as referred or reproduced in this Contract.

This Contract is drawn up in English, language which shall govern all documents, notices, meetings, and processes relative thereto.

Article 13 – Applicable Law

This Contract shall be construed in accordance with and governed by the laws of Belgium.

Article 14 – Settlement of disputes

The Parties shall endeavor to settle their disputes amicably.

If, and to the extent that, any such dispute, controversy or claim has not been settled amicably the courts of Brussels shall have exclusive jurisdiction.

The language to be used in the court proceedings shall be English unless otherwise agreed upon.

Nothing in this Contract shall limit the Parties' right to seek injunctive relief in any applicable competent court.

AS WITNESS:

The Contracting Parties have caused this Contract to be duly signed by the undersigned authorized representatives in three (2) copies:

For [Entity] (the Beneficiary)	For Aarhus University (the Coordinator)
--------------------------------	---

Mr/Ms [NAME SURNAME] [POSITION_IN_COMPANY] if applicable Signature	Mr//Ms [NAME SURNAME] Head of Department Signature
Done at _____ on DD/MM/YEAR	Done at _____ on DD/MM/YEAR



HUBCAP

Grant Agreement: 872698

Digital innovation HUBs and CollAborative
Platform for cyber-physical systems

Annex 8: Bank account information

April/2021



This project has received funding by the European
Union's Horizon 2020 research and innovation
programme under grant agreement 872698.

Bank Account Information Form

TRANSFER TO A FOREIGN BANK ACCOUNT

Personal Information

Name		
Home address		
Country		
Date of birth (day-month-year)		
E-mail address		

Male Female

BANK ACCOUNT INFORMATION

Account holder name		
Account holder address		
Account number		

SWIFT/BIC (8 or 11 characters)		
IBAN no.		
ABA/Routing no./Fed Wire (9 characters)		Only transfers to the USA or Canada
Sort code /BSB code (6 characters)		Only transfers to New Zealand, Australia or South Africa
IFSC No.		Only transfers to India
CC Bank registration code for transfers to Canada		

Name of bank		
Address		
Country		
Currency of Bank Account		



BANK STAMP + SIGNATURE OF BANK REPRESENTATIVE	DATE + SIGNATURE OF ACCOUNT HOLDER (OBLIGATORY)
The bank stamp + signature of bank representative can be substituted by the attachment of a recent bank statement (less than 2 months).	



This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 872698.

Funding Scheme: Innovation Action (IA)
Theme: DT-ICT-01-2019



HUBCAP

Grant Agreement: 872698

Digital innovation HUBs and CollAborative
Platform for cyber-physical systems

Annex 9: Template for H2020 Financial Support to Third Parties

April/2021



This project has received funding by the European
Union's Horizon 2020 research and innovation
programme under grant agreement 872698.

**TEMPLATE for FP7 Competitive Calls and
H2020 Financial Support to Third Parties**

To publish a call on the Participant Portal (PP), the Project Officer must send to the PP team at least the following information:

	Information to be provided by the project consortium
Call title:	HUBCAP Open Call #3 INNOVATE - Funds the deployment of new products and demonstrations of highly innovative collaborations using the HUBCAP platform.
Full name of the EU funded project:	DIGITAL INNOVATION HUBS AND COLLABORATIVE PLATFORM FOR CYBER-PHYSICAL SYSTEMS
Project acronym:	HUBCAP
Grant agreement number:	H2020-872698
Call publication date:	1 st April 2021
Call deadline:	30 th June 2021 at 17h00 CET (Brussels time)
Expected duration of participation:	12 Months
Total EU funding available:	2.000.000EUR Financial support per Consortium: up to 200.000EUR
Submission & evaluation process:	HUBCAP open Call #3 INNOVATE will have only one call along the project timeline. It is expected to stimulate the development and implementation of highly innovative and challenging MBD CPS projects. These innovative projects will connect adopters and providers SMEs from several industries and funding projects collaborations with consortia of 2-3 SMEs. The INNOVATE projects will have a total duration of 12 months divided in three phases: Design > Develop & Operate > Assess. The evaluation will be conducted by an external evaluation board with expertise in MBD CPS technologies and business development. Remotely and within the F6S platform, two evaluators will score and comment each proposal: Alignment, Excellence, Impact, Value, Implementation, Quality and Efficiency. The top ranked consortia will be invited to interview with external evaluators. After the online interviews, external evaluators will form a consensus about the evaluation and a report is prepared.

	HUBCAP Open Call #3 INNOVATE will select 10 innovative proposals applications. Submissions are available via www.f6s.com/call-3-innovate/apply
Further information:	Details available at www.hubcap.eu
Task description:	The HUBCAP ecosystem will increase the outreach and adoption of MBD CPS technologies by providing funding and value-added services for the development of innovative projects making use or developing new Cyber-Physical Systems technologies. The Model-Based Design assets applied in the innovative projects will feed back into the HUBCAP ecosystem, becoming the HUBCAP flagship portfolio of success stories, enlarging the value and outreach of the HUBCAP ecosystem, model, and technologies. The expected result from INNOVATE call will be 10 innovative Application Experiments (AEs) by European SMEs, demonstrating the value and benefits of HUBCAP MBD CPS technologies in different industry environments.

Additional information may also be required/presented:

Funding scheme/type of action, thematic priority, contract type, project status, project/research costs and funding, eligibility requirements, evaluation criteria, proposal format, project coordinator...



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Annex 10: Ethics Self-Assessment Form

April/2021



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programme under grant agreement 872698.



ETHICS ISSUES TABLE – CHECKLIST

Table 1: Ethical Issue Table

	YES
Informed Consent	
• Does the proposal involve children?	
• Does the proposal involve patients or persons not able to give consent?	
• Does the proposal involve adult healthy volunteers?	
• Does the proposal involve Human Genetic Material?	
• Does the proposal involve Human biological samples?	
• Does the proposal involve Human data collection?	
Research on Human embryo/fetus	
• Does the proposal involve Human Embryos?	
• Does the proposal involve Human Fetal Tissue / Cells?	
• Does the proposal involve Human Embryonic Stem Cells?	
Privacy	
• Does the proposal involve processing of genetic information or personal data (e.g. health, sexual lifestyle, ethnicity, political opinion, religious or philosophical conviction)	
• Does the proposal involve tracking the location or observation of people?	
Research on Animals	
• Does the proposal involve research on animals?	
• Are those animals' transgenic small laboratory animals?	
• Are those animals transgenic farm animals?	
• Are those animals cloned farm animals?	
• Are those animals' nonhuman primates?	
Environmental Protection and Safety	
• Does your research involve the use of elements that may cause harm to the environment, animals or plants?	
• Does your research deal with endangered fauna and/or flora /protected areas?	
• Does your research involve the use of elements that may cause harm to humans, including research staff?	
Research Involving Developing Countries	
• Use of local resources (genetic, animal, plant etc)	
• Benefit to local community (capacity building i.e. access to healthcare, education etc)	
Dual Use	
• Research having direct military application	
• Research having the potential for terrorist abuse	
ICT Implants	
• Does the proposal involve clinical trials of ICT implants?	





I CONFIRM THAT NONE OF THE ABOVE ISSUES APPLY TO MY PROPOSAL	YES/NO
--	--------

Ethics

If you have entered any ethics issues in the ethical issue table, you must:

- submit an ethics self-assessment, which:
 - describes how the proposal meets the national legal and ethical requirements of the country or countries where the tasks raising ethical issues are to be carried out;
 - explains in detail how you intend to address the issues in the ethical issues table, in particular as regards:
 - research objectives (e.g. study of vulnerable populations, dual use, etc.)
 - research methodology (e.g. clinical trials, involvement of children and related consent procedures, protection of any data collected, etc.)
 - the potential impact of the research (e.g. dual use issues, environmental damage, stigmatization of particular social groups, political or financial retaliation, benefit-sharing, malevolent use, etc.).
 - provide the documents that you need under national law (if you already have them), e.g.:
 - an ethics committee opinion;
 - the document notifying activities raising ethical issues or authorizing such activities
- ⚠** If these documents are not in English, you must also submit an English summary of them (containing, if available, the conclusions of the committee or authority concerned).
- ⚠** If you plan to request these documents specifically for the project you are proposing, your request must contains.

Security

Please indicate if your project will involve:

- Activities or results raising security issues: _____ (YES/NO)
- 'EU-classified information' as background or results: _____ (YES/NO)
- Any potential "dual use" of results: _____ (YES/NO)

For [Entity] (the SME Leader) Mr/Ms [NAME SURNAME] [POSITION_IN_COMPANY] if applicable Signature Done at _____ on DD/MM/YEAR	For [Entity] (the provider SME) Mr/Ms [NAME SURNAME] [POSITION_IN_COMPANY] if applicable Signature Done at _____ on DD/MM/YEAR	For [Entity] (the adopter SME) Mr/Ms [NAME SURNAME] [POSITION_IN_COMPANY] if applicable Signature Done at _____ on DD/MM/YEAR
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Annex 11: Justification of Costs Table

April/2021



This project has received funding by the European
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programme under grant agreement 872698.



JUSTIFICATION OF COSTS TABLE

In **Table 1 below**, provide details of the person months allocated to each partner. This should be consistent with the details presented in the work plan you provided in the Call #3 INNOVATE application form.

Table 1: Partners tasks details and person months

Phase 1 - Design

Partner	Tasks	Total person months ¹	Person months cost (for partner)
Partner 1 name	Description 1	Number of person months	
Partner 2 name			
Partner 3 name			

Phase 2 – Develop & Operate

Partner	Tasks	Total person months	Person months cost (for partner)
Partner 1 name			
Partner 2 name			
Partner 3 name			

Phase 3 - Assess

Partner	Tasks	Total person months	Person months cost (for partner)
Partner 1 name			
Partner 2 name			
Partner 3 name			

In **Table 2 below**, provide a list of other direct costs that will be incurred (equipment, travel etc.).

Table 2: Partner other direct costs.

Phase 1 - Design

Partner	Item Description	Total Other Direct Cost (for partner)
Partner 1 name		
Partner 2 name		
Partner 3 name		

¹ A person month is a measurement of effort. One person month means one person fully working for one month. Two persons fully working half a month, would-be one-person month as well and the person month cost would be the average.





Phase 2 – Develop & Operate

Partner	Item Description	Total Other Direct Cost (for partner)
Partner 1 name		
Partner 2 name		
Partner 3 name		

Phase 3 - Assess

Partner	Item Description	Total Other Direct Cost (for partner)
Partner 1 name		
Partner 2 name		
Partner 3 name		

In **Table 3 below**, provide details of the direct and indirect costs, and the project budget allocated to each partner. See footnotes for further help with calculations.

Table 3: Partners Project budget.

Partner	Total Person Months Cost (A) ²	Total Other Direct Cost (B) ³	Indirect Cost (C) ⁴	Total project budget (D) ⁵
Partner 1 name				
Partner 2 name				
Partner 3 name				

In **Table 4 below**, calculate the requested financial support for each partner.

Table 4: Partners requested financial support.

Partner	Total Project budget (D)	Reimbursement rate (70%) (E) ⁶	Requested financial support
Partner 1 name	...	Enter rate here: 0.7	This will be (D) * (E)
Partner 2 name			
Partner 3 name			

² A should be consistent with the person months provided in Table 1

³ B should be consistent with the Total Other Direct Costs in Table 2

⁴ Indirect Costs (C) = (A + B) * 0.25

⁵ Total experiment budget (D) = A + B + C

⁶ The reimbursement rate varies for commercial and non-profit legal entities.





For [Entity] (the SME Leader) Mr/Ms [NAME SURNAME] [POSITION_IN_COMPANY] if applicable Signature	For [Entity] (the provider SME) Mr/Ms [NAME SURNAME] [POSITION_IN_COMPANY] if applicable Signature	For [Entity] (the adopter SME) Mr/Ms [NAME SURNAME] [POSITION_IN_COMPANY] if applicable Signature
Done at _____ on DD/MM/YEAR	Done at _____ on DD/MM/YEAR	Done at _____ on DD/MM/YEAR

