



# HUBCAP

**Grant Agreement: 872698**

Digital Innovation HUBs and CollAborative  
Platform for cyber-physical systems

**Call #2.2 EXPERIMENT Documentation Kit**  
November/2021



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



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**Guidelines for Applicants Call #2.2 EXPERIMENT**

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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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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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*Table 2: List of abbreviations and acronyms.*

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

# 1 Introduction

The HUBCAP project ([www.hubcap.eu](http://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 #2.2 EXPERIMENT. The Sub-Grant Agreement model (*Annex 5*) must be additionally considered for the submission of an application to Open Call #2.2 EXPERIMENT.

## 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.

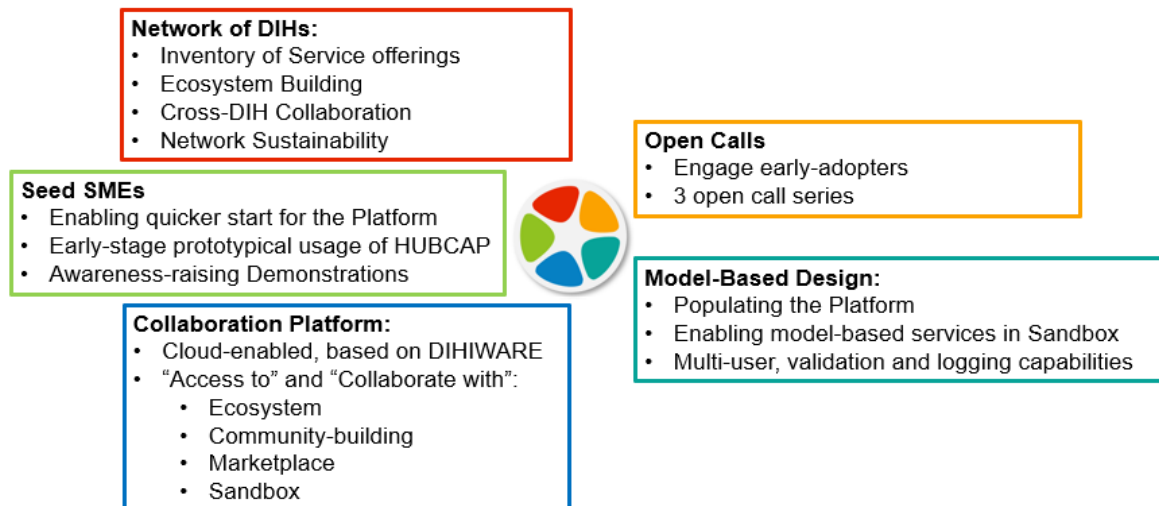


Figure 1: HUBCAP one-stop-shop for SMEs

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.

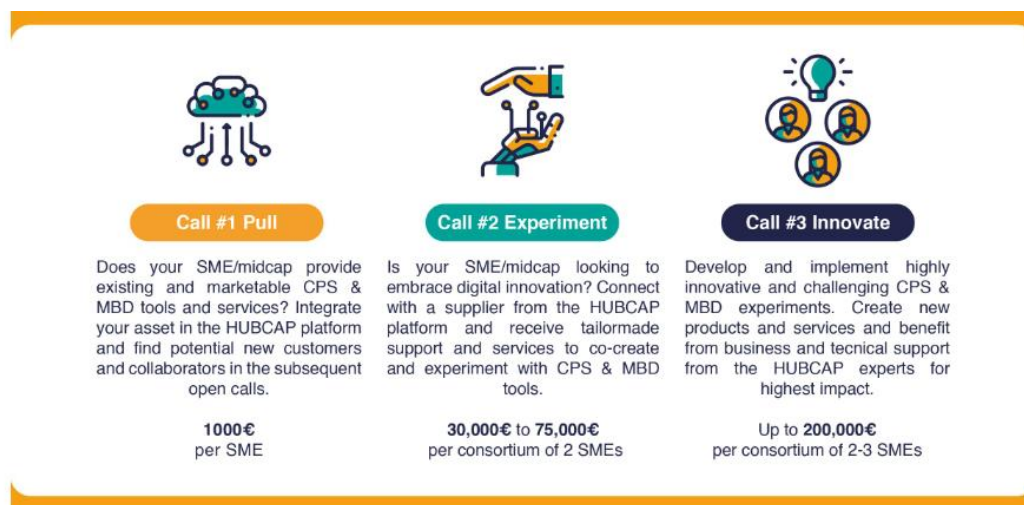


Figure 3: HUBCAP Programme Information.

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 #2.2 EXPERIMENT, and applicants to further calls should comply with their respective guidelines and sub-grantee agreements.

### 1.3 Call #2 EXPERIMENT 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 #2 EXPERIMENT is thus to increase the outreach and adoption of Model-Based Design (MBD) and Cyber-Physical Systems (CPSs) technologies by providing funding and services for the deployment of MBD CPS products/services.

The Open Call #2 EXPERIMENT will fund a consortium of two SMEs, namely one MBD CPS user/adopter and one MBD CPS provider, to experiment with MBD either by integrating the HUBCAP ecosystem offers (PULL Calls beneficiaries) or implementing in a new MBD CPS solution (independent of its geographic location).

The consortium of two SMEs should consist of either:

- a user/adopter SME partnering with a provider SME from the Call #1 PULL whose assets is already on the HUBCAP platform,
- a user/adopter SME partnering with a new provider SME whose asset will be added to the platform as part of the experiment.

In case of (b), the provider should complete **Annex 1: New Asset Description**, to describe their asset, which will be subject to an additional suitability check.

Experiments should support user/adopter SMEs who are less familiar with MBD for CPS to learn and experiment with these techniques, supported by the provider SME. Experiments should address a clear business need for the user/adopter SME in terms of improving the lifecycle process or design of CPS for example through visual prototyping or simulation of models.

Besides hosting the assets from the SMEs beneficiaries from the PULL calls, the HUBCAP Platform is also including assets coming from DIHs and Seed-SMEs, partners of the HUBCAP consortium. These assets are available through the HUBCAP Platform for the funded Consortia under Call #2.2, allowing them to make use of the assets in their project experiments in case they want to try it. If necessary, a support provided by the DIHs and the Seed- SMEs will be given. **The assets support and usability for the Call #2.2 beneficiaries is free of any charge.**

**These assets can be selected through the Call #2.2 EXPERIMENT Application Form**, where an entry for it is available: *“Please indicate if there are any other assets from the HUBCAP ecosystem which you are planning on using in you experiment”*. The HUBCAP platform will clearly identify which assets are allowed for funding in the experiments.

To avoid conflicts of interest, project proposals will not be accepted from people or organisations who are partners in the HUBCAP consortium or who are formally linked in any way to partners of the consortium. All project proposals will be required to declare that they know of no such potential conflicts of interest that should prevent them from applying.

The following table provides an overview of the Call #2 EXPERIMENT, to support the applicant in understanding the overall Open Call approach.

Table 3: Call #2 EXPERIMENT overview

Open Call	Overview
<div>Call #2 EXPERIMENT</div>	<p><b>Duration:</b> Medium budget and duration (4–6 months) projects divided into two stages: Sprint 1 + Sprint 2. Each Sprint has the duration of 2-3 months, depending on the project.</p> <p><b>Target Group:</b> Consortia of two SMEs: an MBD CPS user/adopter and MBD CPS provider from (or eligible to join) the HUBCAP ecosystem.</p> <p><b>Number of SMEs:</b> Top 20 to 30 projects proposals will be selected under EXPERIMENT calls.</p> <p><b>Calls to be launched:</b> Call #2.1 (December 2020 – March 2021) and Call #2.2 (November 2021 – February 2022) – subject to change and exact days/timing to be defined in each call.</p> <p><b>Activities:</b> Finance consortium of 2 SMEs to experiment with MBD (either by integrating the HUBCAP ecosystem assets or implementing in a new MBD CPS solution). Deployment of HUBCAP MBD technologies in the field, attracting and engaging new users and validating HUBCAP products &amp; services portfolio.</p> <ul style="list-style-type: none"> <li>Promote the adoption of MBD for CPSs using assets and services by specialized entities, from SMEs with less digital experience.</li> </ul>

- Connect users & suppliers from various industries and fund experimental collaboration
- Provide funding and services to each awarded project.

**Funding:** 30.000EUR to 75.000EUR per consortium, divided into two interactive phases: Sprint 1 (50%) and Sprint 2 (50%): interactive development and integration of proposed projects.

**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 Sprint, 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 #2.2 EXPERIMENT will be enabled on the **3<sup>rd</sup> November 2021** and will end on the **2<sup>nd</sup> February 2022 at 17h00 CET** (Brussels time).

EXPERIMENT calls will open for submissions for 3 months, where the SMEs MBD CPS users/beneficiaries aiming to deploy CPS tools/services available in the HUBCAP ecosystem, will identify and form a consortium with Call #1 SMEs MBD CPS providers beneficiaries, or form a consortium with SMEs MBD CPS providers outside and eligible to join the HUBCAP ecosystem.

For the Call #2.2 EXPERIMENT, the SMEs MBD CPS users will use a simplified portfolio in the HUBCAP project website (<https://www.hubcap.eu/technologies>) in case they want to select the Call #1 PULL beneficiaries.

In the figure presented below it is possible to see the timeline for the activities expected for Call #2.2 EXPERIMENT.

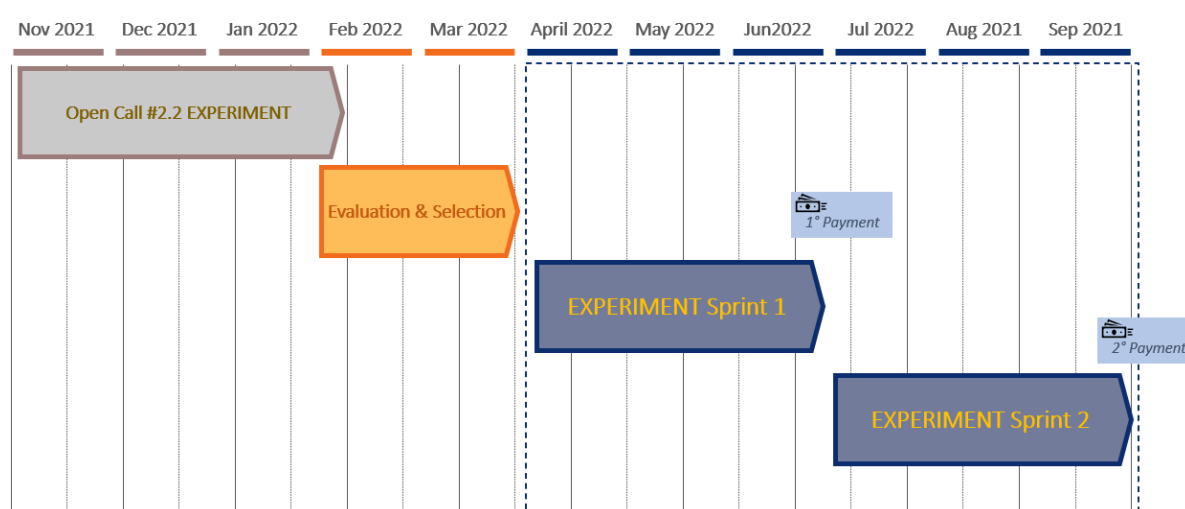


Figure 4: Call #2.2 EXPERIMENT activities timeline

The selected EXPERIMENT project proposals will have a total duration of 4–6 months, and are divided into two interactive stages named Sprints, each with a duration of 2 to 3 months to ensure a fast pace

and quality of the interactive development and integration of the proposed project. Under the Call #2.2, the Sprint 1 will be held from **April to June 2022**, followed by the Sprint 2 held from **July to September 2022**.

## 2 General Information

### 2.1 Means of submission

The F6S platform ([www.f6s.com/hubcap-call-2.2-experiment/apply](http://www.f6s.com/hubcap-call-2.2-experiment/apply)) will be the entry point for all proposal's submission to HUBCAP Open Call #2.2 EXPERIMENT. 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 adoption and implementation of one or various MBD CPS products & services, 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 5: Sub-grant Agreement Template**, and **Financial Identification Form** are provided for reference and will only be requested if the consortium is accepted in Call #2.2 EXPERIMENT for the deployment of MBD CPS products/services either by integrating the HUBCAP ecosystem offers in their products or implementing these in a new MBD CPS solution.

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

## 2.4 Origin of the 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.**

The 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.

## 3 Eligibility Criteria

HUBCAP invites market-oriented SMEs, namely one MBD CPS user/adopter and one MBD CPS providers, either from the HUBCAP ecosystem or outside it, to establish a consortium of two SMEs, and to present a project proposal in which they can experiment with MBD tools either by integrating the existing HUBCAP offers or by implementing a new solution.

### 3.1 Beneficiaries Eligibility

The HUBCAP Open Call #2 EXPERIMENT will fund a consortium composed by two 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/EC<sup>1</sup> and the SME user guide<sup>2</sup> are eligible.

In addition, an SME is considered eligible for HUBCAP open Call #2 EXPERIMENT if it complies will ALL the following rules:

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<sup>1</sup> European Commission Recommendation 2003/361/EC. <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2003:124:0036:0041:en:PDF>

<sup>2</sup> SME definition [http://ec.europa.eu/enterprise/policies/sme/files/sme\\_definition/sme\\_user\\_guide\\_en.pdf](http://ec.europa.eu/enterprise/policies/sme/files/sme_definition/sme_user_guide_en.pdf)

- 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. it's a provider of MBD CPSs technology, and a new or existing user/adopter of MBD CPS technology,
- e. **Has not received, nor would exceed if the project is funded, over 100.000EUR from projects under the I4MS<sup>3</sup> Initiative or Smart Anything Everywhere<sup>4</sup> (SAE) Initiative.**

**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 2: Honour Declaration**, **Annex 3: SME Declaration**, **Annex 4: Consortium Declaration of Honour** and **Annex 5: Ethics Self-Assessment Form** are mandatory for a proposal submission for the HUBCAP open Call #2.2 EXPERIMENT.

In case the SME provider of MBD CPS technology is not from the HUBCAP ecosystem, then it is mandatory that the **Annex 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 #2.2 EXPERIMENT.** 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 #2.2 EXPERIMENT is a minimum of 30.000EUR and a maximum of 75.000EUR.**

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<sup>3</sup> <https://i4ms.eu/projects>

<sup>4</sup> <https://smartanythingeverywhere.eu/funding/projects/>



## 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 an MBD CPS SME provider and a MBD CPS SME user/adopter,
- The New Asset Description document (as given in **Annex 1**), if the SME provider is not from the HUBCAP ecosystem,
- Signed Declaration of Honour (as given in **Annex 2**) and SME Declaration (as given in **Annex 3**) by both partners of the consortium, stipulating that the entity is 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 4**) by both partners of the consortium,
- Signed Ethics Self-Assessment Template (as given in **Annex 5**) by both partners of the consortium,
- The application is finalized,
- The application is written in English,
- The existence of the same SME in multiple Consortia under Call #2.2 EXPERIMENT.

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 EXPERIMENT calls is concluded, to ensure a fair process. HUBCAP Call #2.2 EXPERIMENT 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 #2.1 EXP and with

			<p>the general objectives of the project. Is evaluated according to the following criteria:</p> <ul style="list-style-type: none"> <li>• Clarity and pertinence of the objectives,</li> <li>• Excellence, innovation, and quality of the objectives,</li> <li>• How innovative it is (demonstrate the innovation potential compared to the existing technology and/or solutions available on the market).</li> </ul>
3	Impact	1 – 10	<p>Development outcomes, business scalability/replicability, and targeted markets through a go-to-market strategy.</p> <p>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.</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>
4	Value	1 – 10	<p>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.</p>
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>

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.**

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.

Each proposal will be evaluated by two external evaluators. They will record their individual opinion of each proposal on an Individual Evaluation Report. They will then communicate to prepare a single Consensus Evaluation Report (CER) for each proposal, representing opinions and scores on which the evaluators agree and which they will sign.

### 4.3 Selection Process

At the end of the evaluation process, all proposals will be ranked based on their scores. The list of accepted project proposals at remote evaluation will be published as well as the information about the rejected proposals.

Once the evaluation process is concluded, a selection period will follow and it will be concluded 2 months after the calls are closed, in order to inform applicants in advance of their participation in the project. The selection of project proposals will be based on the prior criteria presented and based on the external evaluators CER.

**At the end, we aim to select up to 15 project proposals and up to 5 others will remain in a reserve list in case a selected project proposal fails to enter the HUBCAP Call #2.2 EXPERIMENT.**

All candidates 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).

All evaluators will receive the evaluation guidelines, templates, and will be duly informed about the timing for an agile process and conflict of interest issues. Also, all external evaluators and technology/sector-wide experts will sign a declaration of impartiality and no-conflicts of interest.

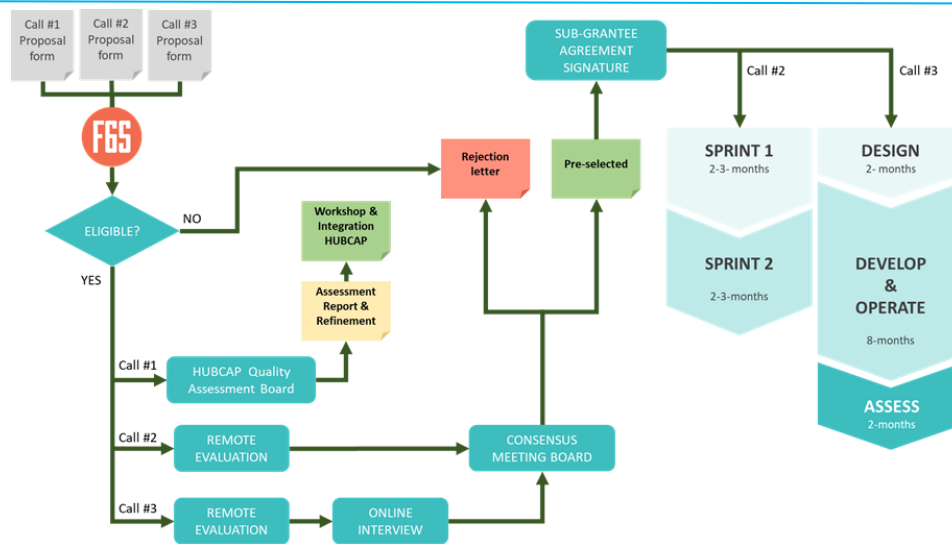


Figure 5: HUBCAP Programme evaluation and selection process.

## 4.4 Redress Process

Within 3 working days of the delivery of a rejection letter considering the project proposal as not eligible or an CER, 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 #2.2 EXPERIMENT 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 CER 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 #2.2 EXPERIMENT.

### 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:

- **The Guidelines for Applicants**, this document.
- **Annex 1: New Asset Description**, a form in which the SME provider that has a new asset, will inform the HUBCAP consortium of the basic technology needs and allow its respective asset integration in the project platform.
- **Annex 2: Applicant Declaration of Honour**, which declares that all conditions of the Open Call #2.2 EXPERIMENT are accepted by the SMEs legal representatives.
- **Annex 3: SME Declaration**, which evaluates the status of the SMEs participating at the Open Call #2.2 EXPERIMENT.
- **Annex 4: Consortium Declaration of Honour**, which provides information about the consortium leader and the budget allocated per SME and declares that all conditions on exclusion criteria and absence of conflict of interest between the Consortium and the Contractor are accepted.
- **Annex 5: Ethics Self-Assessment Form**, which summarizes potential ethics issues that a project proposal could raise.
- **Frequently Asked Questions & answers** published at the project website respective page (<https://www.hubcap.eu/fag>).

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](http://www.f6s.com)), to be able to access the HUBCAP F6S page ([www.f6s.com/hubcap-call-2.2-experiment/apply](http://www.f6s.com/hubcap-call-2.2-experiment/apply)). 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 two (2) SMEs Consortia are requested to apply online and answer to all mandatory questions (with no exception) at: [www.f6s.com/hubcap-call-2.2-experiment/apply](http://www.f6s.com/hubcap-call-2.2-experiment/apply)
- In case the SME provider does not come from the HUBCAP ecosystem, applicants must submit along with their proposal the respective **Annex 1: New Asset Description**, where the SME provider 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 4: 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 2: Declaration of Honour** and **Annex 3: SME Declaration**. Applicants who fail to do so will not be considered eligible.
- All applicants must fill in, sign, and upload the **Annex 5: Ethics Self-Assessment Form**. 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](http://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](mailto: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 [HUBCAP Call #2.2 EXP dedicated page at F6S platform](#). 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 **2<sup>nd</sup> February 2022, 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 Funding Limitation

On the particularity of Call #2.2 EXPERIMENT, 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 experiments proposals will be part of the evaluation process. The amount of financial support given will be calculated on the basis of estimated costs. For Call #2.2 EXPERIMENT the amount of a funding is **between 30.000EUR and 75.000EUR**, per consortium of 2 SMEs.

**Minimum funding of 30.000EUR and maximum funding of 75.000EUR**, divided in two stages:

- Sprint 1 (50%): milestone of interactive development; and
- Sprint 2 (50%): milestone of integration of proposed project.

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.

### 6.2 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) or SAE (Smart Anything Everywhere) 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 #2.2 EXPERIMENT 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.

### 6.3 Criteria for payments during the Experiments Execution

The evaluation will be made by the HUBCAP team members that will be allocated to each Experiment. These teams are composed by the DIHs partners, and they will have the responsibility to evaluate, monitor and following up the work progress of the Experiments. This evaluation will trigger the distribution of funds as set in the table below.

*Table 5: Call #2.2 EXPERIMENT Payments & Timeline*

SPRINT 1 - Interactive Development		SPRINT 2 – Experiment Integration	
APR to JUN 2022*	JUL 2021*	JUL to SEP 2022*	OCT 2022*
<b>Experiments interactive development</b>	50% of the sum is given upon the successful completion of KPI (see 6.3.1)	<b>Experiments outcomes integration</b>	50% of the sum upon the successful completion of KPI (see 6.3.2)

*\*These are provisional dates.*

Payments will be made according to a staged payment arrangement based on the successful completion of specified milestones and reviews. After each Experiment review and successful evaluation of each deliverable, its costs will become eligible. Deliverables that are not accepted will be given a period of **three (3) days** to be improved, after which they will be re-evaluated. **In case the deliverable assessment is once more unsatisfactory, the cost associated to the report will be revised and will be automatically reduced from the SGA (see section 6.4.2).**

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 Experiments corresponds to each reporting SPRINT.

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 ***Sub-grant Agreement***.

### 6.3.1 SPRINT 1

The SPRINT 1 is associated with the starting of the experiment regarding its interactive development and will have a maximum duration of three (3) months. Within this SPRINT, consortia must deliver a report about their experiment design and development, including the KPIs of SPRINT1.

The SPRINT 1 should include the following:

- Report with the proof that the defined KPIs of SPRINT1 are reached,
- Description of the technology usage (MBD & CPSs),
- Status of the Experiment development and next steps for SPRINT 2,
- Description of how the experiment will run in the HUBCAP platform.

For SPRINT 1 Deliverables consortia beneficiaries need to demonstrate how they carried out the 1st phase of their experiment and if they have successfully finalised their interactive development, based on objectively measured KPIs. Associated with a positive assessment of the 1<sup>st</sup> Deliverable from the HUBCAP review team, **payment of 50% of the project funding will be released.**

### 6.3.2 SPRINT 2

The SPRINT 2 corresponds to the final phase of the experiments, namely its integration in the HUBCAP platform, and will have a maximum duration of three (3) months. Within this SPRINT, consortia must further develop and carry out the experiment.

The SPRINT 2 should include the following:

- Show results of the Experiment, including diagrams or visualisations,
- Insights of challenges and how they are solved,
- If the platform was used: how the platform helped,
- Report with the proof that the defined KPIs of Sprint 2 are reached,
- Success Story – Report (incl. video).

At the end of **SPRINT 2** an asset must be added to the HUBCAP platform. So, in the SPRINT 2 Deliverable consortia beneficiaries need to demonstrate how they carried out the 2<sup>nd</sup> phase of their experiment and if they have successfully integrated a new asset as a new model created by the SMEs

or if they combined a model and a new model-based services integrating already existing assets. The **final payment, that corresponds to the remaining 50% of the project funding**, will be made after the positive assessment of the 2<sup>nd</sup> Deliverable from the HUBCAP review team.

## 6.4 Experiments Support and Review

### 6.4.1 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 experiments' milestones/deliverables.

To each engaged project it will be assigned two (2) HUBCAP members of the consortium (team), who will be the direct connection/support from the remaining consortium members. 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 use in their experiments.

### 6.4.2 Experiments Review

Each Experiment will go through 2 reviews, each one highlighting the end of a SPRINT. The Experiment review will be held on the basis milestones and KPIs defined by the consortia in their applications and accordingly to SPRINT 1 specifications.

Prior to each deliverable 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 deliverables 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 deliverables assessment is concluded, the reviewers will inform all the consortia of the deliverables results.

At the end of each evaluation SPRINT, 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 deliverables, after which they will be re-evaluated.

#### ***SPRINT 1 – Interactive Development***

If a consortium receives a negative assessment for the SPRINT 1 Deliverable, 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 deliverables, upon which they will communicate the outcomes. In case the consortium receives once more a negative assessment:

- The respective consortium will **only receive 25% of the SPRINT 1** experiment funding and proceed to SPRINT 2.



**SPRINT 2 – Interactive Development**

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

- The respective consortium will **only receive 25% of the SPRINT 2** experiment funding.

Deliverables that have not reached a positive assessment from SPRINT 1 & SPRINT 2 will be given a chance to be re-evaluated at the end of SPRINT 2. 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 deliverables and issue the final results. **In case the deliverables results are not satisfactory, the pending 50% payment of the deliverables 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 #2.2 EXPERIMENT

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 consortium members of the Call #2.2 EXPERIMENT. 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 3 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.
- **FIF 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 2 Declaration of Honour:** signed and stamped.
- **Annex 4 Consortium Declaration of Honour:** signed and stamped.

It should be emphasised that each **SME should provide at Sub-Grant agreement preparation time a valid VAT<sup>5</sup>. 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.

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 4**).

Please note:

- The sub-grant agreement (contract) will cover the complete 2 phases: Sprint 1 and Sprint 2,
- The sub-grant agreement (contract) will automatically expire at the end of Sprint 2 phase, without any further notice from the HUBCAP consortium, or if the **Consortium Declaration of Honour** has been violated.

The selected consortia must submit the signed Sub-grant Agreements (Contracts) to the HUBCAP Coordinator (AU) using the following email address: [oc.administrative@hubcap.eu](mailto: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 #2.2 EXPERIMENT and the vouchers may be granted to other consortia from the reserve list.

## 8 Responsibilities of beneficiaries

The selected SMEs of Call #2.2 EXPERIMENT 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).

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<sup>5</sup> To be checked at European Commission services such as [http://ec.europa.eu/taxation\\_customs/vies/](http://ec.europa.eu/taxation_customs/vies/)

The obligations that are applicable to the recipients include<sup>6</sup> successfully accomplishing the adoption and deployment of HUBCAP MBD technologies in the field, attracting, and engaging new users and validating HUBCAP products & services portfolio, 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.

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 #2.2 programme and for five years after the end of the Call #2.2 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 #2.2 EXPERIMENT 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

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<sup>6</sup> 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.

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 #2.2 EXPERIMENT 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](http://www.hubcap.eu)

Apply via: [www.f6s.com/hubcap-call-2.2-experiment/apply](http://www.f6s.com/hubcap-call-2.2-experiment/apply)

F6S Q&A: <https://www.f6s.com/hubcap-call-2.2-experiment/discuss>

HUBCAP Service Centre: [info@hubcap.eu](mailto:info@hubcap.eu)

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

HUBCAP Coordinator (for contractual aspects and payments): [oc.administrative@hubcap.eu](mailto:oc.administrative@hubcap.eu)

## 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](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 1: New Asset Description Template**  
November/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 organised 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 the experiment, 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, help-desk, 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 #2.2 EXPERIMENT. The application form for SMEs under the HUBCAP Open Calls EXPERIMENT, exclusively available online at [www.f6s.com/hubcap-call-2.2-experiment/apply](http://www.f6s.com/hubcap-call-2.2-experiment/apply), provided here for reference, contains 11 open questions and it's 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. **Experiment Title.**  
*Indicate the Experiment title as given in your project proposal application.*
2. **Experiment 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 experiment. 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-g-trl\\_en.pdf](https://ec.europa.eu/research/participants/data/ref/h2020/wp/2014_2015/annexes/h2020-wp1415-annex-g-trl_en.pdf)

**11. What forms of modelling and/or notations are supported?**

## 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 2: Declaration of Honor** November/2021

<b>Name of the Organisation</b>	
<b>Proposal title</b>	
<b>Month/Year</b>	



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 \_\_\_\_\_,<sup>1</sup> 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 #2 EXPERIMENT. The above-mentioned SME can only submit one asset application to this Open Call #2.2 EXPERIMENT.
- 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 #2.2 EXPERIMENT documents and all Annexes and will fully respect any evaluation decision and application selection under HUBCAP Call #2 EXPERIMENT.
- 4) The information included in the **Annex 3: 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:**

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

<sup>1</sup> 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.

## Declaration of Honour on exclusion criteria and 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 #2.2 EXPERIMENTS documents *Annex 1, Annex 2, Annex 3, Annex 4, and Annex 5*.
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** November/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:

- ☐ 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.
- ☐ 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.
- ☐ 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



## 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 SME<sup>1</sup> 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 influence<sup>2</sup>.

#### ***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%<sup>3</sup> or more in any other enterprise,
- and is not 25%<sup>3</sup> or more owned by any enterprise or public body or jointly by several linked enterprises or public bodies, apart from some exceptions<sup>4</sup>,
- 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 enterprise<sup>5</sup>.

#### ***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:

---

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

<sup>2</sup> Definition, Article 3

<sup>3</sup> 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)

<sup>4</sup> 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)

<sup>5</sup> - 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 it<sup>5</sup>.

### ***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 accounts<sup>6</sup>, 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 UNITS<sup>7</sup>**

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?**

---

<sup>6</sup> 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).

<sup>7</sup> 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 enterprise<sup>8</sup> (see explanatory note)

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

(\*) 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.

<sup>8</sup> Definition, Article 6 paragraphs 2 and 3

<sup>9</sup> 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).

<sup>10</sup> 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

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

(\*) 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 number<sup>11</sup> .....

Names and titles of the principal director(s)<sup>12</sup> .....

### 2. Raw data regarding that partner enterprise

Reference period			
	Headcount (AWU)	Annual turnover (*)	Balance sheet total (*)
<b>Raw data</b>			

(\*) 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 enterprise<sup>13</sup>. If necessary, add “linkage sheets” for the enterprises which are not yet included through consolidation.

### 3. Proportional calculation

- a) Indicate precisely the holding<sup>14</sup> 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 (*)
<b>Proportional results</b>			

(\*) EUR 1 000.

<sup>11</sup> To be determined by the Member State according to its needs

<sup>12</sup> Chairman (CEO), Director-General or equivalent.

<sup>13</sup> Definition, Article 6 paragraph 3, first sub-paragraph

<sup>14</sup> 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.



## 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 consolidation<sup>15</sup>.

#### 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 (**)
<b>Total</b>			

(\*) 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.			

<sup>15</sup> Definition, Article 6 paragraph 3, second sub-paragraph



<b>Total</b>			
--------------	--	--	--

(\*) 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. (*)			
<b>Total</b>			

(\*) 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 number<sup>16</sup> .....

Names and titles of the principal director(s)<sup>17</sup> .....

### 2. Data on enterprise

Reference period			
	Headcount (AWU)	Annual turnover (*)	Balance sheet total (*)
<b>Total</b>			

(\*) 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 consolidation<sup>18</sup>.

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.

<sup>16</sup> To be determined by the Member State according to its needs

<sup>17</sup> Chairman (CEO), Director-General or equivalent.

<sup>18</sup> 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 4: Consortium Declaration of Honour** November/2021

<b>SME Consortium Leader</b>	
<b>SME Consortium Partner</b>	
<b>Experiment title</b>	
<b>Month/Year</b>	



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 number<sup>1</sup>\_\_\_\_\_, 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 number<sup>2</sup>\_\_\_\_\_, 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],

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.

<sup>1</sup> 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.

<sup>2</sup> 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.

By signing this declaration, all Consortium SMEs declare that they are not members of any other competitive Consortium in HUBCAP Call #2.2 EXPERIMENT. 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 Call #2.2 EXPERIMENT Guidelines for Applicants.

### 1. SME Consortium leader

<b>Company name</b>	
<b>Full address</b>	
<b>Country</b>	
<b>Legal representative</b>	
<b>Estimated budget share</b>	<b>Funding from min 30.000EUR to max 75.000EUR</b>  <b>Sprint 1</b> _____ (EUR) <b>Sprint 2</b> _____ (EUR)  <b>TOTAL:</b> _____ (EUR)*
<b>Bank information</b>	
<b>Bank Name</b>	
<b>Branch Address</b>	
<b>Postcode</b>	
<b>Town/City</b>	
<b>Country</b>	
<b>IBAN number / Account number</b>	
<b>SWIFT code</b>	
<b>Legal representative signature and stamp (stamp if applicable)</b>	

\* 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**

<b>Full address</b>	
<b>Legal representative</b>	
<b>Estimated budget share</b>	<b>Funding from min 30.000EUR to max 75.000EUR</b>  <b>Sprint 1</b> _____ (EUR) <b>Sprint 2</b> _____ (EUR)  <b>TOTAL:</b> _____ (EUR)*
<b>Legal representative signature and stamp (stamp if applicable)</b>	

\* 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 5: Ethics Self-Assessment Form**  
November/2021



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

## ETHICS ISSUES TABLE – CHECKLIST

Table 1: Ethical Issue Table



	YES
<b>Informed Consent</b>	
• 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?	
<b>Research on Human embryo/fetus</b>	
• Does the proposal involve Human Embryos?	
• Does the proposal involve Human Fetal Tissue / Cells?	
• Does the proposal involve Human Embryonic Stem Cells?	
<b>Privacy</b>	
• 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?	
<b>Research on Animals</b>	
• 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?	
<b>Environmental Protection and Safety</b>	
• 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?	
<b>Research Involving Developing Countries</b>	
• Use of local resources (genetic, animal, plant etc)	
• Benefit to local community (capacity building i.e. access to healthcare, education etc)	
<b>Dual Use</b>	
• Research having direct military application	
• Research having the potential for terrorist abuse	
<b>ICT Implants</b>	
• Does the proposal involve clinical trials of ICT implants?	



I CONFIRM THAT NONE OF THE ABOVE ISSUES APPLY TO MY PROPOSAL	YES/NO
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## 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 contain:

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