



Innovation Takes Off

Principles of the *Clean Sky 2* Call for Proposals

L'appel à propositions CfP 04 – Bonnes pratiques pour candidater
Michel GOULAIN, Project Officer Clean Sky

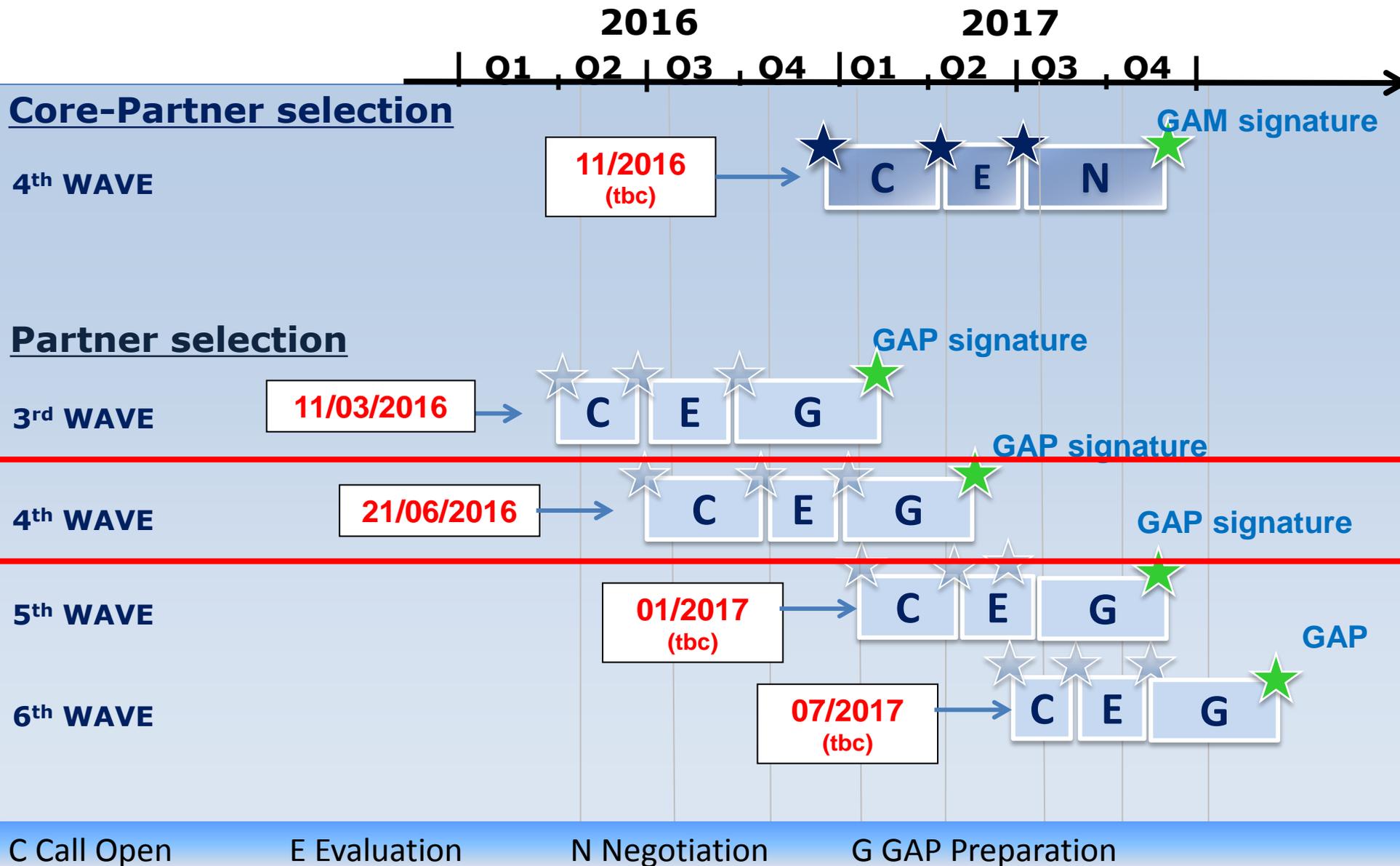
Toulouse, 9 Septembre 2016

Innovation Takes Off

www.cleansky.eu



CS2 Overall High-level Call Planning for 2016-2017



4th Call for Proposal at a glance

- | | |
|----------------------------------------|-----------------|
| ■ Call Launch | 21 June 2016 |
| ■ Call Closure | 05 Oct 2016 |
| ■ Evaluation Phase | Oct – Nov 2016 |
| ■ Q&A last publication* | 6 September |
| ■ Technical sessions & GAP preparation | Q4 2016-Q1 2017 |
| ■ Indicative Start date of activities | Q2 2017 |

*Questions received until 16th August will be answered after analysis and published in a Q&A where appropriate. The publications of Q&As are foreseen: 19th July, 11th August and 6th September 2016 (estimated dates).

The call contains **57 Topics** with total available funding of **~48 M€**

For questions : Info-Call-CFP-2016-02@cleansky.eu

Find out more:

- Clean Sky 2 via www.cleansky.eu
- CfP04 Call and background information via the **EC Participant Portal**

22/06/2016

CFP04 Call @ Launch - Overview

Area	No. of topics	Indicative Funding (in M€)
IADP Large Passenger Aircraft	13	10.60
IADP Regional Aircraft	5	3.18
IADP Fast Rotorcraft	5	3.50
ITD Airframe	15	9.80
ITD Engines	9	8.56
ITD Systems	10	12.28
TA Small Air Transport (SAT)	(2)	(2.00)
TA ECO Design 2	-	-
TA Technology Evaluator 2	-	-
TOTAL	57	47.92

Note: Figures in brackets indicate that these activities are identified as having benefits for the Transverse Areas i.e. SAT and ECO Design but which launch and budget reside inside the concerned SPDs and not in the Transverse Areas as such.

- **At least 30%** of CS2 EU Funding allocated via competitive CfP [and/or CfT]
- Particular attention to be paid to participation of SMEs
- 12 – 15 calls in total expected through to 2020
- The topics are roughly equally balanced across the 2 type of actions “RIA or IA”

Partners: Definition and Role

- Selected via Calls for Proposals (2 to 3 launched per years)
- Short/medium-term commitment;
- Level and quality of resources adequate for the Topic concerned;
- Competences / capabilities necessary to carry out the activities aiming at developing new knowledge, new technologies and solutions contributing to the action;
- The scope and perimeter of activities is defined from the beginning and might be of various type (study, design, simulation, development, manufacturing, integration etc.);
- The activities are limited in time and closely related to the needs as proposed by IADP/ITD Steering Committees and approved for CfP launch by the CSJU;
- The activity is defined and will be technically lead by the Topic Manager following the technical roadmap/goals of the ITD/IADP

Partner Topic Description

The **Topic descriptions**:

- Part of the Work Plan 2016-2017 approved by the board of the CSJU (provides the detailed technical description of each topics)
- Describe the tasks as defined by the Topic Manager (representing a Member of the ITD/ IADP) based on the objectives of the ITD/IADP
- Aligned with the CS2 Joint Technical Programme in support of HLOs of each ITD/IADP/TA (JTP: the strategic vision of the programme)
- Define the nature of the action: **RIA** (Research and Innovation) or **IA** (Innovation)

They contain the following :

- **Activities & outputs** as required within the IADP/ITD
- **Indicative topic values** (funding in M€)
- **Capabilities and technology areas** concerned
- **Timeline**
- **Deliverables & Milestones**

Partner Topic Description (example)

Type of action (RIA or IA)	IA		
Programme Area	LPA		
Joint Technical Programme (JTP) Ref.	WP1.1.3 – Open Rotor Demo Engine (CROR)		
Indicative Funding Topic Value (in k€)	2000 k€		
Duration of the action (in Months)	72 months	Start Date ¹	09-2015 (T0)

Identification	Title
JTI-CS2-2014-CFP01-LPA-01-01	Open Rotor Engine Mounting System
Short description (3 lines)	
Design, manufacture, assembly and instrumentation of an Engine Mounting System for CROR Flight Test Demo Engine; EMS Set for characterization and validation through Partial tests: manufacture, assembly and instrumentation, mechanical tests.	

3. Major Deliverables / Milestones and schedule (estimate)

Deliverables			
Ref. No.	Title - Description	Type(*)	Due Date
D1	<u>Mount systems development plan</u> Including detailed risk analysis and mitigation proposal and a preliminary test pyramid	R	T0 + 1 month
D2	<u>Mount system preliminary design substantiation document for Preliminary design review</u> To check the feasibility and to freeze the architecture and interfaces, to identify the validation plan	R and RM	T0+10 months

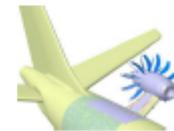
Milestones (when appropriate)

Ref. No.	Title - Description	Type	Due Date
MS 1	<u>Mount systems development plan review</u>	RM	T0 + 4 months
MS 2	<u>FTD demo Mounts System : Preliminary Design Review</u>	RM	T0 + 10 months
MS 3	<u>FTD demo Mounts System :Critical Design Review</u>	RM	T0 + 18 months

1. Background

Originating in mid to late 1970's as NASA concept studies, the Open Rotor engine has been shown to offer significant fuel savings over traditional ducted engines. Compared to these engines, the Open Rotor should save up to 40% of fuel burn. The Clean Sky 2 Open Rotor Demonstration Project aims at designing, manufacturing & testing such engine which will be installed on a pylon located on the flight tests aircraft (A340-FTD).

The scope of the project is targeting the engine mounting system, which will attach the engine on one side by the means of links and bearings and integrate into the pylon structure on the other. Depending on the final concept chosen, it may also include some form of cradle between the pylon and engine.



2. Scope of work

The scope of work of this CFP is covering the perimeter of the Engine Mounts System for the Flight Test Demo engine (FTD) and the applicant's tasks are mainly located in WP 1.1.3.2. In the first phase, the applicant is required for checking the feasibility, freezing the architecture and interfaces, and for identifying the validation plan in order to comply with the EMS specifications that will be provided by the Engine Manufacturer and the Airframer in WP 1.1.3.1.

In the second phase, the applicant will perform preliminary design, detailed design, manufacture of three sets of EMS:

- Pass-off test demonstrator EMS
- CROR FTD demonstrator EMS
- Component Test EMS

As well as:

- instrumentation and partial tests of Component Test EMS
- instrumentation and support for pass-off test of CROR FTD demonstrator EMS
- instrumentation and support for flight test of CROR FTD demonstrator EMS

Tasks associated with the activities "Instrumentation and support for pass-off and flight test of CROR FTD demonstrator EMS" will be located in WP 1.1.3.3.

4. Special skills, Capabilities, Certification expected from the Applicant(s)

- Experience in design, manufacturing, testing and certification of aircraft engine mounts is mandatory
- Experience in elastomeric dampers is mandatory
- Experience in dynamic and vibration engine complex environment analysis is mandatory
- Experience in test bench design and modification is mandatory
- Experience in endurance tests or other relevant tests contributing to risks abatement is mandatory
- Availability of test benches to support test campaign is mandatory
- English language is mandatory

CfP04 Call text

- CfP04 Call documents via the [EC Participant Portal](#):

Proposal templates are available after entering the submission tool below
The following are examples of the Model Grant Agreements.
[H2020 Clean Sky 2 JU MGA for Partners - Multi-Beneficiary](#)
[H2020 Clean Sky 2 JU MGA for Partners - Mono-Beneficiary](#)

6. **Additional provisions:**

Clean Sky 2 Budget Flexibility:
see Part G of the General Annexes of the [Clean Sky 2 JU Work Plan](#).

7. **Open access must be granted to all scientific publications resulting from Horizon 2020 actions, and proposals must refer to measures envisaged.** Where relevant, proposals should also provide information on how the participants will manage the research data generated and/or collected during the project, such as details on what types of data the project will generate, whether and how this data will be exploited or made accessible for verification and re-use, and how it will be curated and preserved.

8. **Additional documents:**
[Clean Sky 2 Joint Technical Programme](#)
[Clean Sky 2 JU Financial Rules](#)
[Clean Sky 2 JU Regulation of establishment](#)
[Horizon 2020 Regulation of Establishment](#)
[Horizon 2020 Rules for Participation](#)
[Horizon 2020 Specific Programme](#)

Additional documents

[Download all documents](#)
(PDF only, incl. the additional docs.)

[Full and Formal Description of Topics \(Annex of Work Plan\) .en](#)

[Clean Sky 2 Work Plan .en](#)

[Proposal Template PART B.I .en](#)

[Proposal Template PART B.II .en](#)

[Proposal Template PART C .en](#)

[Proposal Template PART D .en](#)

[Guidance for optional Part C of proposals - European Structural and Investment Funds .en](#)

[Rules for submission, evaluation, selection, award and review procedures of Calls for Proposals .en](#)

[Mono-Beneficiary Model Grant Agreement for Partners .en](#)

[Multi-Beneficiary Model Grant Agreement for Partners .en](#)

[Horizon 2020 Annotated Model Grant Agreement - Link to document .en](#)

[Model Implementation Agreement \(13 March 2015\) .en](#)

[ITD / IADP Model Consortium Agreement .en](#)

The Templates for drafting proposals will also be available in the submission system (SEP).

CS2 Joint Technical Programme (for size reasons this very large doc can be downloaded separately in section 8 under the topic conditions and documents tab)



Annex III:
4th Call for Proposals (CFP04):
List and Full Description of Topics

Call Text

- 21 June 2016 -

Applicant's Proposal Submission System (1/2)

- Opening of the Submission System via the [Participant Portal \[PP\]](#) soon after 24 June 2016
- Requirements to access to the submission system and submit your proposal :
 - ECAS ID account
 - European Commission Authentication System
 - Unique Identifier is your e-mail address so be consistent in using it
 - PIC – Participant Identity Code
 - Unique per Legal Entity – Avoid duplicates
 - Temporary versus validated PIC
- Please note:
 - **On-line** Submission of Proposals only [no other method i.e. e-mail, etc.]
 - **Deadline is absolute** (Brussels Time)

Applicant's Proposal Submission System (2/2)

Templates for submitting a valid proposal:

1. Part A *[Administrative Section (Coordinator ID, Legal LEAR etc.)]*
2. Part B.I *[Technical Section: 3 EVAL Criteria and technical and financial content linked to DoA]*
3. Part B.II *[Admin Section: members of consortium (participants, operational capacity, etc.), (potential) ethics and security issues identified by the applicant]*
4. Part C *[ESIF Work Packages] – (Optional)*
5. Part D *[Declaration on the Participation of any Affiliated Entities to Private Members of CS2JU in this Proposal and Declaration(s) of Interests]*

These templates (in pdf format) are already made available to potential applicants on the [Participant Portal](#) prior the official opening of the Submission System.

Part B.I [Technical Section: EVAL Criteria and technical and financial content linked to DoA]



Research and Innovation Actions (RIA) Innovation Actions (IA)

Call for Proposals

Partner(s) Application/Proposal Template (Technical Section)

PART B. I

- March 2016 -

PART B SUBMISSION

Your document submitted will be composed of 2 parts:

1. PART B.I

This part introduces the 3 first points which relate to an evaluation criterion for a full proposal. The applicant should complete all these points in order to validate his/her application.

⚠ This part is subject to a 70-page limitation, including the table templates as presented under the technical section of the present document.

2. PART B.II

This part introduces the 2 last points which relate to the members of consortium (participants, operational capacity, etc.), (potential) ethics and security issues identified by the applicant.

This part is complementary to PART B.I. The applicant should complete all these points in order to validate his/her application.

This part is not subject to any page limitation.

⚠ Please do not merge PART B.I and PART B.II as these documents should be submitted separately in the submission system.

PART B. I of the Partner(s) Application/Proposal Template for IA/RIA (Technical Section)
[Proposal Acronym]

1

1. Excellence
2. Impact
3. Implementation

Part B.1 [Tech Section: EVAL Criteria and DoA]

1. Excellence

- 1.1 Objectives
- 1.2 Relation to the Work Plan
- 1.3 Concept and approach
- 1.4 Ambition

2. Impact

- 2.1 Expected Impact
- 2.2 Measures to maximise impact
 - 2.2.1 Dissemination and exploitation of results
 - 2.2.2 Communication activities

3. Implementation

- 3.1 DoA— Work packages, deliverables and milestones
- 3.2 Management Structure and Procedures
 - 3.2.1 Capabilities
 - 3.2.2 Structure and procedures
 - 3.2.3 Risks
- 3.3 Consortium/ Clusters as a whole (where applicable)
- 3.4 Resources to be committed

The Three Criteria – Elaborated (1/3)

1. EXCELLENCE

Type of Actions	Aspects for Evaluation	Corresponding Ref. in the proposal template (Part B.I.)
Research and Innovation Actions; Innovation Actions	Clarity and pertinence of the objectives	§1.1
	Credibility and demonstrated excellence and ambition of the proposed approach	§1.3
	Soundness of the concept and approach;	§1.3
	Suitability of the technologies, approaches and solutions proposed with respect to the Topic description and the IADP/ITD area and objectives	§1.3
	Extent that proposed work is ambitious, has innovation potential, and is beyond the state of the art (e.g. ground-breaking objectives, novel concepts and approaches)	§1.4

The Three Criteria – Elaborated (2/3)

2. IMPACT

Type of Actions	Aspects for Evaluation	Corresponding Ref. in the proposal template (Part B.I.)
Research and Innovation Actions; Innovation Actions	The expected impact towards the objectives as described under the relevant topic	§2.1
	Enhancing innovation capacity and integration of new knowledge;	§2.1
	Strengthening the competitiveness and growth of companies by developing innovations meeting the needs of European and global markets, and where relevant, by delivering such innovations to the markets;	§2.1
	Demonstrating the congruence with and progress towards the environmental and socially relevant impacts stated for the CS2 Programme	§2.1
	Plan on exploitation of results showing the contribution on the European competitiveness in the sector	§2.2.1
	Effectiveness of the proposed measures to exploit and disseminate the project results (including management of IPR), to communicate the project, and to manage research data where relevant	§2.2.1

The Three Criteria – Elaborated (3/3)

3. IMPLEMENTATION

Type of Actions	Aspects for Evaluation	Corresponding Ref. in the proposal template
Research and Innovation Actions; Innovation Actions	Coherence and effectiveness of the application, including appropriateness of the allocation of tasks and resources;	§3.1
	Efficient and well justified application of resources for the expected outcomes and impacts → see further slides for elaboration	§3.1
	Appropriateness of the management structures and procedures, including risk and innovation management;	§3.2
	Match of technical capabilities and skills with the Topic description and congruent with the Programme objectives embodied in the topic; strategic ability to work in the topic area;	§3.1, and §3.3 (where applicable)
	Demonstrated ability to work in the topic area;	§3.2 and §3.3 (where applicable)
	Ability to work effectively within a supply chain and into an equal or higher tier industrial organization;	§3.2
	Evidence and quality of the operational resources	§3.4
	Clear demonstration of adequate level of financial and operational resources (against the indicative topic value and based on the proposed content and JU funding request;	§3.4
	Capacity of the cluster or consortium or leader to efficiently coordinate activities of the participants (where applicable).	§3.3 (where applicable)

Ethics Evaluation in Horizon 2020

- In H2020, all proposals considered for funding will be submitted to an Ethics Review.
- The CSJU will check, as appropriate, with the help of independent ethics experts - if the proposal complies with ethical principles and relevant legislation.
- All proposals must describe ethical issues raised & how they will be addressed so as to conform to national, European and international regulations.

Ethical Issues raised in Calls for Partners in Clean Sky

Typical examples from previous Calls where applicants raised an ethical issue:

- Importing/exporting for non-EU countries
- Involvement of non-EU countries
- Dual use / Exclusive focus on civil application
- Use of humans in testing (infrequent in Clean Sky)
- Personal data (data protection, Art 39.2 of the GA)
- Misuse

Third Countries (Non-EU countries)

Third Country involvement does not raise ethical issues per sé.

Only applicable when Ethical issues are raised

- ✓ **Possible ethical issues:**
 - non-compliance with Horizon 2020 ethics rules
 - health and safety risks for researchers and staff
 - the potential exploitation of research participants and/or local resources in low/lower middle income countries
- ✓ **Information to be provided:**
 - details on activities carried out in non-EU countries
 - details on type of local resources to be used and modalities for their use
 - details on type of materials or data to be exported/imported
 - details on benefit sharing measures, responsiveness to local research needs, procedures to facilitate effective capacity building (for low income countries)
 - details on safety measures
 - confirmation that the activities implemented in Third Countries comply with Horizon 2020 ethics rules
- ✓ **Documents to be provided:**
 - if applicable: copies of relevant Ethics Approvals and other authorisations or notifications
 - if applicable: Material Transfer Agreement and copies of any authorisations, authorisation for export from EU, insurance cover
- ✓ **Applicable legislation:**
 - Declaration of Helsinki: <http://www.wma.net/en/30publications/10policies/b3/>
 - Convention on Biological Diversity: <http://www.cbd.int/> and Nagoya Protocol: <http://www.cbd.int/abs>
 - Commission decisions on the adequacy of the protection of personal data in Third Countries: http://ec.europa.eu/justice/data-protection/document/international-transfers/adequacy/index_en.htm

Dual Use

In the aeronautics sector practically every technology, item, etc. has dual use potential, but this does not raise automatically an ethical issue.

Just consider the following guidance notes:

- Research focusing exclusively on civil applications
http://ec.europa.eu/research/participants/data/ref/h2020/other/hi/guide_research-civil-apps_en.pdf
(e.g. clearly state in part B if research activity is exclusively on civil applications)
- Research involving dual use items
http://ec.europa.eu/research/participants/data/ref/h2020/other/hi/guide_research-dual-use_en.pdf
(only applicable in terms of export)
- Potential misuse of research results
http://ec.europa.eu/research/participants/data/ref/h2020/other/hi/guide_research-misuse_en.pdf
(provide a risk assessment in part B and explain how you will prevent misuse)

How to get your proposal “ethics-ready” for funding

Each applicant is responsible for:

- **identifying** any potential ethics issues
- **handling** ethical aspects of their proposal
- **detailing** how they plan to address them in sufficient detail already at the proposal stage

Which part of the proposal must be checked by the ethics screener?

- Part A (ethics issues table)
- Part B: Information can be anywhere,
but special attention to the "Ethics section" in part B.II*, where the applicant must provide the ethics self-assessment, a description of the ethics issues identified and the related arrangements.

*Template available on [Participant Portal](#); see “Topic conditions and documents”

Ethics Issues Table in Part A

1. HUMAN EMBRYOS/FOETUSES ⁱ		Page
Does your research involve Human Embryonic Stem Cells (hESCs) ?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Does your research involve the use of human embryos?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Does your research involve the use of human foetal tissues / cells?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
2. HUMANS		Page
Does your research involve human participants?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Does your research involve physical interventions on the study participants?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Does it involve invasive techniques?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
3. HUMAN CELLS / TISSUES		Page
Does your research involve human cells or tissues? If your research involves human embryos/foetuses, please also complete the section "Human Embryos/Foetuses" [Box 1].	<input type="radio"/> Yes <input checked="" type="radio"/> No	
4. PROTECTION OF PERSONAL DATA ⁱⁱ		Page
Does your research involve personal data collection and/or processing?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Does your research involve further processing of previously collected personal data (secondary use)?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
5. ANIMALS ⁱⁱⁱ		Page
Does your research involve animals?	<input type="radio"/> Yes <input checked="" type="radio"/> No	

6. NON-EU COUNTRIES		Page
Does your research involve non-EU countries?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Do you plan to use local resources (e.g. animal and/or human tissue samples, genetic material, live animals, human remains, materials of historical value, endangered fauna or flora samples, etc.)?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Do you plan to import any material - including personal data - from non-EU countries into the EU? If you consider importing data, please also complete the section "Protection of Personal Data" [Box 4].	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Do you plan to export any material - including personal data - from the EU to non-EU countries? If you consider exporting data, please also complete the section "Protection of Personal Data" [Box 4].	<input type="radio"/> Yes <input checked="" type="radio"/> No	
If your research involves low and/or lower middle income countries , are benefits-sharing measures foreseen?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Could the situation in the country put the individuals taking part in the research at risk?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
7. ENVIRONMENT PROTECTION		Page
<small>vi Directive 2001/18/EC - vii Directive 2009/41/EC - viii Regulation EC No 1946/2003 - ix Directive 2008/56/EC - x Council Directive 92/43/EEC - xi Council Directive 79/409/EEC - xii Council Regulation EC No 338/97</small>		
Does your research involve the use of elements that may cause harm to the environment, to animals or plants?	<input checked="" type="radio"/> Yes <input type="radio"/> No	36
Does your research deal with endangered fauna and/or flora and/or protected areas?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Does your research involve the use of elements that may cause harm to humans, including research staff?	<input checked="" type="radio"/> Yes <input type="radio"/> No	37
8. DUAL USE ^{xiii}		Page
Does your research have the potential for military applications?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
9. MISUSE		Page
Does your research have the potential for malevolent/criminal/terrorist abuse?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
10. OTHER ETHICS ISSUES		Page
Are there any other ethics issues that should be taken into consideration? Please specify	<input type="radio"/> Yes <input checked="" type="radio"/> No	

Indicates pages in Part B of the proposal

Ethics section in Part B.II

5.1 Ethics

A **guide regarding the ethic aspects** is available via the EC Participant Portal⁴ and allows the participant to conduct a self-assessment, if necessary.

Are there any ethics issues that should be taken into consideration? If yes, please specify.

(YES/NO)

Note that if you have entered any ethics issues in the ethical issue table in the administrative proposal forms, you must:

- submit an ethics self-assessment, which:
 - describes how the proposal meets the European, 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 regard:
 - research objectives (e.g. study of vulnerable populations, dual use, etc.)
 - research methodology (e.g. protection of any data collected, etc.)
 - the potential impact of the research and the measure and safeguards which will be taken to prevent, monitor and mitigate any ethical issue (e.g. dual use issues, environmental damage, stigmatisation of particular social groups, political or financial retaliation, benefit-sharing, malevolent use, etc.).

⁴ Applicant(s) is (are) invited to conduct an ethic self-assessment of his/her proposal. For this purpose, a guide is available via the following link of the EC Participant Portal: http://ec.europa.eu/research/participants/docs/h2020-funding-guide/cross-cutting-issues/ethics_en.htm

Further information

- Ethics in H2020

http://ec.europa.eu/research/participants/docs/h2020-funding-guide/cross-cutting-issues/ethics_en.htm

- Ethics self-assessment

http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/ethics/h2020_hi_ethics-self-assess_en.pdf

- Research focusing exclusively on civil applications

http://ec.europa.eu/research/participants/data/ref/h2020/other/hi/guide_research-civil-apps_en.pdf

- Research involving dual use items

http://ec.europa.eu/research/participants/data/ref/h2020/other/hi/guide_research-dual-use_en.pdf

- Potential misuse of research results

http://ec.europa.eu/research/participants/data/ref/h2020/other/hi/guide_research-misuse_en.pdf

Efficient and well justified application of resources [1]

Requested funding, total eligible costs vs. the indicative topic value:

- ✓ The indicative topic funding value provided in the Call is an **estimate**
- ✓ Applicants must address the scope of the topic in full and submit with their proposal both requested funding **and** the **total eligible costs**
- ✓ Applicants' **resource requirements** for the proposed activity, should be detailed with due justifications and explanations (see Part B.I. - Work Package Effort)
- ✓ The applicant's **total eligible costs** of their proposal should be considered for the evaluation of the *Adequacy & Efficiency of the allocation of resources*
- ✓ The requested funding amount should not be considered as this may depend on the nature of the applicant in accordance with H2020

How to score the Adequacy & Efficiency of the allocation of resources:

- ✓ Should be based on the **total eligible costs** of their proposal
- ✓ No ceiling as such shall apply
- ✓ The proposal **must** contain due justification of any exceedance of the topic's "**Gross Budget**", which should be calculated as below
- ✓ Scores for the Implementation criterion **must** take the level of exceedance *or* potential savings [if any] vs. this Gross Budget and the justification into consideration.

For RIAs:

- Merit of the proposal wrt resource requirements stated for the technical content, in light of topic
- Total Eligible Cost to be compared to [100/100 x indicative funding of the topic] as "Topic Gross Budget"

22/06/2016

For IAs

- Merit of the proposal wrt resource requirements stated for the technical content, in light of topic
- Total Eligible Cost to be compared to [100/70 x indicative funding of the topic] as "Topic Gross Budget"

A reminder on funding rates [info only]

- ✓ Actions launched as CfP Topics and defined in the Work Plan are labelled “Research & Innovation Actions” or “Innovation Actions”
- ✓ For Innovation Actions: participants will be reimbursed 70% (*note: 100% for Non Profit Entities “NPE”*) of Total Eligible Costs (incl. a flat rate of 25% for Indirect Costs)
- ✓ For Research & Innovation Actions: all participants will be reimbursed 100% of Total Eligible Costs

Funding = YY% x (Direct Costs ⁽¹⁾ x 125%+ Subcontracting costs)

Innovation Actions: YY = 70% except for NPE where it is 100%

Research & Innovation Actions: YY = 100% for all participants

⁽¹⁾ Direct Costs include direct personnel costs + other direct costs

Prior to your application submission

Prior any submission of proposal, applicants should check the following elements:

- **Eligibility, admissibility and special conditions** [see Parts B and C of the General Annexes of the Work Plan]
- **Evaluation criteria, scoring and threshold** [see Part F of the General Annexes of the Work Plan]
- **Full evaluation procedure** [see the Rules for submission, evaluation, selection, award and review procedures for Calls for Proposals]

→ **Documents accessible** via the [Participant Portal of the European Commission](#)

Submission System: Remember

- All Call Documents on [Participant Portal](#)
- All information can be downloaded including static versions (i.e. PDF version) of on-line forms for preparatory information gathering
- Online forms and uploaded documents
- Respect size and page limits as indicated. Do not use tiny fonts or links to unofficial annexes
- Validate formats as you progress – not at the last minute !
- Can save / submit and revise many times

Clean Sky 2
4th Call for Proposals:
Legal Aspects of the Grant Agreement for
Partners (GAP)

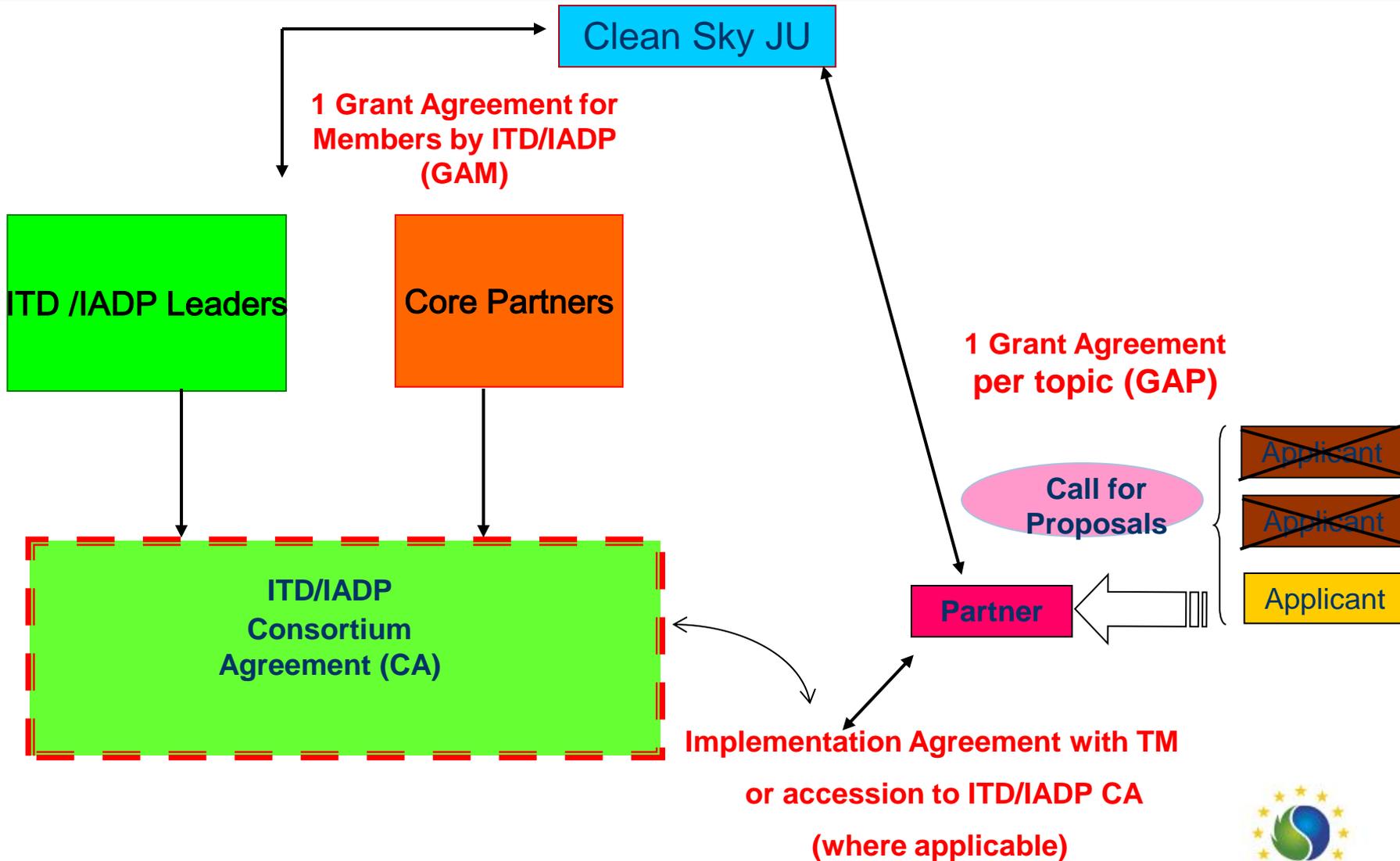
Brussels, 22 June 2016

Innovation Takes Off

www.cleansky.eu



CSJU framework



Eligibility and other conditions

Who may apply?

- single entities (SMEs, large industries, RO, Academia etc.) – so called monobeneficiary
- Consortia of legal entities
- Clusters (applying as single legal entity – if with a valid PIC - or via the linked third parties option)

Third Countries participation subject to H2020 rules, JU funding only when:

- evaluated as “essential” for the action or
- existing bilateral agreement between the EU and the third country
- envisaged in the Work Plan

Additional conditions

1. Admissibility rules:

- CSJU Leaders and their affiliated entities under H2020 definition: admissible to apply only in CfP in another ITD/IADP. Status of affiliation to be declared when applying + declaration on non conflict of interest
- Core Partners and their affiliated entities are not admissible to apply to any new CfP topic within the same ITD/IADP published on the Participant Portal after the date of the selection information letter by the CSJU. Status of affiliation to be declared in the application + declaration on non conflict of interest

2. Draft plan of dissemination and exploitation showing contribution to European competitiveness of the sector

Third Parties carrying out work in the action

➤ **Linked third parties to the beneficiaries**

- Implement part of the action and fill in its costs statement (Form C)
- Must be identified in the grant agreement (GAP)
- Will appear in Article 14 of the GAP
- Do not sign the GAP
- Affiliated entities or third parties with a legal link
- Tasks set out in Annex I to the GAP, estimated costs set out in Annex II
- Option: a joint and several liability (Annex III a) may be requested by the JU

Declaration of joint&several liability will be requested by the JU if:

- The result of the FVC of the beneficiary is weak, AND
- The linked third parties account for 50% or more of the EU contribution of the beneficiary
- The declaration may be also proposed by the beneficiary and its linked third parties if they wish to have a joint and several liability (e.g clusters where the beneficiary who signs wishes to have the third parties to be liable up to their amount of JU funding in the action)

If requested, the beneficiary must submit it to accede to the GAP

Third Parties carrying out work in the action

➤ **Subcontractors**

- Article 13 of the grant agreement
- If necessary to implement the action, the beneficiaries may award subcontracts covering the implementation of certain action tasks described in Annex I
- Ensure the best value for money (!) and avoid any conflict of interests (!) keep a file to document the choice of the contractor against best value for money
- The estimated costs and tasks of the subcontractors must be identified in the Annex II and Annex I to the GAP. If not they may be declared non eligible unless exceptionally accepted by the JU with the technical report.

Other Third Parties

- **Third parties providing in-kind contribution against payment or free of charge**
 - Article 11 & 12 of the GAP
 - Make available some of their resources (staff, facilities, labs etc..) to a beneficiary
 - Must be described in Annex I to the GAP

- **“Contracts” for the provision of goods, works or services to a beneficiary**
 - Article 10 of the grant agreement
 - Do not carry out tasks/work in the action, they only provide to a beneficiary some goods, works or services which are necessary for him to implement the action (e.g catering services, website, purchase of computers, hiring IPR consultants, etc.)
 - Do not have to be identified in Annex I to the GAP but the price for these contracts will be declared as “other direct costs” in the Annex II

Differences between subcontracts (Article 13) and other contracts (Article 10)

Article 10 Contracts to purchase goods, works or services	Article 13 Subcontracts
<p>These contracts do not cover the implementation of action tasks, but they are necessary to implement action tasks by beneficiaries.</p>	<p>Subcontracts concern the implementation of action tasks; they imply the implementation of specific tasks which are part of the action and are described in Annex 1.</p>
<p>Do not have to be indicated in Annex 1.</p>	<p>Must be indicated in Annex 1.</p>
<p>The price for these contracts will be declared as ‘other direct costs’ — column D in Annex 2 — in the financial statement; they will be taken into account for the application of the flat-rate for indirect costs.</p>	<p>The price for the subcontracts will be declared as ‘direct costs of subcontracting’ — column B in Annex 2 — in the financial statement; they will not be taken into account for the application of the flat-rate for indirect costs.</p>

Internal arrangements between beneficiaries

Consortium Agreement

- **An internal Consortium Agreement is mandatory** under Article 41.3 of the CSJU multi-beneficiary model grant agreement for partners
 - It is a private agreement between the beneficiaries and does not involve the JU
 - Deals with the rights and obligations of the beneficiaries amongst themselves but must not contradict the terms of the GAP and Annex I
 - examples: internal organisation, distribution of JU funding, additional rules on IPR, settlement of disputes, etc.
 - In principle to be concluded before signing the GAP
 - Not to be misunderstood with the ITD/IADP level CA

Relationship with the ITD/IADP Member acting as Topic Manager – Implementation Agreement

- JU specificity: complementarity nature of the topic and of the GAP to the ITD/IADP
- Under Article 41.4, beneficiaries must agree on technical implementation of the action within the IADP/ITD/TA by **acceding to the IADP/ITD Consortium Agreement** *or* by signing a bilateral **Implementation Agreement** with the topic manager, (TM) covering among others:
 - rights and obligations of the parties;
 - organisation and coordination of the work;
 - division of roles and responsibilities;
 - exploitation and dissemination of results;
 - liability;
 - settlement of disputes
- Template IA and ITD/IADP CA are published with the CfP, optional clauses may apply depending on the topic
- Depending on the ITD/IADP and topic, Partners may accede to the IADP/ITD level Consortium Agreement or sign bilaterally an Implementation Agreement
- In principle to be concluded before signing the GA or set as first deliverable in SYGMA. The signed grant preparation report must state the agreement of the parties on such a text
- During Implementation, the JU will seek the opinion of the Topic Manager who is under the GAP terms responsible for the technical monitoring of the implementation of the activities (reports, deliverables etc.)

Intellectual Property Rights – H2020 rules

✓ **Ownership**

- for the beneficiary who generates results
- joint-ownership only in specific circumstances (joint ownership agreement or consortium agreement)

✓ **Protection**

- where appropriate if results will be commercially or industrially exploited (patent, industrial design, etc.)

✓ **Exploitation**

- General obligation to exploit the results (beneficiaries receiving JU funding shall take appropriate measures to exploit the results either by themselves or by other beneficiaries/ third parties by transferring ownership or through licencing)

✓ **Dissemination**

- General obligation to disseminate (always in compliance with provisions of the Article 37 of the GA (security – related obligations) and the limitations resulting from the chosen form of the protection of the results)

NB: exploitation and dissemination will be subject to close monitoring and detailed reporting on actions taken

Intellectual Property Rights

✓ Open access

- obligatory for scientific publications and,
- to research data (in appropriate areas and if foreseen in the work programme N.A in CSJU Work Plan)

✓ Visibility of the JU funding

- Always use the JU logo and the EU emblem and standard sentence in the grant in all dissemination actions and all equipment/machineries/demos under the project, the same obligations to use the logo apply also to the subcontractors

✓ Access rights

- JU specificity: for the ITD/IADP/TA beneficiaries must give access to their background and results to the Topic Manger for implementation (Article 25.5 and 31.6 indicates the conditions under which these obligations apply).
- The access right is mutual/reciprocal vis-à-vis the beneficiaries for what needed to implement its action)

Intellectual Property Rights

✓ **Transfer and (exclusive) licences outside the Union/Associated Countries**

- Subject to the agreement of the other parties, each beneficiary may transfer ownership of its results but must ensure that obligations regarding the results apply to the new owner
- Beneficiary may grant licences to their results
- Exclusive licences may be granted only if all other beneficiaries have waived their access rights (Article 31 of the GA)
- The grant agreement will foresee the JU right to object a request of transfer of ownership or the exclusive licensing of results to a third party established in a non-EU country not associated with the H2020

Reference documents

- Horizon 2020 Annotated Grant Agreement
http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/amga/h2020-amga_en.pdf
- [CSJU GAP Model \(mono-beneficiary\)](http://www.cleansky.eu/content/homepage/reference-documents)
<http://www.cleansky.eu/content/homepage/reference-documents>
- [CSJU GAP Model \(multi-beneficiary\)](http://www.cleansky.eu/content/homepage/reference-documents)
<http://www.cleansky.eu/content/homepage/reference-documents>

Any questions?

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Last deadline to submit your questions:
16th August 2016, 17:00 (Brussels Time)

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Thank You

