



# SHAPES

Smart and Healthy Ageing  
through People Engaging in supporting Systems

## D9.4 - Open Calls for Innovation and Collaboration – Rules of Participation

<b>Project Title</b>	<b>Smart and Healthy Ageing through People Engaging in Supportive Systems</b>
<b>Acronym</b>	SHAPES
<b>Grant Number</b>	857159
<b>Type of instrument</b>	Innovation Action
<b>Topic</b>	DT-TDS-01-2019
<b>Starting date</b>	01/11/2019
<b>Duration</b>	48

<b>Work package</b>	<b>WPx – Work Package Title</b>
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<b>Version</b>	V1.0
<b>Due date</b>	M7 – 31/05/2020
<b>Submission date</b>	10/07/2020
<b>Dissemination Level</b>	PU Public



## Revision History

Table 1 Revision History

Revision #	Date	Editor	Comments
0.1	03/06/2020	Niamh Redmond (NUIM), Michael Cooke (NUIM)	Main author establishing ToC
0.2	29/06/2020	Artur Krukowski (ICOM)	Contribution
0.3	30.06.2020	Niamh Redmond (NUIM)	Format Changes
0.4	04.07.2020	Niamh Redmond (NUIM)	Comments from reviewers
1.0	10.07.2020	Niamh Redmond (NUIM)	Finalising deliverable

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## Table of Acronyms and Abbreviations

Table 3 Acronyms and Abbreviations

Acronym	Full Term
EC	European Commission
MGA	H2020 Annotated Model Grant Agreement
OC	Open Call/s
PMB	Project Management Board
SME	Small Medium Enterprise

## Keywords

Open calls, SHAPES Project, SME

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## Executive Summary

Deliverable 9.4 sets the Rules and Conditions for participation of 3<sup>rd</sup>-parties in Open Calls to be launched by the SHAPES project. This deliverable contains the preliminary aspects of adopted methodology, preliminary scope and schedule of the three anticipated Open Calls. It summarises the General Requirements for applicants including the submission process, eligibility criteria, requirements, aspects of intellectual property rights including data protection principles, all of which have been based on, and comply, with general EC directives and rules of participation in Horizon 2020<sup>1</sup>, the EC Guidance note on financial support to third parties under H2020<sup>2</sup> and Annex K of the Horizon 2020 – work programme 2016-2017<sup>3</sup>

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<sup>1</sup>[https://ec.europa.eu/research/participants/data/ref/h2020/legal\\_basis/rules\\_participation/h2020-rules-participation\\_en.pdf](https://ec.europa.eu/research/participants/data/ref/h2020/legal_basis/rules_participation/h2020-rules-participation_en.pdf)

<sup>2</sup>[https://www.ffg.at/sites/default/files/downloads/page/h2020guidancenote\\_financialsupport2thirdparties.pdf](https://www.ffg.at/sites/default/files/downloads/page/h2020guidancenote_financialsupport2thirdparties.pdf)

<sup>3</sup> [https://ec.europa.eu/research/participants/data/ref/h2020/other/wp/2016-2017/annexes/h2020-wp1617-annex-ga\\_en.pdf](https://ec.europa.eu/research/participants/data/ref/h2020/other/wp/2016-2017/annexes/h2020-wp1617-annex-ga_en.pdf)

# 1 Introduction

## 1.1 Introduction to SHAPES

SHAPES aims to create the first European open Ecosystem enabling the large-scale deployment of a broad range of digital solutions for supporting and extending healthy and independent living for older individuals who are facing permanently or temporarily reduced functionality and capabilities. SHAPES builds an interoperable Platform integrating smart digital solutions to collect and analyse older individuals' health, environmental and lifestyle information, identify their needs and provide personalised solutions that uphold the individuals' data protection and trust. Standardisation, interoperability and scalability of SHAPES Platform sustain increased efficiency gains in health and care delivery across Europe, bringing improved quality of life to older individuals, their families, caregivers and care service providers. SHAPES Large-scale Piloting campaign engages +2k older individuals in 15 pilot sites in 10 EU Member States, including 6 European Innovation Partnership on Active and Healthy Ageing (EIP on AHA) Reference Sites, and involves hundreds of key stakeholders to bring forth solutions to improve the health, wellbeing, independence and autonomy of older individuals, while enhancing the long-term sustainability of health and care systems in Europe. SHAPES's multidisciplinary approach to large-scale piloting is reflected across 7 themes that, together, provide a clear understanding of the reality of European health and care systems and enable the validation of cost-efficient, interoperable and reliable innovations capable of effectively supporting healthy and independent living of older individuals within and outside the home. Building an ecosystem attractive to European industry and policy-makers, SHAPES develops value-based business models to open and scale-up the market for AHA-focused digital solutions and provides key recommendations for the far-reaching deployment of innovative digital health and care solutions and services supporting and extending healthy and independent living of older population in Europe.<sup>4</sup>

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<sup>4</sup> SHAPES Description of Action 2019

## 2 SHAPES Open Calls

This section outlines provisional plan for launching three Open Calls by the SHAPES project, including their expected scope and schedule.

### 2.1 Open Call 1

Open call 1 will launch on M18 (April 2021) of the project with a submission deadline of M21 (July 2021), thus giving three full months for applicants to prepare and submit their applications. This has been agreed by the SHAPES Project Management Board (PMB) to be sufficient time considering the short length of the submission process (limited to 15 pages of the main proposal plus an annex without page limit covering similar information as Sections 4-5 of the model H2020 applications form) The timing of the 1<sup>st</sup> Open Call has been aligned with the delivery of the SHAPES specifications and concept architecture in M18 of the project, thus providing potential applicants with all relevant information for analysing and proposing concrete ways of integrating their proposed solutions into the integrated SHAPES architecture. This is especially important considering the short duration of such projects, expected to run for six to nine months, although other durations would be also considered if convincingly justified.

The 1<sup>st</sup> Open Call will focus on the provision of value-added solutions that will have been identified by the consortium as important complementary enablers for the SHAPES platform that are not available within the consortium, for example, new features required for running early trials by end users (example of multi-lingual Natural Language Processing capabilities) or medical standard-based procedures and technologies supporting evaluation and validation of inter-operability mechanisms designed and implemented in the SHAPES Platform. Especially the latter one, i.e. the interoperability of eHealth systems is of paramount importance for the SHAPES platform in delivering high quality healthcare and reducing healthcare costs. Therefore the PMB has agreed that there would be added value in integrating commercial industry-standard technologies to complement similar capabilities already existent within the consortium. Some of the important use cases include coordinating the care of chronic patients by enabling the co-operation of many different eHealth systems such as Electronic Health Record Systems (EHRs), Personal Health Record Systems (PHRs) and wireless medical sensor devices; enabling secondary use of EHRs for clinical research; being able to share lifelong EHRs among different healthcare providers. Therefore enhancing the SHAPES solution with new means of validation of compliance with common health and social care standards, especially new and evolving developments of standards and regulations linked with COVID-19 and possible future pandemics, would be specifically requested in such 1<sup>st</sup> Open Call, those including, but not limited to: HL7-FHIR-CDA ([https://en.wikipedia.org/wiki/Health\\_Level\\_7#Clinical\\_Document\\_Architecture\\_\(CDA\)\)](https://en.wikipedia.org/wiki/Health_Level_7#Clinical_Document_Architecture_(CDA))) for health care services, Continua Alliance

This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 857159



([https://en.wikipedia.org/wiki/Continua\\_Health\\_Alliance](https://en.wikipedia.org/wiki/Continua_Health_Alliance)) regarding Medical Device certifications with consideration for FIWARE API (FIWARE NGSI) curated framework of open source platform components useful for building Smart Solutions faster, easier and cheaper (<https://www.fiware.org>). Although achieving eHealth interoperability is quite a challenge both because there are competing standards and clinical information itself is very complex, there have been a number of successful industry initiatives such as Integrating the Healthcare Enterprise (IHE) Profiles, epSOS initiative for sharing Electronic Health Records and ePrescriptions in Europe. Verification of SHAPES against such and similar industrial standards shall be considered as added benefit.

## 2.2 Open Call 2

The 2<sup>nd</sup> Open Call is expected to be launched on M27 of the project (January 2022) with a submission deadline by end of M30 (April 2022), one-month evaluation period and fast-track project launch within a month from end of evaluations. Similarly to the 1<sup>st</sup> Open Call, projects will be expected to run for a period of six to nine months, with other durations also permitted if convincingly justified to be able to fit well to the SHAPES project timeline, especially with respect to integration and pilot trial periods.

The call will focus on extending capabilities and functionalities of the SHAPES Platform with new classes of Digital Solutions (aimed at technology developers and service providers) e.g. covering alternative chronic diseases or services, new types of medical devices (aimed primarily at manufacturers) complementing those already considered and applicable to existing Pilot Themes, not excluding IoT Platforms built for e-Health applications such as EHR/PHR systems. The aim will be to support both types of contributions, thus enabling validation of Software Development Kit (SDK) and Application Programme Interface (API) mechanisms for adding new types of external components, beyond those that have been anticipated in the project, such as solutions and devices with applications in future pandemics. Second objective would be to extend the library of options embedded into SHAPES Platform at the end of the project and before going with project solution to market.

## 2.3 Open Call 3

The 3<sup>rd</sup> Open Call will provisionally launch on month M36 of the project (October 2022) with a submission deadline on month M39 (January 2023), one month evaluation period and projects expected to start within one month after the end of the review period. Similarly to previous two Open Calls, projects funded in this one would be expected to conclude within six to nine months with longer periods permitted as long as not exceeding the termination date of the SHAPES project.

This 3<sup>rd</sup> Open Call will directly target providers of e-Health solutions and will request evaluation of the SHAPES Platform in operational environments of Health Care organisations, adding new use cases and pilot sites to the SHAPES large-scale piloting campaign, whereby dealing with actual patients and able to evaluate and confirm benefit of using SHAPES Platform in their services. Considering the need of dealing with personal data of real persons, this Open Call will be launched in the last year of the SHAPES project, after the platform has been extensively evaluated and validated such that to ensure sufficient level of reliability and compliance with ethics specifications. Technical partners from WP4 will be involved in overseeing correct technical operation of the SHAPES platform, supported by experts from WP8 to ensure flawless operation from ethical perspective as well. Such pilot activities will allow user validation and acceptance of the new digital solutions and represent a true market opportunity for new entrants.

### 3 Proposal Eligibility Criteria

The three SHAPES Open Calls aim to extend the scope of the digital solutions integrated in the SHAPES Platform in support of active and healthy ageing and independent living and to add new use cases and pilot sites to the SHAPES large-scale piloting campaign, respectively. SHAPES invites industry and SMEs across Europe to bring their innovative digital solutions to SHAPES and support their large-scale deployment in EU pilot sites. In compliance with H2020 Annotated Model Grant Agreement<sup>5</sup> Regulations;

1. Applications to the SHAPES Open Calls will be open and on equal terms to all types of operators within EU member states and associated countries. A detailed list of associated countries can be found [here](#). **For United Kingdom applicants:** “Please be aware that eligibility criteria must be complied with for the entire duration of the grant. If the United Kingdom withdraws from the EU during the grant period without concluding an agreement with the EU ensuring in particular that British applicants continue to be eligible, you will cease to be eligible to receive EU funding (while continuing, where possible, to participate) or be required to leave the project on the basis of Article 50 of the grant agreement.<sup>6</sup>”
2. Multiple submissions from the same applicants will be disqualified. Each applicant is limited to one submission per open call.
3. SHAPES Open Calls will comply with EC strategy for attracting SMEs to taking part in funded R&D activities and so the SHAPES consortium will make every effort to publicise and encourage SMEs to apply for its tenders. Further details on SMEs can be found in section 5.1 of this document.
4. Tenders shall be expected to be submitted by a single entity or in collaboration with others. The latter can involve either submitting a joint tender or subcontracting (only up to 30% of total R&D can be subcontracted, more information below), or a combination of the two approaches. Teams should assign a person as a lead tenderer (contact point) and will be considered as the administrative contact responsible for communication. A signed agreement by all members of the team is required for the assignment of the lead tender.
5. Proposals must be in English in order to be accepted.

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<sup>5</sup> [https://webgate.ec.europa.eu/funding-tenders/opportunities/aga\\_en](https://webgate.ec.europa.eu/funding-tenders/opportunities/aga_en)

<sup>6</sup> [https://webgate.ec.europa.eu/funding-tenders/opportunities/content/article-501-%E2%80%94-termination-agreement-beneficiaries\\_en](https://webgate.ec.europa.eu/funding-tenders/opportunities/content/article-501-%E2%80%94-termination-agreement-beneficiaries_en)

6. Applicant's cannot be associated with any of the SHAPES consortium partners, i.e. work for a partner or have any other contractual relationship with them.

## 4 General Requirements

### 4.1 *Submitting an Application*

1. Applicants will have to apply through the SHAPES application portal (<https://www.f6s.com/SHAPES>). Any other means of submission will not be registered. Additional unrequested material, will not be considered for the evaluation of the proposals. Data not included in the proposal will not be taken into account. The consortium will keep all provided data confidential.
2. The review process will be conducted by persons nominated from the SHAPES consortium members and will include at least one person involved in the definition of needs for a specific solution that is applied for by a third party. Such persons will be required to declare being free of direct and indirect conflict of interest. The evaluation period shall be one calendar month and will include both the remote peer-review and the consensus meeting. The SHAPES team managing Open Calls shall make all reasonable effort to provide evaluation results and reach funding decisions within a calendar month from the submission deadline.
3. Proposals must be submitted before the submission deadline, clearly stated in each Open Call. The open calls will be open from midnight (CET time zone) on the publication date with the submission cut-off time at 17pm CET on the submission deadline date. Applications must be submitted by the closing time and date of the open call. The time recorded by the F6S portal shall be considered as the actual submission time for the purpose of submission eligibility purposes, as submission time of the proposal, will be the official one. Late proposals will not be admitted.
4. Once the tender is submitted, the applicant will receive a notification about the proposal registration.
5. A consultation team from the SHAPES project will be available to answer any inquiries on different kinds of matters, those composed of partners having originally identified a need for a specific type of solution called for in an Open Call. SHAPES project will respond only to the lead tender, via the applications portal. No information shall be provided that could be considered as advantageous for proposers over any other applicant.
6. The evaluation process will be carried out following the evaluation criteria described in the relevant documents, provided to applicants as part of the Open Call.

## 4.2 Additional Information

1. Applicants will be solely responsible for the content and nature of their submission to the SHAPES open call. No rights shall be derived from suggestions and instructions provided by SHAPES advisors.
2. Applicants will be solely responsible for ensuring that no legal obligations, no rules of public order or decency and no rights of third parties are violated, according to the laws of the countries involved. They will also have to ensure that their submission results in no unlawful act and/or in no damage to others.
3. Teams will indemnify the SHAPES consortium from any and all costs and damages that could result from infringing their legal obligations.
4. The SHAPES consortium shall not be liable in the event of loss of submitted proposals namely due to network interruptions. In case of any failures of the SHAPES submission system or website, applicants will have to contact the SHAPES team.
5. The information which is specifically designated as "confidential" by applicants shall remain confidential.

## 4.3 Intellectual Property

The ownership of the IP rights arising from the tender will remain as the applicant(s). The results (foreground) of the projects selected and funded by the SHAPES Open Call are owned by the SHAPES consortium, while the background remains the property of the applicant. The party has the obligation to grant a non-exclusive license to the SHAPES consortium over the use, distribution, communication and further development of the solution. Moreover, all source code and accompanied documentation shall be expected to be provided on a public free repository (i.e. GitHub, Gitlab, OpenAIRE, etc) under a free open source software licence.<sup>7</sup>

The SHAPES consortium reserves the right to use the projects selected and funded for publicity and promotion of the project via different media channels. The winning

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<sup>7</sup> [https://ec.europa.eu/research/participants/docs/h2020-funding-guide/cross-cutting-issues/intellectual-property\\_en.htm](https://ec.europa.eu/research/participants/docs/h2020-funding-guide/cross-cutting-issues/intellectual-property_en.htm)

teams should cooperate with the SHAPES consortium on publicity and communication and act as ambassadors for the infrastructure services.<sup>8</sup>

#### 4.4 Data Protection

- All data will be collected and processed in accordance with General Data Protection Regulation, EU 2016/679<sup>9</sup>
- Personal data of the applicants will be collected and processed only for the purpose of participation in the Open call by the SHAPES team dedicated for managing the Open Calls and the project coordinating organisation acting as the nominated Data Protection Manager, which will take all appropriate measures for the safety of applicants data and respond to all the requests regarding data subjects rights.
- Applicants will be required to acknowledge that providing their personal data will be mandatory in order to participate in the open call.
- Applicants shall allow the SHAPES consortium to disclose their name, as provided in the corresponding application form, in any form or by any means, for promotional purposes.
- Personal data shall be kept, under the scope of this program, until its completion after which they will be destroyed.
- Should there be any queries concerning the processing of personal data, these shall be addressed to the SHAPES team responsible for managing its Open Calls.

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<sup>8</sup> [https://webgate.ec.europa.eu/funding-tenders/opportunities/content/article-23a-%E2%80%94management-intellectual-property\\_en](https://webgate.ec.europa.eu/funding-tenders/opportunities/content/article-23a-%E2%80%94management-intellectual-property_en)

<sup>9</sup> <https://eur-lex.europa.eu/eli/reg/2016/679/oj>

## 5 Further Information for Applicants

### 5.1 Definition of SME

An SME is considered as such if complying with the [EC Recommendation 2003/361/EC](#). A user guide on this definition can be found [here](#). In summation, a brief outline of these guidelines include the following;

1. An SME should be independent (not linked or owned by another enterprise).
2. An SME should have a headcount in Annual Work Unit (AWU) less than 250 persons.
3. SMEs should have an Annual turnover less or equal to €50 million OR annual balance sheet total less or equal to €43 million.

#### 5.1.1 SME Eligibility Criteria

An SME is considered eligible for SHAPES Open Calls if it complies with ALL of the following rules:

1. It is a legal entity established and based in one of the EU member states or a H2020 Associated state as mentioned in section 3 of this document.<sup>10</sup>
2. It is a technology provider or technology adopter/user providing innovation in the health and care sector.
3. Start-ups that fulfil criteria 1 and 2 in section 5.1 of this document but do not yet have an annual turnover or balance sheets will also be considered.
4. In case an SME is awarded a sub-project, it will remain eligible even if, at a certain point during the sub-project execution, it does not fulfil criteria 2 and 3 in section 5.1.

### 5.2 Commitments

In accordance with EC guidelines<sup>11</sup> each applicant commits itself:

1. To have at the moment of the submission of the application, or at the latest by the kick-off of activities (corresponding to the entry into force of the Standard Agreement), the necessary stable and sufficient resources to implement the SHAPES Grant Agreement according to EC guidelines.

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<sup>10</sup>[https://ec.europa.eu/research/participants/data/ref/h2020/grants\\_manual/hi/3cp/h2020-hi-list-ac\\_en.pdf](https://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/3cp/h2020-hi-list-ac_en.pdf)

<sup>11</sup>[https://www.ffg.at/sites/default/files/downloads/page/h2020guidancenote\\_financialsupport2thirdparties.pdf](https://www.ffg.at/sites/default/files/downloads/page/h2020guidancenote_financialsupport2thirdparties.pdf)



2. To guarantee that its organisation is not in any situation, which would exclude them from receiving financial support (including pending financial procedures concerning frauds or inappropriate management or undue previous appropriation of funds from other funding programmes).
3. Not to cumulate the SHAPES funding with other forms of financial support for the same work (i.e. exclusion of double funding case)

The following proposals eligibility criteria also apply:

- i. Proposals should have a clear European dimension, and demonstrate capabilities to contribute towards European Union digitization, targeting clear economic and societal impact.
- ii. Proposals from Linked SMEs<sup>12</sup> must demonstrate that there is no risk of double funding. The fundamental principle underpinning the rules for public expenditure in the EU states that no costs for the same activity can be funded twice from the EU budget, as defined in the Article 111 of Council Regulation (EC, Euratom) No 1605/2002 of 25 June 2002 on the Financial Regulation<sup>13</sup>. Proposals submitted by linked SMEs must clearly state the differences between them including but not limited to, technical aspects, market strategy and team composition, so that there is no doubt that there is no risk of double funding. SHAPES has the liberty to assign all proposals to the same set of evaluators and, should any doubt remain, exclude all proposals.
- iii. The maximum amount of direct funding that an SME may receive via SHAPES will be 50.000 EUROS, as defined in the SHAPES Grant Agreement, via any means (e.g. open call, challenges, cluster missions, etc). The SHAPES consortium reserves the right to change the distribution and amounts, as well as the number of projects to be funded in each of the three Open Calls.

### *5.3 Financial Support to Third parties' rules*

As per European Commission's rules<sup>14</sup>, companies have the possibility to apply to more than one open call during SHAPES entire duration. However, the same entity will not be allowed to receive funding from more than one Open Call budget.

The maximum possible financial support per SHAPES Third Party is limited to 50.000 Euros, as indicated in the SHAPES Grant Agreement. Financial support to third party

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<sup>12</sup> Definitions of linked SMEs can be found here: <https://op.europa.eu/s/n3t1>

<sup>13</sup> <https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=celex%3A32002R1605>

<sup>14</sup> [https://webgate.ec.europa.eu/funding-tenders/opportunities/content/article-151-%E2%80%94rules-providing-financial-support-third-parties\\_en](https://webgate.ec.europa.eu/funding-tenders/opportunities/content/article-151-%E2%80%94rules-providing-financial-support-third-parties_en)

is called cascade funding. This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 857159. As per European Commission's rules, financial support will not be awarded to individual legal entities that have already received more than 100 000 € via open calls.

SHAPES will receive assistance from the European Commission to cross-check if an organization that has been shortlisted for getting funding under the open calls of SHAPES has already received funding via an open call from any H2020 I4MS and SAE project and to ensure that no funding is allocated to an Application Experiment in case an entity exceeds the above threshold (including any SHAPES potential funding). The limited amount does not include any EC contribution that your organization receives or has received via an EU funded project (within FP7 or H2020) as a fully associated beneficiary. Participation as a beneficiary does not affect the participation in SHAPES open calls. As per European Commission's rules, financial support will not be awarded for work that was previously or is currently funded under any other (Regional, National or EU) programme.

Furthermore there are additional rules that must be considered;

- Applicant is not under liquidation or is not an enterprise under difficulty according to the Commission Regulation No 651/2014<sup>15</sup>, art. 2.18;
- Submissions must be based on an applicant's original work alongside future or planned developments being free from third party rights, or they are clearly stated;
- Applicant is not excluded from the possibility of obtaining EU funding under the provisions of both national and EU law, or by a decision of both national or EU authority.

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<sup>15</sup> <https://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:32014R0651&from=PT>

## 6 Responsibilities of Beneficiaries

The selected SMEs are indirectly beneficiaries of European Commission funding. As such, they are responsible for the proper use of the funding and ensure that the recipients comply with obligations under H2020 specific requirements as described in Horizon 2020 - the Framework Programme for Research and Innovation (2014-2020)<sup>16</sup> and the H2020 Annotated Model Grant Agreement (H2020 General MGA)<sup>17</sup>. The obligations that are applicable to the recipients include

### 6.1 Conflict of Interest

In line with Article 35 of the MGA, the beneficiary SMEs “must take all measures to prevent any situation where the impartial and objective implementation of the open call is compromised for reasons involving economic interest, political or national affinity, family or emotional ties or any other shared interest (‘conflict of interests’).”

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

If the sub-contract consortium member breaches any of its obligations, the sub-contract may be automatically terminated. Moreover, costs may be rejected.<sup>18</sup>

### 6.2 Data Protection & Confidentiality

In line with Article 36 of the MGA, during implementation of the sub-project and for four years after the end of the sub-project, the parties must keep confidential any data, documents or other material (in any form) that is identified as confidential at sub-contract signing time (‘confidential information’).

If a beneficiary SME requests, the Commission and the SHAPES consortium may agree to keep such information confidential for an additional period beyond the initial four years. This will be explicitly stated within the sub-contract if implemented.

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<sup>16</sup>[http://ec.europa.eu/research/evaluations/pdf/archive/h2020\\_evaluations/swd\(2017\)221-interim\\_evaluation-h2020.pdf](http://ec.europa.eu/research/evaluations/pdf/archive/h2020_evaluations/swd(2017)221-interim_evaluation-h2020.pdf)

<sup>17</sup> [https://webgate.ec.europa.eu/funding-tenders/opportunities/content/important-notice\\_en](https://webgate.ec.europa.eu/funding-tenders/opportunities/content/important-notice_en)

If information has been identified as confidential during the open call execution or only orally, it will be considered to be confidential only if this is accepted by the SHAPES 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.<sup>19</sup>

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

In line with Article 38 of the MGA, the beneficiaries must promote the open call the SHAPES project and its results, by providing targeted information to multiple audiences (including the media and the public) in a strategic and effective manner and to highlight the financial support of the EC, in compliance with Article 38 of the H2020 Annotated Model Grant Agreement.<sup>20</sup>

Unless the European Commission or the SHAPES 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 SHAPES logo and
- (c) include the following text:

For communication activities: *“This project has indirectly received funding from the European Union’s Horizon 2020 research and innovation programme under project SHAPES (grant agreement No 857159)”*.

For infrastructure, equipment and major results: *“This [infrastructure][equipment][insert type of result] is part of a sub-project that has indirectly received funding from the European Union’s Horizon 2020 research and innovation programme under project SHAPES (grant agreement No 857159)”*.

When displayed in association with a logo, the European emblem should be given appropriate prominence. This obligation to use the European emblem in respect of projects to which the EC contributes implies no right of exclusive use. It is subject to general third-party use restrictions which do not permit the appropriation of the emblem, or of any similar trademark or logo, whether by registration or by any other means. Under these conditions, the beneficiary is exempted from the obligation to

<sup>19</sup> [https://webgate.ec.europa.eu/funding-tenders/opportunities/content/article-36-%E2%80%94confidentiality\\_en](https://webgate.ec.europa.eu/funding-tenders/opportunities/content/article-36-%E2%80%94confidentiality_en)

<sup>20</sup> [https://webgate.ec.europa.eu/funding-tenders/opportunities/content/article-381-%E2%80%94communication-activities-beneficiaries\\_en](https://webgate.ec.europa.eu/funding-tenders/opportunities/content/article-381-%E2%80%94communication-activities-beneficiaries_en)

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<sup>21</sup>.

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

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

- the name and contact address of the beneficiary SME;
- the general purpose of the project;
- the amount of the financial contribution foreseen for the project; after the final payment, and the amount of the financial contribution actually received;
- the geographic location of the activities carried out;
- the list of dissemination activities and/or of patent (applications) relating to foreground;
- the details/references and the abstracts of scientific publications relating to foreground and,

if funded within the sub-project, the published version or the final manuscript accepted for publication;

- the publishable reports submitted to SHAPES;
- any picture or any audio-visual or web material provided to the EC and SHAPES in the framework of the project.

The beneficiary shall ensure that all necessary authorisations for such publication have been obtained and that the publication of the information by the EC and SHAPES does not infringe any rights of third parties.

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

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<sup>21</sup> [https://europa.eu/european-union/about-eu/symbols/flag\\_en](https://europa.eu/european-union/about-eu/symbols/flag_en)

## 6.4 Financial Audits and Controls

To ensure compliance with Article 22<sup>22</sup> of the H2020 MGA, the European Commission (EC) will monitor that SHAPES beneficiaries and the beneficiary SME comply with the conditions for financial support to third parties such as set out in Annex 1 of the SHAPES grant agreement and may take any action foreseen by the grant agreement in case of non-compliance vis à vis the beneficiary concerned.

Moreover, the EC may at any time during the implementation of the SHAPES project and up to 5 (five) years after the end of the SHAPES 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 SME 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 SME shall keep all open call deliverables and the originals or, in exceptional cases, duly authenticated copies – including electronic copies – of all documents relating to the sub-project contract for up to five years from the end of the project. These shall be made available to the EC where requested during any audit under the grant agreement.

In order to carry out these audits, the beneficiary SME 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 open call 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. They shall ensure that the information is readily available on the spot at the moment of the audit and, if so requested, that data be handed over in an appropriate form.

On the basis of the findings made during the financial audit, a provisional report shall be drawn up. It shall be sent by the EC or its authorised representative to the beneficiary concerned, which may make observations thereon within one month of

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<sup>22</sup>[https://webgate.ec.europa.eu/funding-tenders/opportunities/content/article-2211-%E2%80%94-right-carry-out-checks\\_en](https://webgate.ec.europa.eu/funding-tenders/opportunities/content/article-2211-%E2%80%94-right-carry-out-checks_en)

receiving it. The Commission may decide not to take into account observations conveyed or documents sent after that deadline. The final report shall be sent to the beneficiary concerned within two months of expiry of the aforesaid deadline.

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

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

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

## 6. Contacts

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

More info at: <https://shapes2020.eu>

## 7 Conclusion

Deliverable 9.4 sets out the preliminary rules of participation for applicants in the SHAPES Open Calls. It describes the eligibility criteria necessary to apply alongside the general requirements for submitting an application. The responsibilities of the beneficiaries, in line with EC regulations, are clearly described. SHAPES Open Calls will officially begin in April 2021 and will run via the F6S online platform.